Raymond James 'Application Forms' & 'Change of Details' Checklist

Forms are available to download from the document library on our website
Please contact us for client specific Schedule of Fees & Charges (SOFAC)

[click here to visit our document library for the latest application forms]

	Documents Required	Signatures Required	Documents Provided to the Client (*for their information*)	Notes & Additional Documents Required from Adviser
GIA Individual	Individual General Investment Account Application Form, Client Suitability & Agreement, Introducer Authority, Client transfer authority letter**, Certified copy AML x 2, Source of Wealth Evidence (if required)	Client. IFA as Authorised Third Party Original wet signature needed	Casterbridge Wealth T&C's, Raymond James Inv. Srvs. TOB, Schedule of Fees & Charges	N/A - unless there is something you deem we require for information purposes. ** Where in specie transfer is from another provider
GIA Joint	Joint General Investment Account Application Form, Client Suitability & Agreement, Introducer Authority, Client transfer authority letter**, Certified copy AML x 2, Source of Wealth Evidence (if required)	Client. IFA as Authorised Third Party Original wet signature needed	Casterbridge Wealth T&C's, Raymond James Inv. Srvs. TOB, Schedule of Fees & Charges	N/A - unless there is something you deem we require for information purposes. ** Where in specie transfer is from another provider
Individual GIA & ISA form (combined)	Individual General Investment and Stocks and Shares ISA Application Form, Client Suitability & Agreement, Introducer Authority, Client transfer authority letter**, ISA consolidation form*, Certified copy AML x 2, Source of Wealth Evidence (if required)	Client. IFA as Authorised Third Party Original wet signature needed	Casterbridge Wealth T&C's, Raymond James Inv. Srvs. TOB and ISA TOB, Schedule of Fees & Charges	N/A - unless there is something you deem we require for information purposes. ** Where in specie transfer is from another provider
ISA	Stocks and Shares ISA Application Form, Client Suitability & Agreement, Introducer Authority, ISA consolidation form*, Certified copy AML x 2, Source of Wealth Evidence (if required)	Client. IFA as Authorised Third Party Original wet signature needed	Casterbridge Wealth T&C's, Raymond James Inv. Srvs. TOB and ISA TOB, Schedule of Fees & Charges	N/A - unless there is something you deem we require for information purposes. * One form per ceding provider
ISA Consolidation form* (***for ISA transfers***)	ISA Consolidation form to accompany ISA Application if transferring from another provider. This can also be used for adhoc ISA transfers	Client only Original wet signature needed	N/A	N/A - unless there is something you deem we require for information purposes
Offshore Bond	Offshore Portfolio Bond Account form, Client Suitability & Agreement, Introducer Authority, Certified copy AML x 2, Source of Wealth Evidence (if required)	Client only Original wet signature needed	Casterbridge Wealth T&C's, Raymond James Inv. Srvs. TOB, Schedule of Fees & Charges	OPB Provider forms nominating CWI as DFM, check with the Offshore Bond provider. ***If this is a Discretionary or Will Trust please contact us for a list of supporting documents***
SIPP	SIPP Account Application Form, Client Suitability & Agreement, Introducer Authority, Client transfer authority letter**, Certified copy AML x 2	Client and SIPP Provider as Pension Trustee Original wet signature needed	Casterbridge Wealth T&C's, Raymond James Inv. Srvs. TOB, Schedule of Fees & Charges	** Where in specie transfer is from another provider
Trust	Trust and Self-Certification Application Form, Client Suitability & Agreement, Introducer Authority,Client transfer authority letter**, Certified copy AML x 2, Source of Wealth Evidence (if required)	Client, Trustees Original wet signature needed	Casterbridge Wealth T&C's, Raymond James Inv. Srvs. TOB, Schedule of Fees & Charges	Certified copies of Trust Deeds Deed of Appointment/Retirement. AML for all trustees as per client requirements.
SSAS	Trust and Self-Certification Application Form, Client Suitability & Agreement, Introducer Authority, Client transfer authority letter**, Certified copy AML x 2	Client and Trustees of the SSAS, as per the trust deed Original wet signature needed	Casterbridge Wealth T&C's, Raymond James Inv. Srvs. TOB, Schedule of Fees & Charges	Certified copies of the SSAS trust deed. Online print out from HMRC website confirming the scheme registration and PSTR number. Certified copy of the supplemental terms and conditions. ** Where in specie transfer is from another provider
For Corporate, Charity, QROPS & QNUPS	*Please contact us for full support before proceeding*			
Change of address and/or tax residency	Change of Details: Address/Tax Residency form only	Client only Original wet signature needed	N/A	N/A
Change of bank details	Change of Details: Add/Change Bank Details form only	Client only Original wet signature needed	N/A	N/A
Change of Trust name and/or Trustee	Trust: Change of Name and/or Trustee form accompanied by relevant Deed. AML for new trustees. Original/certified copy of Trust Deed/amendment.	New Trustee Original wet signature needed	N/A	N/A

document ref: 2022-002