

## Member Questionnaire

### Scheme details

Name of Scheme

Name of Member

Member is Scheme  
Administrator

YES

NO

Principal  
Employer's Name

**Please complete this form in full using BLOCK CAPITALS and dark ink. There are notes to help you. Any omission could delay commencement of services. Please initial any changes you make and do not use correction fluid if you make a mistake.**

**On completion, sign and date the Declaration before returning it to us with a completed Application Form (not required for a member joining an existing scheme).**

**The information supplied will be held in the strictest confidence and subject to the provisions of Data Protection Legislation.**

# Member Questionnaire

## Member details

Title	<input type="text"/>	
Forename(s)	<input type="text"/>	
Surname	<input type="text"/>	
Permanent Residential Address	<input type="text"/>	
	<input type="text"/>	
Country	<input type="text"/>	Postcode <input type="text"/>
Telephone Number (inc.area code)	<input type="text"/>	
Email Address	<input type="text"/>	
National Insurance Number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="checkbox"/> Male <input type="checkbox"/> Female
Nationality	<input type="text"/>	
Occupation	<input type="text"/>	
Date of Birth	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married/Civil Partnership <input type="checkbox"/> Separated <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed	
Spouse's/Civil Partner's Date of Birth	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	

## Member consent

Rowanmoor Executive Pensions Limited may want to contact you occasionally by post or email to let you know about other products and services available from us, or to forward your contact details to another firm associated with the Embark Group Limited of which Rowanmoor is part. Please indicate your preferences by ticking the relevant boxes.

I consent to Rowanmoor Executive Pensions Limited contacting me about other products and services.

YES  NO

I consent to Rowanmoor Executive Pensions Limited passing my contact details to other subsidiaries within Embark Group Limited, for them to contact me about their products and services.

YES  NO

You can withdraw this consent or change this instruction at any time. Our contact information is detailed on the last page of this document.

If you have answered 'yes' to any of the above, please confirm how you would prefer to be contacted.

I would prefer to be contacted by email using the email address provided above

I would prefer to be contacted by post

Signature	<input type="text"/>
Print Name	<input type="text"/>
Date	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

## Employer details

Please only insert name if different from that detailed on the front page of this questionnaire.

Name of Employer	<input type="text"/>
Date you joined Employer	<input type="text" value="D D M M Y Y"/>
Are you a Director?	<input type="checkbox"/> YES <input type="checkbox"/> NO
Date you became a Director	<input type="text" value="D D M M Y Y"/>
% of Company owned	<input type="text"/>

## Declaration

This is our standard Member Questionnaire upon which we intend to rely. For your own benefit and protection you should read this declaration carefully before signing. If you do not understand any point please ask for further information or seek advice from a suitably qualified professional.

### How we use your information

The information on this form and any supplementary information provided by you and/or your nominated advisers, now or in the future, will be used by Rowanmoor to:

1. provide services to the scheme trustees, which will include establishing records on our systems;
2. send information relating to the SSAS to any of the trustees of the scheme;
3. provide statistics for marketing/new business analysis by Rowanmoor or its agents;
4. give essential information about your SSAS to others (for example, investment providers, regulatory authorities, or your agents such as your financial adviser or investment manager) if necessary to provide the agreed services and for legal or regulatory purposes.

Information about you will be kept after your account is closed.

I agree to the appointment of Rowanmoor Executive Pensions Limited to provide scheme practitioner services to the small self-administered scheme, of which I am a member.

I authorise any scheme administrator, scheme practitioner, or other party associated with the scheme to disclose to Rowanmoor Executive Pensions Limited any information they may request about the scheme and my benefits within it.

I confirm the information provided on this form is true and correct to the best of my knowledge.

I understand to comply with Money Laundering Regulations, Rowanmoor Executive Pensions Limited may verify my identity through the use of an electronic identity verification system. Where a check is carried out, the system will also check whether I have a credit history, but it will not disclose any details. The system will add a note to my credit file to show that an identity check was made, but this information will not be available to third parties for credit assessment purposes. If the check does not confirm my identity, Rowanmoor Executive Pensions Limited will need to carry out a manual check and may need to contact me for further information. Acceptance of my application is subject to satisfactory completion of identity verification checks.

Signature	<input type="text"/>
Print Name	<input type="text"/>
Date	<input type="text" value="D D M M Y Y"/>

## Group privacy policy

Rowanmoor, trading as Rowanmoor Executive Pensions Limited will collect personal information about you such as your name and address ('Personal Data'). Rowanmoor Executive Pensions Limited will be the Data Controller as defined under UK Data Protection legislation and regulations.

We will only process your personal data where we have a legal basis for doing so. This includes:

- Where you have provided positive consent to the company
- Processing is necessary for the performance of a contract between you and the firm or to take steps to enter into a contract;
- Processing is necessary for compliance with a legal or regulatory obligation
- The company has a legitimate interest upon which the data may be processed. Any decision to process data on the basis of legitimate interest will be made on a case by case basis and in line with the guidance set out in UK Data Protection legislation.

We may disclose your Personal Data to other companies within the Embark Group of companies and third parties which provide services in connection with the administration of your account.

We may also share your Personal Information for legitimate business reasons or as may be required by applicable law and regulations with your Financial Adviser, third parties appointed by your Financial Adviser, third party investment managers, and product providers with whom you or your Financial Adviser instructs us to invest.

We may disclose your Personal Information to a credit reference agency in order to verify your details both during the application process and the ongoing administration of your account. This information will be used to prevent fraud and money laundering and to check your identity. Any checks performed may be recorded on your credit history.

We will disclose your Personal Information to any governmental, legal or regulatory body if required to do so by applicable law and regulation.

We may need to disclose sensitive Personal Data about you to third parties, such as information relating to your health where required to do so to give effect to an instruction from you or your Financial Adviser in respect of your account

We may need to transfer your Personal Data to another country, in which case we will ensure that your Personal Data is afforded the same level of protection as is required under UK Data Protection legislation and regulations prior to sending your Personal Data.

We will otherwise keep your personal information confidential and never use it for any other purpose or pass your details to any third parties without your consent.

We will retain your Personal Data for no longer than is necessary to provide the services under the Terms and Conditions applicable to the account and to meet any legal or regulatory obligations that may apply.

You have a number of rights under the Data Protection legislation, including:

1. the right to request a copy of the personal information we hold on you. When you request this information, this is known as making a Subject Access Request (SAR). In most cases, this will be free of charge, however in some limited circumstances, for example, repeated requests for further copies, we may apply an administration fee;
2. the right to have personal information we hold about you transferred securely to another service provider in electronic form;
3. the right to have any inaccurate personal information corrected;
4. the right to have any out of date personal information deleted once there's no business need or legal requirement for us to hold it;
5. the right to object or restrict some processing, in limited circumstances and only when we don't have legitimate grounds for processing your personal information;
6. the right to object to your personal information being used to send you marketing material. We will only send you marketing material where you've given us your consent to do so. You can remove your consent at any time

If you have any questions regarding how the firm uses the data it collects please contact:

The Group Data Protection officer  
The Embark Group  
100 Cannon Street  
London  
EC4N 6EU

If you are not satisfied with any aspect of how we have managed your data you have the right to complain to the Information Commissioners Office. For further details of your rights under the UK's data protection legislation and regulation please contact the Information Commissioner's Office at <https://ico.org.uk/for-the-public/>

By signing the application form, you consent to the use of your Personal Information for the purposes and on the terms set out above. You have the right to withdraw consent at any time.

# Identity Verification Certificate

To be completed by a regulated UK or EU Intermediary when introducing retail sector business.

Please complete a separate certificate for all parties to the contract (e.g. joint applicants, trustees, settlors and third parties) where you have been required to undertake identification.

Name of Applicant*/Trustee*/ Third Party* (in full) *Delete as applicable	<input type="text"/>	
Date of Birth	<input type="text" value="D"/>	<input type="text" value="D"/>
	<input type="text" value="M"/>	<input type="text" value="M"/>
	<input type="text" value="Y"/>	<input type="text" value="Y"/>
Address	<input type="text"/>	
	<input type="text"/>	
	<input type="text"/>	
Country	<input type="text"/>	Postcode <input type="text"/>
If this individual has changed address in the last three months please give the previous address here.	<input type="text"/>	
	<input type="text"/>	
	<input type="text"/>	
Country	<input type="text"/>	Postcode <input type="text"/>

## I/We certify that:

- a) the information given above was obtained by me/us in relation to this individual;
- b) the evidence I/we have obtained to identify the customer  
**please tick one box only**
  - meets the guidance for standard evidence set out within the guidance for the UK Financial Sector issued by the JMLSG; or
  - exceeds the standard evidence (written details of the further verification evidence taken are attached to this certificate);
- c) upon request I/we will supply you with evidence of the identity of this individual.

## To be signed by either

Name of Regulated Firm	<input type="text"/>	
Regulator's Name and Reference Number	<input type="text"/>	
<b>or</b>		
Name of Regulated Individual*	<input type="text"/>	
Regulator's Name and Reference Number	<input type="text"/>	
Signed (original signature required)	<input type="text"/>	COMPANY STAMP
Name	<input type="text"/>	
Position	<input type="text"/>	
Date	<input type="text" value="D"/>	
	<input type="text" value="D"/>	
	<input type="text" value="M"/>	
	<input type="text" value="M"/>	
	<input type="text" value="Y"/>	
	<input type="text" value="Y"/>	

\*Regulated individuals are not permitted to self-certify.



Head Office and Salisbury Administration Centre  
Rowanmoor House  
46-50 Castle Street  
Salisbury SP1 3TS // rowanmoor.co.uk

Rowanmoor is a trading name of the following three companies, Rowanmoor Executive Pensions Limited registered number 05792242, Rowanmoor Personal Pensions Limited registered number 02268900 and Rowanmoor Trustees Limited registered number 01846413. The registered office for each of these three companies is Rowanmoor House, 46-50 Castle Street, Salisbury, SP1 3TS. The three companies are also wholly owned subsidiaries of Embark Group Limited. Rowanmoor Personal Pensions Limited is authorised and regulated by the Financial Conduct Authority (FCA) under reference number 458260. The provision and administration of Small Self-Administered Schemes (SSAS) and trustee administration are not regulated by the FCA. Therefore, Rowanmoor Executive Pensions Limited and Rowanmoor Trustees Limited are not regulated by the FCA in relation to these schemes or services.

If you require this document in audio, large print or Braille format, please telephone 03445 440 550 or fax 03445 440 500.