Scottish Widows Platform

Adviser Firm Application Form

To enable you to start using the Scottish Widows Platform, please complete the information below.

So we can make a start processing your request you can also email us a scanned copy to: **service@scottishwidowsplatform.co.uk**.

1. Adviser Firm's contact details

Firm Name:

Network Membership (If applicable):

Service provider: ☐ Simply Biz ☐ Other

Firm Email Address:

FCA Firm Type:

Firm FCA Authorisation Number:

Firm Regulated Advice Status: ☐ Independent ☐ Restricted

Firm Legal Entity Identifier (LEI):

Firm Address:

Postcode:

Firm Phone Number:

Firm Fax Number:

2. Adviser Firm bank details

Bank Name*:

Bank Address:

Postcode:

Bank Account Name:

Bank Account Number:

Sort Code:

* For Appointed Representative Network firms, payments will be made to the Network.

3. Branch

Branch Name: External Reference Code:

Phone Number: Email Address:

Address:

Postcode:

Use Firm Address:

Address:

Postcode:

Phone Number: Email Address:

Distribution Channel: Default Advice Type:

4. Back office provider settings

Which back office provider do you use if any?

Benchmark ☐	Contengo ☐	Dynamic Planner ☐	Fairstone ☐
Figure Out ☐	Finplan ☐	intelliflo Office* ☐	Iress - Xplan ☐
Moneyinfo ☐	Openwork ☐	Plannr ☐	Time4Advice ☐
Vision ☐	Wealthcraft ☐		

Other:

* If you have selected intelliflo Office, please provide your 5-digit Tenant ID:

Please select which service(s) you require:

Bulk Valuations ☐ Bulk Transaction History ☐

Frequency for Bulk Valuation: daily ☐ weekly ☐ Frequency for Transaction History: daily ☐ weekly ☐

if weekly, on which day? (Mon - Fri) if weekly, on which day? (Mon - Sun)

5. Super User's contact details

Your Super User is responsible for managing the day to day administration of the Account you have with us on the Scottish Widows Platform. Your Super User is also responsible for registering or removing new financial advisers, administrators or paraplanners and producing reports which can be downloaded from the platform as may be required by the Adviser Firm business.

Super User 1:

Name:

FCA Regulated Individual Number (if applicable):

Job Title:

Email Address:

Phone Number:

Mobile Number:

Date of Birth: D D M M Y Y Y Y

Address:

Postcode:

Super User 2:

Name:

FCA Regulated Individual Number (if applicable):

Job Title:

Email Address:

Phone Number:

Mobile Number:

Date of Birth: D D M M Y Y Y Y

Address:

Postcode:

If the Adviser Firm would like to receive promotional emails about the Embark Group's products and services, which we think will be of interest, please tick this box. ☐

The Adviser Firm can unsubscribe from these communications or update the Adviser Firms details at any time.

Details of our data protection policies are published in our Privacy Policy, a copy of which can be found on the Scottish Widows Platform website.

6. Adviser Remuneration

Disinvestment Options

Firm Disinvestment Strategy:

Least volatile stock (LVS) ☐ Last in first out (LFO) ☐ Proportional ☐

Remuneration Payment Frequency:

☐ Weekly Day to be paid ☐ Monday ☐ Tuesday ☐ Wednesday ☐ Thursday ☐ Friday

☐ Monthly Date to be paid (1st to 28th)

☐ Quarterly Date to be paid (1st to 28th) Commencement Month

☐ Half Yearly Date to be paid (1st to 28th) Commencement Month

☐ Annually Date to be paid (1st to 28th) Month

For Ongoing Adviser Charging: (please select one of the options below)

Cash Value ☐ Percentage of plan value ☐

☐ Ongoing – Annually Date to be paid (1st to 28th) Month

Electronic Remuneration Statements

EDI files required: ☐ EDi Mailbox ID:

7. Model section

Firm can create model portfolios ☐

Minimum days between rebalance: (0 – 28 days)

Minimum model cash allocation (%): (0 – 100%)

When the model target contains assets that cannot be traded:

For Rebalancing: (please select one of the options below)

Allocate proportion to cash ☐ Allocate proportionally across tradeable assets ☐

For Deposits: (please select one of the options below)

Allocate proportion to cash ☐ Allocate proportionally across tradeable assets ☐

Model Portfolio authorisation required:

Model Creation: ☐ Model Update: ☐

Please note: The dropdowns will have no default. If authorisation is required please ensure that users are created with the ability of authorisation.

8. Adviser Firm declaration

This form must be signed by person(s) authorised to sign on behalf of the Adviser Firm.

Please sign below, ensuring you have read and understood the Scottish Widows Platform Adviser Terms of Business and the Adviser Terms of Use. If you have any questions, please contact the Customer Service Team on the details below.

Declaration

We/I confirm the above information is true and correct and agree to be bound by the Scottish Widows Platform Adviser Terms of Business, which set out the terms and conditions upon which the Scottish Widows Platform will provide platform services to us and our clients.

To be signed by a Director, sole trader, partner or authorised signatory as appropriate.

Signatory 1

Signature:

Name:

Position:

FCA Regulated Individual Number:

Date: D D M M Y Y Y Y

Signatory 2 (if applicable)

Signature:

Name:

Position:

FCA Regulated Individual Number:

Date: D D M M Y Y Y Y