



**InvestAcc**  
PENSION  
ADMINISTRATION LTD

Small Self-Administered Scheme

**SSAS**

**New Scheme Establishment Application**

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**If there are more than four members, please photocopy the relevant pages.**

We will use the information provided to review your request to establish a pension scheme and to consider if it is appropriate for InvestAcc Pension Trustees Limited to be appointed as independent trustee and scheme administrator. Some information will also be required to be passed to HM Revenue & Customs (HMRC) as part of the process to obtain registered status.

## Company information

Sponsoring employer	
Company reference number (CRN)	Company year end (DD/MM)
Corporation tax reference number	VAT registration number (or state if not VAT registered)
Company PAYE reference number	Total number of employees at this business
Nature of company's business	
Current registered office address	
	Postcode
Previous registered office address (if less than 12 months at current address above)	
	Postcode
Contact name (and position) for correspondence	Email address
Telephone number	

### Is the above company currently registered with HMRC for tax?

Yes  No (if no, we cannot proceed with your application)

### Is the above company currently actively trading?

Yes  No (if no, we cannot proceed with your application)

### Has the above company been dormant at any time in the last 12 months?

Yes  No

**Please provide the following information for each director of your company (if more than four directors, please print additional sheets)**

### Director 1

Full name	
National insurance number	HMRC Unique Tax Reference (UTR)
Telephone number	Date of birth
Email address	
Current home address	
	Postcode
Previous home address (if less than 12 months at current address above)	
	Postcode

## Director 2

Full name	
National insurance number	HMRC Unique Tax Reference (UTR)
Telephone number	Date of birth
Email address	
Current home address	
	Postcode
Previous home address (if less than 12 months at current address above)	
	Postcode

## Director 3

Full name	
National insurance number	HMRC Unique Tax Reference (UTR)
Telephone number	Date of birth
Email address	
Current home address	
	Postcode
Previous home address (if less than 12 months at current address above)	
	Postcode

## Director 4

Full name	
National insurance number	HMRC Unique Tax Reference (UTR)
Telephone number	Date of birth
Email address	
Current home address	
	Postcode
Previous home address (if less than 12 months at current address above)	
	Postcode

## Company declaration

On behalf of the sponsoring employer, we agree to establish the Small Self-Administered Scheme and enclose with this application a fully completed Member Information Form for each member invited to join.

We request InvestAcc Pension Administration Limited to provide the necessary documentation to establish the scheme and provide the members with details of their membership on our behalf. InvestAcc is entitled to charge for this, and any other work associated with the establishment of the scheme, in line with its latest Terms & Conditions.

We confirm the sponsoring employer is an actively trading company based in the UK. Should this no longer be the case we will notify InvestAcc in writing within 7 days.

We authorise InvestAcc to speak to our professional contacts named within this application. We confirm the information provided on this form is correct to the best of our knowledge.

### Two directors (or a director and company secretary) to sign

Signature	Date
Print name	
Position	

Signature	Date
Print name	
Position	

## Scheme information

Proposed scheme name
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### Main scheme contact details

Contact name	
Contact address	
	Postcode
Telephone number	
Email address	

The scheme year end will be 5th April which is consistent with HMRC reporting requirements.

All members will be appointed as trustees.

**We request that InvestAcc Pension Trustees Limited acts as independent trustee.**

### Additional trustee details (other than the member trustees)

Name	
Address	
	Postcode
National insurance number	Date of birth
Telephone number	
Email address	

**We request that InvestAcc Pension Trustees Limited act as scheme administrator and registers the scheme with HMRC.**

**We request that InvestAcc Pension Administration Limited registers the scheme with the Pensions Regulator and the Information Commissioner's Office, and we understand that we will be liable for those fees.**

### Payment of InvestAcc's scheme fees

Please provide an indication below who will normally settle fees

Scheme trustees (from scheme assets)       Principal employer

Note that the above is for our records and can be changed at any time.

## Purpose of scheme

Please tell us in the space below why you require a SSAS and what kind of investments you want to make initially (and whether any are unregulated investments). If one of the investments you intend to make is a loan to the sponsoring employer or a participating employer, then please include basic details of the assets that will be offered as security.

We require this information so that we can assess whether we would be willing to accept your application to establish a SSAS, and to act in the roles of professional trustee and scheme administrator.

Purpose of scheme (if not completed then we will be unable to process your application)

### The following additional information will be required by HMRC as part of the scheme registration process

Please provide a copy of the business plan / prospectus / literature as appropriate, for each of the proposed investments.

Attached     To follow

Please provide full name, address and contact phone number for each proposed investment provider.

Please provide projected fund value at the end of the first year of the pension scheme's existence.

## Bank and identity verification

### Trustee bank account

#### A bank account will be opened with Cater Allen Private Bank.

The trustees may open an account with alternative bankers if required.

### Anti-money laundering requirements

InvestAcc will conduct its own electronic identity verification checks on the sponsoring employer and the scheme members. In addition to that, our bankers will require copy certified ID in the form of one from each of the lists below, for each of the members and trustees. You cannot use the same document to prove your identity and your address, nor can you use two documents from the same source (e.g. DWP and Jobcentre).

- Photocopy of original document to be signed, dated and certified as “original seen”. Each copy document must be individually certified and where the copy document comprises more than one page, the certifier must certify the first page and sign and date all key pages (key pages being those with personal details on and the signatory page).
- Where the original document is a photographic ID, certification to be qualified as “original seen, copy provides good likeness of the applicant”.
- Certifier to record their name, contact number, business address (or personal address if no business address), qualification(s) and trade/ industry association membership number to ensure they are contactable if necessary.

Please refer to [www.gov.uk/certifying-a-document](http://www.gov.uk/certifying-a-document) for further information on who may certify documents.

List 1 – Proof of Identity	List 2 - Proof of Address
<b>UK or Irish passport</b> (unexpired and signed).	<b>UK old style paper driving licence</b> (unexpired and signed).
<b>Passport - non-UK/non-Irish</b> (with valid right to remain*).	<b>Notification of entitlement to UK Government or Local Authority pension or benefits</b> (less than 12 months old).
<b>UK driving licence</b> (unexpired, signed and photograph in date).	<b>Local Authority Council Tax bill, demand letter or exemption certificate</b> (for current tax year).
<b>EEA or Switzerland identity card</b> (with valid right to remain*).	<b>HMRC correspondence</b> (less than 12 months old) (not P45/P60s. For example: notice of tax coding, tax summary statement, tax credit document).
<b>Electoral ID Card issued by the Electoral Office for Northern Ireland</b> (unexpired).	<b>Bank, building society, credit card or credit union statement</b> (less than three months old).
<b>Blue Badge disabled parking permit</b> (unexpired).	<b>Utility bill</b> (less than three months old, unless annualised bill, in which case less than 12 months old). For example: gas, electricity, water, broadband, satellite/cable or landline telephone supplier, etc.
<b>Biometric residence permit</b> (with valid right to remain*).	<b>Voters roll search screen print.</b>
<b>UK old style paper driving licence</b> (unexpired).	<b>Local authority or housing association tenancy agreement.</b> (less than 12 months old and must be current).
<b>Notification of entitlement to UK Government or Local Authority pension or benefits</b> (less than 12 months old).	<b>Mortgage statement from a recognised lender</b> (less than 12 months old).
<b>HMRC correspondence</b> (less than 12 months old) (not P45/P60s). For example: notice of tax coding, tax summary statement, tax credit document.	If the individual is under 18 and unable to provide a proof of address document from the standard list, one of the following documents can be accepted instead: <b>Confirmation from your work, school/college/university/care institution.</b> <b>Photocard driving licence unexpired</b> (provisional acceptable). <b>Recent bank statement</b> (must be dated within 3 months). <b>Child Benefit or Child Tax Credit documentation</b> (less than 12 months old).
If the individual is under 18 and unable to provide a proof of identity document from the standard list, one of the following documents can be accepted instead: <b>Young person’s Proof of Age Standards (PASS) Card</b> (unexpired). <b>Birth certificate.</b> <b>Adoption certificate.</b> <b>NHS medical card.</b> <b>Young Scots National Entitlement Card</b> (unexpired).	
<b>UK photo card driving licence</b> (unexpired, signed and photograph in date).	

\* Right to remain includes: Biometric Residence Permit, settled status, pre-settled status, valid VISA. Visitor VISA is not acceptable.



## Adviser information

### Scheme financial adviser details

Adviser name	
Company name	
Address	
	Postcode
Telephone number (principal firm)	Email address
FCA authorisation number (principal firm)	
FCA authorisation number (appointed representative) if applicable	

By submitting this application form to us, the financial adviser firm above confirms acceptance of our current intermediary terms of business, available on our website: [www.investaccpensions.co.uk/termsofbusiness](http://www.investaccpensions.co.uk/termsofbusiness)

### Scheme accountant details

Accountant name	
Accountancy firm name	
Address	
	Postcode
Telephone number	Email address

## Member information (1)

### Personal details

Title	Forename(s)		
Surname			
Current home address			
			Postcode
Previous home address (if less than 12 months at current address above)			
			Postcode
National insurance number		HMRC Unique Tax Reference (UTR)	
Mobile phone number		Phone number (office hours)	
Date of birth (DD/MM/YY)		Email address	
Date of joining company (DD/MM/YY)		Normal retirement age (55 to 75) State Pension Age will be assumed if left blank.	

### Marital status

Single
  Married
  Divorced
  Widowed
  Civil partnership

### Is the member a director of the sponsoring employer or a participating employer?

Yes
  No
 Shareholding  %

### Spouse details

Full name of spouse
Spouse's date of birth (DD/MM/YY)

### Proposed contributions

Monthly  £
     
 Annual  £
     
 Single  £

**Transfers** Are you going to transfer your benefits under one or more registered pension schemes into this scheme?

**If Yes**, please complete the following information. You must also complete a separate ceding scheme Transfer Form for each transfer along with our SSAS Transfer In Form.

Number of transfers to be made?	Number of in-specie transfers? (transfer of existing assets)	Approx. value <input type="text"/> £
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## Member information (1) continued

### Nomination of beneficiaries

Member full name

If you wish to nominate who you would like to receive any death benefits in the event of your death, please complete the section below. If the following instructions do not fully reflect your wishes, then you can download and complete a more tailored nomination of beneficiaries form which is available on our website.

I would like the trustees to consider distributing any benefits payable on my death to the following, in the proportions shown

Beneficiary full name	Relationship	%
Beneficiary full name	Relationship	%
Beneficiary full name	Relationship	%
Beneficiary full name	Relationship	%

Total

**I understand that the above is not legally binding and that distribution of death benefits is at the discretion of the trustees of the scheme.**

Should you wish to alter this nomination in the future, please contact us to arrange for an appropriate form.

## Declaration

I hereby apply to become a member of the pension scheme referred to above and I agree to be bound by the Trust Deed and Rules, as amended from time to time. I declare that the information provided in this application form, and any other documents completed in connection with this application, is to the best of my knowledge and belief, correct and complete.

I also confirm I have read the latest InvestAcc SSAS Terms & Conditions document and by signing this application form I agree to be liable as a trustee for all fees payable to InvestAcc Pension Administration Limited (InvestAcc), as outlined in the latest version of the 'SSAS - Services and Fees' guide. I understand that InvestAcc may at any time alter its Terms & Conditions and Services and Fees, and that occasionally work may be required that is not covered by the Services and Fees document and may therefore generate additional fees, which would be notified to the trustees in advance of them being incurred.

I understand and agree that InvestAcc Pension Administration Limited will undertake additional checks to verify my identity and residency, and those of related parties such as my employer or anyone making a pension contribution on my behalf. These checks will include online identity verification, which may leave a footprint on my identity records.

### Data protection statement

All the information I give to InvestAcc Pension Administration Limited including transactional data, may be shared with and used by the group of companies to which you belong, your associated companies, service providers or agents who may be located in other countries. I understand that you will ensure that my information is only used for the purposes of the Small Self-Administered Pension Scheme of which I am a member and that you will ensure that it is given the levies of protection as required under the UK Data Protection Act 2018.

## Member information (1) continued

I agree that my information be used in this way for administration purposes to provide and run the Small Self-Administered Scheme I have applied for and develop and improve your products and services.

You may also give essential information about me to others if necessary to run my scheme and for regulatory purposes information about me will be kept after my scheme is transferred to another provider or wound up. I understand I have the right to see certain records you hold about me on payment of a fee.

As a trustee I authorise InvestAcc Pension Administration Limited to establish and register the scheme with HMRC on behalf of the trustees. I confirm that I am able and willing to be appointed as a trustee and that

- a) I have not been convicted of an offence involving dishonesty or deception
- b) I am not an undischarged bankrupt
- c) I have not made an arrangement with creditors which remains undischarged
- d) I am not currently disqualified as a company director

I authorise InvestAcc Pension Administration Limited to obtain any information it may require from my employer, any pension provider with which I have benefits, and any other person who may hold information required to administer the scheme.

I understand that if I have given false or inaccurate information and fraud is identified, details will be sent to fraud prevention agencies by InvestAcc Pension Administration Limited. Law enforcement agencies may access and use this information.

### Signed in my capacity as a member and trustee.

Signature	Date
Print name	

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### Please sign and date this application and return it to

InvestAcc Pension Administration Limited  
 Minerva House  
 Port Road Business Park  
 Carlisle  
 Cumbria  
 CA2 7AF

## Member information (2)

### Personal details

Title	Forename(s)		
Surname			
Current home address			
			Postcode
Previous home address (if less than 12 months at current address above)			
			Postcode
National insurance number		HMRC Unique Tax Reference (UTR)	
Mobile phone number		Phone number (office hours)	
Date of birth (DD/MM/YY)		Email address	
Date of joining company (DD/MM/YY)		Normal retirement age (55 to 75) State Pension Age will be assumed if left blank.	

### Marital status

Single
  Married
  Divorced
  Widowed
  Civil partnership

### Is the member a director of the sponsoring employer or a participating employer?

Yes
  No
 Shareholding  %

### Spouse details

Full name of spouse
Spouse's date of birth (DD/MM/YY)

### Proposed contributions

Monthly  £
     
 Annual  £
     
 Single  £

**Transfers** Are you going to transfer your benefits under one or more registered pension schemes into this scheme?

**If Yes**, please complete the following information. You must also complete a separate ceding scheme Transfer Form for each transfer along with our SSAS Transfer In Form.

Number of transfers to be made?	Number of in-specie transfers? (transfer of existing assets)	Approx. value <input type="text"/> £
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## Member information (2) continued

### Nomination of beneficiaries

Member full name

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I would like the trustees to consider distributing any benefits payable on my death to the following, in the proportions shown

Beneficiary full name	Relationship	%
Beneficiary full name	Relationship	%
Beneficiary full name	Relationship	%
Beneficiary full name	Relationship	%

Total

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### Data protection statement

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## Member information (2) continued

I agree that my information be used in this way for administration purposes to provide and run the Small Self-Administered Scheme I have applied for and develop and improve your products and services.

You may also give essential information about me to others if necessary to run my scheme and for regulatory purposes information about me will be kept after my scheme is transferred to another provider or wound up. I understand I have the right to see certain records you hold about me on payment of a fee.

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- b) I am not an undischarged bankrupt
- c) I have not made an arrangement with creditors which remains undischarged
- d) I am not currently disqualified as a company director

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I understand that if I have given false or inaccurate information and fraud is identified, details will be sent to fraud prevention agencies by InvestAcc Pension Administration Limited. Law enforcement agencies may access and use this information.

### Signed in my capacity as a member and trustee.

Signature	Date
Print name	

---

### Please sign and date this application and return it to

InvestAcc Pension Administration Limited  
 Minerva House  
 Port Road Business Park  
 Carlisle  
 Cumbria  
 CA2 7AF

## Member information (3)

### Personal details

Title	Forename(s)		
Surname			
Current home address			
			Postcode
Previous home address (if less than 12 months at current address above)			
			Postcode
National insurance number		HMRC Unique Tax Reference (UTR)	
Mobile phone number		Phone number (office hours)	
Date of birth (DD/MM/YY)		Email address	
Date of joining company (DD/MM/YY)		Normal retirement age (55 to 75) State Pension Age will be assumed if left blank.	

### Marital status

Single
  Married
  Divorced
  Widowed
  Civil partnership

### Is the member a director of the sponsoring employer or a participating employer?

Yes
  No
 Shareholding  %

### Spouse details

Full name of spouse
Spouse's date of birth (DD/MM/YY)

### Proposed contributions

Monthly  £
     
 Annual  £
     
 Single  £

**Transfers** Are you going to transfer your benefits under one or more registered pension schemes into this scheme?

**If Yes**, please complete the following information. You must also complete a separate ceding scheme Transfer Form for each transfer along with our SSAS Transfer In Form.

Number of transfers to be made?	Number of in-specie transfers? (transfer of existing assets)	Approx. value <input type="text"/> £
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## Member information (3) continued

### Nomination of beneficiaries

Member full name

If you wish to nominate who you would like to receive any death benefits in the event of your death, please complete the section below. If the following instructions do not fully reflect your wishes, then you can download and complete a more tailored nomination of beneficiaries form which is available on our website.

I would like the trustees to consider distributing any benefits payable on my death to the following, in the proportions shown

Beneficiary full name	Relationship	%
Beneficiary full name	Relationship	%
Beneficiary full name	Relationship	%
Beneficiary full name	Relationship	%

Total

**I understand that the above is not legally binding and that distribution of death benefits is at the discretion of the trustees of the scheme.**

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## Declaration

I hereby apply to become a member of the pension scheme referred to above and I agree to be bound by the Trust Deed and Rules, as amended from time to time. I declare that the information provided in this application form, and any other documents completed in connection with this application, is to the best of my knowledge and belief, correct and complete.

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**Signed in my capacity as a member and trustee.**

Signature	Date
Print name	

---

**Please sign and date this application and return it to**

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 Minerva House  
 Port Road Business Park  
 Carlisle  
 Cumbria  
 CA2 7AF

## Member information (4)

### Personal details

Title	Forename(s)		
Surname			
Current home address			
			Postcode
Previous home address (if less than 12 months at current address above)			
			Postcode
National insurance number		HMRC Unique Tax Reference (UTR)	
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Date of birth (DD/MM/YY)		Email address	
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### Marital status

Single
  Married
  Divorced
  Widowed
  Civil partnership

### Is the member a director?

Yes
  No
 Shareholding  %

### Spouse details

Full name of spouse
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### Proposed contributions

Monthly  £
     
 Annual  £
     
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## Member information (4) continued

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Member full name
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Beneficiary full name	Relationship	%
Beneficiary full name	Relationship	%
Beneficiary full name	Relationship	%

Total	%
-------	---

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- c) I have not made an arrangement with creditors which remains undischarged
- d) I am not currently disqualified as a company director

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### Signed in my capacity as a member and trustee.

Signature	Date
Print name	

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### Please sign and date this application and return it to

InvestAcc Pension Administration Limited  
 Minerva House  
 Port Road Business Park  
 Carlisle  
 Cumbria  
 CA2 7AF

## Application checklist

- Completed new scheme establishment application**
- Certified copy ID documents**
- Transfer in forms (if applicable)**
- Property and land questionnaire (if applicable)**
- Loan application (if applicable)**



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