

INTRODUCER DECLARATION FORM

We, Hartley Pensions Limited (“Hartley”), company number 09469576, do not accept client introductions on an execution-only, insistent client or other non-advised basis. By signing this declaration form you declare to us that you are authorised and regulated by the FCA (or another satisfactory relevant regulatory organisation, or under the relevant regulations, you are exempt from such authorisation). Before offering a Hartley product to a client you confirm that you have and that you shall continue to:

Maintain all authorisations, permissions and licenses, qualifications and skills necessary to conduct the relevant business;

Conduct business with due skill, care and diligence, in accordance with Principle 2 of the FCA’s Principles of Business or any such equivalent regulatory principle;

Pay due regard to the interests of the client and treat them fairly in accordance with Principle 6 of the FCA’s Principles of Business or any such equivalent regulatory principle;

Consider all the options available and make recommendations that comply with all normal suitability requirements and that on request you shall provide us with evidence demonstrating this. This includes but is not limited to: any recommendations made by you to a client in respect to the product offered by us, the provision of any ongoing investment advice and any other advice in respect of further Hartley products;

Only refer clients to us where you have provided suitable advice to the client regarding the relevant Hartley product, the funding of that product; and the investment(s) being made;

Ensure the client is aware of the relevant HMRC rules and regulations where appropriate, and with specific regard to taxation rules of any separate rules that may be relevant in the jurisdiction within which they are resident;

Ensure the client is aware that Hartley products are governed by UK law;

Only provide advice to a client regarding investments that you believe are suitable for inclusion within the relevant Hartley product;

Promptly pass to each client without amendment, any documents supplied by us for the information of or completion by the client;

As part of you recommending a Hartley product to a client, disclose to the client all fees, charges and costs in relation to that product;

Comply with the relevant rules of the relevant pension trust deed and rules, where applicable;

Bring to our attention any information on any application form, document, or instruction given by the client where you have reason to believe that the information is not accurate, is misleading, or is out of date;

Retain evidence of client’s instructions for investment and movements of funds and provide such information to us on request;

Promptly pass to us all application forms, documents or other communications provided by the client and that needs to be sent to us, and forward to us such monies received from the client intended to complete any investment in a Hartley product.

Inform us immediately when prospective clients waive their cancellation rights and tell us the reason given;

Please return completed form to:

Hartley Pensions Ltd, 5th Floor, 25 Marsh Street, Bristol, BS1 4AQ. Authorised and regulated by the Financial Conduct Authority 735936 and registered in England and Wales 094695576. T:0117 316 9991 E: admin@hartleypensions.com W: www.hartleypensions.com



Be responsible for ensuring that the client pays us (or any person appointed on our behalf and notified to us) all appropriate fees and costs due to us in respect of each Hartley product. You acknowledge that such fees and costs may be amended from time to time;

Ensure that any charges the client incurs due to the services offered by you, paid through a Hartley product, are compliant with FCA or other relevant regulations and relate only to the advice given in respect of the relevant Hartley product;

Notify us immediately in writing if you cease to act for the client in relation to a Hartley product;

Ensure that any member of your staff advising on a Hartley product holds a current Statement of Professional Standing (SPS) as required by the FCA, or an adequate alternative as required by the appropriate regulatory body in your jurisdiction, and both notify us and immediately prevent further advice being given, if a member of staff has their SPS, or equivalent, removed;

Maintain adequate procedures to ensure all your employees are properly trained and competent;

NOT do anything that would bring us into disrepute;

NOT be registered (nor your staff) on the list of prohibited individuals or cancelled firms and have a clean disciplinary history;

Notify us and the client immediately if any actual or potential conflicts of interest arise from you giving advice on a Hartley product and fully and prominently disclose to us and the client in writing any potential conflict at the outset;

Comply with the anti-money laundering requirements set by us and in accordance with all applicable laws and regulations; Maintain the confidentiality and security of all personal and sensitive data, as defined by the Information Commissioners Office (ICO), or equivalent body in your jurisdiction, for example; policy numbers or valuations of a Hartley product, given to you by us;

At all times use, or access, personal data only to carry out your duties in accordance with the Data Protection Act 2018, or any such equivalent in your jurisdiction, and the General Data Protection Regulations;

Maintain appropriate risk management systems and controls in place to address risks of financial crime and that you can demonstrate that a risk assessment is undertaken regularly;

By signing the below you declare that you adhere to, and will continue to adhere to, all of the above declarations and will inform us immediately if this ceases to be true.

Signature*

Print Name

On behalf of

Date

*Please ensure this declaration is signed by someone duly authorised within the company.

Please return completed form to:

Hartley Pensions Ltd, 5th Floor, 25 Marsh Street, Bristol, BS1 4AQ. Authorised and regulated by the Financial Conduct Authority 735936 and registered in England and Wales 094695576. T:0117 316 9991 E: admin@hartleypensions.com W: www.hartleypensions.com

