

# Making it easier for you to send us documents and instructions

- ISA, Junior ISA (JISA), Collective Investment Account (CIA), Collective Investment Bond (CIB) and Collective Retirement Account (CRA)

This document outlines the additional flexibility we've introduced during this time to make it easier for you to send documents and instructions to us. To help us provide the best possible service to you and your clients, please follow the three simple steps below.

## 1. Where possible, please send us documents through the normal process

This will help us to ensure that we can focus our resources as effectively as possible and continue to process all customers' requests as quickly as we can. If you are unable to send us paper forms, you should make your clients aware that there is risk associated with them emailing documents from unencrypted email accounts.

## 2. Submitting an instruction if you can't follow our normal process

If you're unable to send us hard-copy paperwork you can use PROMPT, our online mail processing tool, or email, to send us instructions.

The first table in this document shows which instructions you can send us via email or PROMPT for a temporary period.

## 3. How to send us supporting documents to accompany your instruction

The second table in this document explains what to do if you would usually need to send us an original document to support your instruction, and the temporary flexibility we've introduced while you may be unable to meet with your client face-to-face. Please note that viewing documents via video conferencing (such as Skype or selfie) is not an acceptable way of certifying sight of the original. As an adviser you will be accountable for any fraudulent activity that results from transactions made using documents certified in this way.

*Table 1 - Instructions you can send us by PROMPT or email for a temporary period*

### *General servicing requests (not product specific)*

<i>Instruction</i>	<i>Acceptable via email or PROMPT?</i>
<b>Adviser servicing</b>	
Transfer of servicing (changing the servicing broker)	Yes
Changing adviser contact details	Yes
<b>Changes to client details</b>	
Changing a client's address	Yes
Changing a 'care of' address	Yes
Changing a company address	Yes
Changing client's telephone number/email address	Yes
Changing a client's date of birth	Yes
Changing a client's name	Yes
Changing a client's marital status	Yes
Changing or adding a National Insurance Number (NINo)	Yes
<b>Payments, Direct Debits and money out</b>	
Amending a Direct Debit (collection date/decrease amount/ frequency/ increase amount/stop, suspend or cancel)	Yes
Changing a client's bank details	Yes
Requesting a one-off collection	Yes
Setting up a manual Direct Debit	Yes
Changing the payment method for money out (Direct Credit/BACS/CHAPS to customer)	Yes
Changing bank details for money out	Yes
Cancelling and re-issuing a payment	Yes

<i>Instruction</i>	<i>Acceptable via email or PROMPT?</i>
<b>New business, top-ups and transfers</b>	
Requesting an internal transfer (eg CRA to ISA, CIA to CRA)	Yes
Submitting new business/top-up requests (excl. transfers /re-registrations)	Yes
CIA applications for charity applicants ( <i>all other applications must be submitted online</i> )	Yes
<b>Fund and investment management requests</b>	
Requesting a realignment	Yes
Requesting a rebalance	Yes
Requesting a redirection	Yes
Providing fund choice clarification (for top-up/new business/switch)	Yes
Requesting phased investment	Yes
Requesting a fund switch	Yes
Managed Portfolio Service (MPS) – swapping between portfolios	No
Managed Portfolio Service (MPS) – switching out	Yes
<b>Trusts</b>	
Amending a trust	Yes
Setting up a trust	No
<b>Death claims</b>	
Sending us a death certificate	Yes
Notifying us of a death	Yes
<b>Other requests</b>	
Request to exercise cancellation rights	Yes
ROI - release of information (noting third party authority)	Yes
Paper conversion (converting to online documents instead of paper)	Yes

### *Product-specific requests*

<i>Instruction</i>	<i>Acceptable via email or PROMPT?</i>
<b>ISA, JISA, CIA and CIB requests</b>	
APS (additional permitted subscription) – allowance transfer into an ISA	No
APS (additional permitted subscription) – cash lump sum investment into an ISA	Yes
APS (additional permitted subscription) – in specie investment into an ISA	Yes
APS (additional permitted subscription) – transfer confirmation for an ISA	Yes
Assignment of a Collective Investment Bond	Yes
Bed and ISA (CIA to ISA internal transfer)	Yes
Account merger (CIA, CIB or ISA)	Yes
Amending bank details on a regular withdrawal (CIA, CIB or ISA)	Yes
Amending frequency for, or stopping, suspending or cancelling, regular withdrawals (CIA, CIB or ISA)	Yes
Decreasing regular withdrawals (CIA, CIB or ISA)	Yes
Increasing regular withdrawals (CIA, CIB or ISA)	Yes
Setting up regular withdrawals Set up (CIA, CIB or ISA)	Yes
Re-registration/transfer in for an ISA, JISA or CIA	Yes
Re-registration/transfer out for an ISA, JISA or CIA	Yes
One-off withdrawal request (full/partial) (CIA, CIB or ISA)	Yes
Changing bank details for money out (CIA, CIB or ISA)	Yes
Transfer of ownership (changing the owner of an account) (CIA, CIB or ISA)	Yes

<i>Instruction</i>	<i>Acceptable via email or PROMPT?</i>
<b>CRA requests</b>	
Submitting a death benefit nomination	Yes
Submitting an expression of wish	Yes
Submitting a discharge form (for pension transfers out)	Yes
Changing an employer's address and details	Yes
Changing the client's employment status	Yes
Amending bank details for income drawdown	Yes
Amending frequency of income drawdown	Yes
Decreasing amount of income drawdown	Yes
Increasing amount of income drawdown	Yes
Setting up income drawdown	Yes
Stopping income drawdown	Yes
Lifetime Allowance notification	Yes
Requesting tax-free cash/benefit crystallisation (including ITFC)	Yes
Requesting transfer in (including ITFC)	Yes
Requesting transfer out	Yes
Small pots	Yes

*Table 2 - How to send us supporting documents to accompany your instruction*

**Documents you can scan and email to us to support your instruction, and certifying requirements:**

<b>Document type</b>	<b>What you can do</b>
Marriage Certificate	<p>We will accept a scan or photograph of the original accompanied with the following wording from the adviser:  <b>I certify this document as an image/scan of the original document that I have seen through &lt;insert method of communication used&gt; held on &lt;x date&gt; between me and the applicant /account holder.</b>  <b>&lt;For photo ID please include the following: I confirm that the image is a true likeness of the applicant /account holder&gt;.</b></p> <p><b>The document has not been tampered with and I have received the same confirmation from the applicant /account holder.</b></p> <p>Images/scans must be in full colour where applicable.</p>
Deed Poll	
Civil Partnership Certificate	
Adoptive Birth Certificate	
Gender Recognition Certificate	
Decree absolute/Final order/Pension sharing order/Consent order/Minute of agreement	
Death Certificate	
Passport/Photo Driving Licence	
External Trust Deed	
Quilter Loan Trust	
Any deed changing trustees	
Deeds of Assignment – all types	
Grant of Probate	
Other documents accepted for verification of identity, eg utility bill	We are allowing your client to provide a photograph of the utility bill that they have signed, which you can certify and provide to us in line with the normal procedure.
New Direct Debit Mandate	Advisers can submit a Direct Debit online for pension and investment products. Where the Direct Debit is not being submitted online, we can accept the paper Direct Debit Instruction electronically via email or PROMPT. The Instruction can be signed by hand and then scanned in, or signed by electronic signature.

## Documents to support your instruction that must be original:

Document type	What you can do
Power of Attorney	<p>We will accept a scan or photograph of the original or a copy, certified by a solicitor or the donor (the person subject to the power of attorney) on every page accompanied with the following wording from the donor:</p> <p><b>'I [Donor] certify that this image of my Power of Attorney, and all the pages contained within it, are a true and complete copy of the original document.'</b></p> <p>AND the following wording from the adviser:</p> <p><b>I certify this document as an image/scan of the original (or correctly certified) document that I have seen through &lt;insert method of communication used&gt; held on &lt;x date&gt; between me and the applicant /account holder. &lt;For photo ID please include the following: I confirm that the image is a true likeness of the applicant /account holder&gt;. The document has not been tampered with and I have received the same confirmation from the applicant /account holder.</b></p> <p>In order to accept a scan/photograph of the Power of Attorney, we must receive both the adviser and donor wording. Where the donor does not have the capacity to make this declaration we will require sight of the original power of attorney or a copy with an original certification (i.e. not a photocopy) from a Solicitor, the Donor, or person authorised to carry out notarial activities.</p> <p>Images/scans must be in full colour where applicable.</p>
Any type of court of protection order	We require the original document.
Quilter Post Issue Trust (sent pre-issue with new business application)	We require the original trust deed as we must date it.
Transfer request form	If a third party requires the original we will request it from you.
Cheques	<p><b>Please consider making payments electronically, rather than by cheque.</b> This will protect your client's payment should there be a closure of our buildings as a result of Government advice, or if the critical banking, postal and remittance services that support this process are interrupted. Our bank details for electronic payments are as follows:</p> <p><b>Bank:</b> NatWest  <b>Sort code:</b> 56-00-68  <b>Reference:</b> The client's account number with us, starting with AC</p> <p><b>For ISA/JISA/CIA</b>  <b>Bank account number:</b> 42087058  <b>Bank account name:</b> Quilter Investment Platform Ltd Collections Client Account</p> <p><b>For CIB/CRA</b>  <b>Bank account number:</b> 42086841  <b>Bank account name:</b> Quilter Life and Pensions Ltd Collections Account</p> <p>However, if you do need to send us a cheque:  Please make the cheque payable as follows:  <b>For ISA/JISA/CIA Payee:</b> Quilter Investment Platform Ltd Collections Client Account  <b>For CIB/CRA Payee:</b> Quilter Life and Pensions Ltd Collections Account</p> <p>and on the back of the cheque write your client's account number with us, starting with AC.</p> <p><b>Please note</b></p> <ul style="list-style-type: none"> <li>- we cannot accept mixed payments for ISA/JISA/CIA into the CIB/CRA account or vice versa for regulatory reasons. They must be separate.</li> <li>- if you are sending payment for more than one application, please send a separate payment for each one.</li> </ul>
Notice of Assignment	We require the original notice of assignment as we must sign and date it.
Other exceptions	There are some cases where you still need to send us original documents, for example legal documents such as trust deeds, and regulations do not allow us to change these requirements.

### Scanned copies of Quilter forms:

Quilter forms can be sent to us as scanned copies, however there are some exceptions to this. If we receive a form from you which we are unable to accept as a scanned copy we will contact you directly.

### Our contact details

Customer Service Centre - Freephone 0808 171 2626

Email - [ask@quilter.com](mailto:ask@quilter.com)

### [platform.quilter.com](https://platform.quilter.com)

Please be aware that calls and electronic communications may be recorded for monitoring, regulatory and training purposes and records are available for at least five years.

Quilter is the trading name of Quilter Investment Platform Limited which provides an Individual Savings Account (ISA), Junior ISA (JISA) and Collective Investment Account (CIA) and Quilter Life & Pensions Limited which provides a Collective Retirement Account (CRA) and Collective Investment Bond (CIB).

Quilter Investment Platform Limited and Quilter Life & Pensions Limited are registered in England and Wales under numbers 1680071 and 4163431 respectively.

Registered Office at Senator House, 85 Queen Victoria Street, London, EC4V 4AB, United Kingdom. Quilter Investment Platform Limited is authorised and regulated by the Financial Conduct Authority. Quilter Life & Pensions Limited is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Their Financial Services register numbers are 165359 and 207977 respectively. VAT number 386 1301 59.

QIP21385/18/1751/August 2022