

How an Authority to Deal could help

Whether you need help just once or would like regular support to manage your account, an Authority to Deal could make life easier for you and the person helping you.

What can a third party do with an Authority to Deal?

With an Authority to Deal, a close member of your family that you trust can access your account to make transactions within the limits set out in the Authority terms and conditions.

Here are the things a third party can and cannot do:

They can:

- Place instructions for the purchase or sale of securities
- Make decisions on Corporate Actions

They cannot:

- Make changes to your personal details, like your address or phone number
- Make changes to your account, including setting up or changing any bank details
- Make changes to your account, including setting up, cancelling or changing any payments
- Move money from your account
- Make stock withdrawals
- Make stock transfers
- Close your account

If you have set up an Authority to Deal and wish to cancel it, please email from your registered email address to clientdata@jarvisim.co.uk or write to us at 78 Mount Ephraim, Tunbridge Wells, Kent TN4 8BS

All sections of this form must be completed.

If you have any queries, please call us on 01892 700834

In order to **protect your personal information** when sending back your form we recommend you use a recorded or tracked mail service.

1. Account Holder Details

Please enter the Jarvis Account number/s you wish the Authorised Individual to have authority over.

Account number

Account Name

2. Authorised Individual Details –

All Fields Are Mandatory

Complete this section to provide transacting authority to a specified individual.

Title (eg. Mr/Mrs/Dr etc)

Surname

Forenames in full

Date of birth

Nationality

National Insurance Number/National Identifier

If you have more than one nationality please list on a separate sheet together with the relevant national identifier for that nationality – further details regarding national identifiers can be found on our website or call us.

Permanent residential address

Postcode

Email

Telephone

Previous address (if moved within last 12 months)

Postcode

Relationship to Account Holder/s

Spouse / Civil

Partner

Parent

Child

If you have a Jarvis share dealing account of your own, or have authority to deal on other Jarvis accounts, please provide the associated account number/s:

3. Employment Details

Employment Type

Full-time employment

Part-time employment

Self employed

Homemaker

Unpaid work/ Volunteer

Unemployed

Retired

Occupation / Job title

Employer's

Nature of business

Date joined current employment

4. Experience and qualifications

PDMM details

A person discharging managerial responsibilities (PDMM) will typically be privy to potentially price sensitive 'inside' information in relation to the company they work for and are likely to hold senior managerial roles, for example, at Director or Board level. A person closely associated (PCA) with a PDMM is a spouse, family member, business partner or another known association. If this applies to you, please enter the details below.

5. Declarations and Signatures

Declaration by Authorised Individual:

By signing this 'Authority to Deal Form' you accept and agree to be bound by our terms and conditions. You acknowledge that you may only give instructions to trade to the extent that the account holder would be permitted under the terms of our agreement. You also certify to us that you are acting in a personal capacity and not carrying on a business which is providing investment advice.

We are an Execution Only Broker, your instructions will be carried out by us on an execution-only basis and we cannot advise on particular transactions, or their taxation, legal, regulatory, accounting or any other consequences. If you are in doubt about what action you should take, you should seek your own independent financial advice.

You agree that Jarvis Investment Management Ltd will undertake a search with Experian for the purposes of verifying your identity. To do so, Experian may check the details you supply against any particulars on any database (public or otherwise) to which they have access. They may also use your details in the future to assist other companies for verification purposes.

A record of the search will be retained.

Please note, we are occasionally unable to verify an applicant's identity using the Experian searches and need to request some identity documentation in order to proceed. If this does happen, we will contact you, and confirm which documents we need you to send to us in order to continue with the verification process.

I authorise Jarvis Investment Management Ltd (Jarvis) to complete Anti-Money Laundering and financial crime checks in connection with this request for authority to deal.

Signature of Authorised Individual

Date

Declaration by Account holder:

- I accept and agree to be bound by the terms and conditions that relate to the appointment of third party authorities.
- I authorise the Individual whose signature appears above to operate my sharedealing account.
- I understand and acknowledge that I will be liable for any such instruction given and agree to be bound as such by signing this form.
- I understand that the individual I have authorised will not be able to make stock withdrawals or transfers, or make cash withdrawals
- I acknowledge that, even if I do not make use of the online trading facilities Jarvis offer, the appointee may be able to make use of those services in operating my account on my behalf

Signed Account Holder

Signed 2nd Account Holder (if applicable)

Date

Please return the signed form to:

Jarvis Investment Management Ltd, 78 Mount Ephraim, Tunbridge Wells, Kent TN4 8BS