

Adviser Charging Form Guidance

Quick actions:

Document reference H108G

1. Member details

If you are completing this form as a supplement to a new application, leave this section blank.

Forename(s)	Your first name and any middle names.
Surname	Your last name.
Date of birth	Your date of birth in the format DD/MM/YY.
Hornbuckle plan number	Your plan number is an 8-character alpha-numeric reference that we quote on our correspondence. The plan number will either start "DW" followed by six numbers (e.g. DW123456), or with six letters followed by two numbers (e.g. ABCDEF01).
Email	Your preferred contact email address. We will use your email address to send you information relating to the administration of your plan, so you should avoid using a work email address or another address likely to be accessed by someone else.
Is this a new instruction, or an amendment to an instruction you have already given to us?	Select "New" if this represents a new agreement between you and your financial adviser to make a payment from your plan with Hornbuckle. Select "Amendment" if you have already agreed to pay your adviser a fee from your Hornbuckle plan, and you want to use this form to amend that agreement.

2. Adviser details

If you are completing this form as a supplement to a new application, leave this section blank.

Adviser name	The full name of your adviser as it appears on the financial services register.
Firm name	The name of the adviser firm as it appears on the financial services register. If the firm is using a trading name, write the trading name as it appears on the financial services register. If the firm is an appointed representative of another regulated firm, write the name of the appointed representative (not the name of the principal firm).
Firm FCA reference	The FCA reference number of the firm.

3. One-off fees

Do you want to pay your adviser a one-off fee in relation to the advice or other services they have provided to you?	By "one-off" fees we mean fees that relate to the establishment of your Hornbuckle plan, or a single transaction after the plan has been set up e.g. a transfer to your plan, an investment you make using your plan, etc. If the fee you wish to pay from your plan relates to an ongoing service provided to you by your adviser, please tick "No" and proceed to section 4.
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3. One-off fees cont.

Do you want to pay your adviser a fixed cash amount, or an amount based on a percentage of your fund value?	Select "Cash amount" if you have arranged to pay your adviser a fixed cash sum. Select "Fund-based percentage" if you have arranged to pay your adviser a percentage of your fund value.
Cash amount	The amount of any fixed cash sum you have agreed to pay.
Fund-based percentage	The percentage you have agreed to pay your adviser.

4. Ongoing fees

Do you want to pay your adviser an ongoing fee in relation to the advice or other services they will provide to you?	By "ongoing" fees we mean fees that relate to a service your adviser will be providing to you on an ongoing basis in relation to your Hornbuckle plan e.g. annual or more frequent meetings to discuss the performance of investments held in your plan, any adjustments that need to be made to the level of your contributions to provide the income you require in retirement, etc.
Do you want to pay your adviser a fixed cash amount, or an amount based on a percentage of your fund value?	Select "Cash amount" if you have arranged to pay your adviser a fixed cash sum. Select "Fund-based percentage" if you have arranged to pay your adviser a percentage of your fund value.
Cash amount (p.a.)	The amount of any fixed cash sum you have agreed to pay. You should enter the amount payable each year (per annum), rather than the amount payable per payment (if payments are made more frequently than annually).
Fund-based percentage (p.a.)	The percentage you have agreed to pay your adviser. You should enter the percentage payable each year (per annum) rather than the percentage payable per payment (if payments are made more frequently than annually).
How should the ongoing fees be paid?	Select "Annual payments" if you want to pay the ongoing fees in a series of annual payments. Select "Quarterly payments" if you want to pay the ongoing charges to your adviser in a series of quarterly payments.

5. Member declaration

If you are completing this form as a supplement to a new application, leave this section blank.

You should read this section carefully, as it represents your authorisation to pay your financial adviser the charges you have agreed, as per sections 3 and 4 of the form.

You should sign and date this section of the form where indicated.

6. Adviser declaration

This section of the form should be completed by your financial adviser.

Get in touch

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