

HAWKSMOOR

INVESTMENT MANAGEMENT

PORTFOLIO MANAGEMENT
SERVICES

For Clients of Financial Advisers

(Office Use Only)

Account Name

Financial Adviser

Investment Manager

Fee Code

ACCOUNT APPLICATION FORM

Offshore Bonds

PLEASE READ THIS PAGE BEFORE YOU COMPLETE THIS FORM

This *Account Application Form* ensures that we are aware of your requirements so that we have the essential information to provide the level of service suitable for you, and to set up and operate an Account for you.

The information you provide will be treated in the strictest confidence and will only be used by Hawksmoor to enable us to provide a suitable service to you and to comply with tax reporting regulations.

If you do not complete our Forms in full, or if in the future you do not inform us of any significant change to your circumstances, you should be aware that your portfolio may be inappropriate to your risk profile and/or investment objective.

Once we have a completed and signed copy of this Form, and have satisfied our obligations under the Anti-Money Laundering legislation, the Agreement between you and Hawksmoor comes into effect.

The Bond portfolio's investments will be held in a nominee account provided by a specialist third party provider of settlement and custody services, also authorised and regulated by the Financial Conduct Authority. More details, including the terms & conditions of the third party provider's services, can be found in the Hawksmoor *Terms and Conditions* document.

IMPORTANT INFORMATION ON THE ROLES OF YOUR FINANCIAL ADVISER AND HAWKSMOOR

Your Financial Adviser retains the responsibility for establishing the suitability of the Hawksmoor investment management services for your particular needs, based upon the detailed information you have provided him/her. In particular it is important to note that your Financial Adviser is responsible for advising you on the appropriate investment objective and preferred level of risk of the Bond portfolio, and for keeping us informed of any changes to your circumstances that may affect the way we should manage the Bond portfolio. We are not responsible for the accuracy of the information you provide to your Financial Adviser.

Hawksmoor is responsible for constructing and subsequently managing the Bond portfolio in accordance with the Objective and Risk levels agreed upon by you and your Financial Adviser, taking into account any investment restrictions or instructions that you have specified.

Our services are classified as "Restricted Advice" because we specialise in investment management and do not provide financial advice. Financial planning remains the responsibility of your Independent Financial Adviser. Please see the *Terms and Conditions* document for a definition of our regulatory classification.

DETAILS OF THE BOND

Please complete in BLOCK CAPITAL LETTERS.

Full Name of Bond	
Policy Provider	
Bond Holder	
Policy Number	

DETAILS OF THE BOND PROVIDER

Please complete in BLOCK CAPITAL LETTERS.

1. Contact Details

Full Name	
Address	
Postcode	
Contact Name	
Telephone	
Email	

2. Bond Provider's Bank Details

Under the terms of the Policy any payments from the Bond portfolio will be made to the Bond Provider. We are not permitted to make any payments directly to the Bond Holder. The Bond Provider may request us to transfer cash to it from time to time to settle its fees and to make distributions from the Bond.

Account Name			
Bank		Sort Code	
Address		Account Number	
		Other Ref (if any)	

DETAILS OF THE BOND HOLDER

Please complete in BLOCK CAPITAL LETTERS.

	Bond Holder (or First Trustee)	Second Bond Holder (or Second Trustee)
Title		
First Name(s)		
Surname		
Address		
Postcode		
Home Telephone		
Mobile Telephone		
Email Address		
Date of Birth		
Place of Birth		
Nationality		
National Insurance Number		

If there are more than two Trustees, please provide all their details on Page 11.

DETAILS OF THE BENEFICIARIES (TRUSTS ONLY)

Please complete in BLOCK CAPITAL LETTERS.

Please provide the names and relevant information about the Principal Beneficiaries of the Trust, including the nature of their interest (eg present interest in income, residuary interest in capital, discretionary beneficiary).

We may need to ask them to satisfy our Anti-Money Laundering and Tax Self-Certification Procedures, including the provision of relevant documentation for proof of identity and address.

	First Principal Beneficiary	Second Principal Beneficiary
Title		
First Name(s)		
Surname		
Address		
Postcode		
Date of Birth		
Place of Birth		
Nationality		
National Insurance Number		
Nature of Interest		

Please provide any further relevant information on these two Beneficiaries, and details of any other Beneficiaries of the Trust, in the box below or use the additional space on Page 11.

INFORMATION ABOUT THE ACCOUNT

1. Portfolio Service

DPMS		Capstone		EPMS	
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2. Value of the Portfolio to be Managed

Amount to be invested as cash:

£

Please make cheques payable to **Pershing Securities Limited**.

Existing securities to be transferred (approximate value including ISAs):

£

Please provide a copy of the most recent valuation of these investments, including the acquisition dates and costs of the holdings to be transferred.

3. Investment Objectives and Risk

Please tick this box to confirm you have received and approved an initial *Investment Report*

Please see the document *Explaining Your Portfolio* and the initial *Investment Report* for guidance on confirming the Investment Objective and the Risk Profile.

Please confirm the chosen Investment Objective and Risk Profile by ticking the appropriate boxes below.

Investment Objective	
Capital Growth	<input type="checkbox"/>
A Balance between Income & Growth	<input type="checkbox"/>
Income	<input type="checkbox"/>

Risk Profile	
Low	<input type="checkbox"/>
Low/Moderate	<input type="checkbox"/>
Moderate	<input type="checkbox"/>
Moderate /High	<input type="checkbox"/>
High	<input type="checkbox"/>

Investment Restrictions and Specific Instructions

Please give details of any restrictions, specific instructions or any other information not otherwise included on this Form that you would like us to take into account in managing your portfolio. If you leave this box blank, we will assume that there are none.

4. Charges

Please see the separate *Schedule of Charges for Clients of Financial Advisers* for the Portfolio Service chosen in Section 1 and the *Ex-Ante Costs and Charges Disclosure* document for details of these fees and charges and any other charges that may apply to your portfolio.

4.1 (DPMS only)

If there are any further details that are applicable to the management of your portfolio, please indicate in the 'Additional notes about Fees' box. If necessary, specify relevant accounts on Page 11.

Fee Only		Fee and Transaction Dealing Charges	
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Additional notes about Fees

4.2 Aggregated 'Family' Management Fees

(For explanation of a 'Family Group' see the *Terms and Conditions* document)

We will assume that the Aggregated 'Family' Management Fees are to be charged pro rata across the portfolio, according to value. If this is **not the case**, please indicate in the box below how you would prefer the fees to be settled.

5. Communicating with You and Other Parties

For Trusts, it is usual practice for one Trustee to be nominated by all the Trustees to act as 'Lead Trustee' and to be our principal contact in respect of the Trust's portfolio. The Lead Trustee will receive on behalf of all the Trustees all correspondence and any reports and statements that you select in the table below.

Nominated Lead Trustee	
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By nominating a Lead Trustee, the Trustees will authorise us to act on the sole instructions of the Lead Trustee without verifying the instructions with the other Trustees, unless we are expressly requested to do so.

5.1 Documentation

The Quarterly Report which includes valuations and details of all transactions (both cash movements and details of purchases and sales) is usually produced on the last business day of each quarter (March, June, September and December). Contract notes will not be issued at the time of transaction unless you instruct us otherwise.

We will always send the Lead Trustee the Quarterly Report for the portfolio, but please indicate by ticking the appropriate boxes below which of the additional reports and statements you and / or other third party recipients would like to receive in respect of the portfolio.

We will send directly to the Bond Provider all the information that they require.

	Bond Holder/Lead Trustee	Bond Provider	Financial Adviser	Other
Quarterly Reports & Valuations	✓			
General Correspondence				

Please provide third party recipient contact details

Company/Firm		
Full Name		
Position		
Address		
Telephone		
Email		

5.2 Third Party Instructions

Please indicate your permission for any third parties to give instructions on your behalf.

For Trusts, please indicate if the Trustees wish to authorise any other party in addition to the Lead Trustee, such as a Financial Adviser, or Other Trustees, to give us instructions in respect of the management of the Account on behalf of the Trustees.

(Please note some third parties will be subject to verification to comply with Anti-Money Laundering legislation). We reserve the right to contact you to verify your agreement to any third party instruction received).

	Financial Adviser	Other
Permission to give instructions on my behalf, or on behalf of the Trustees		

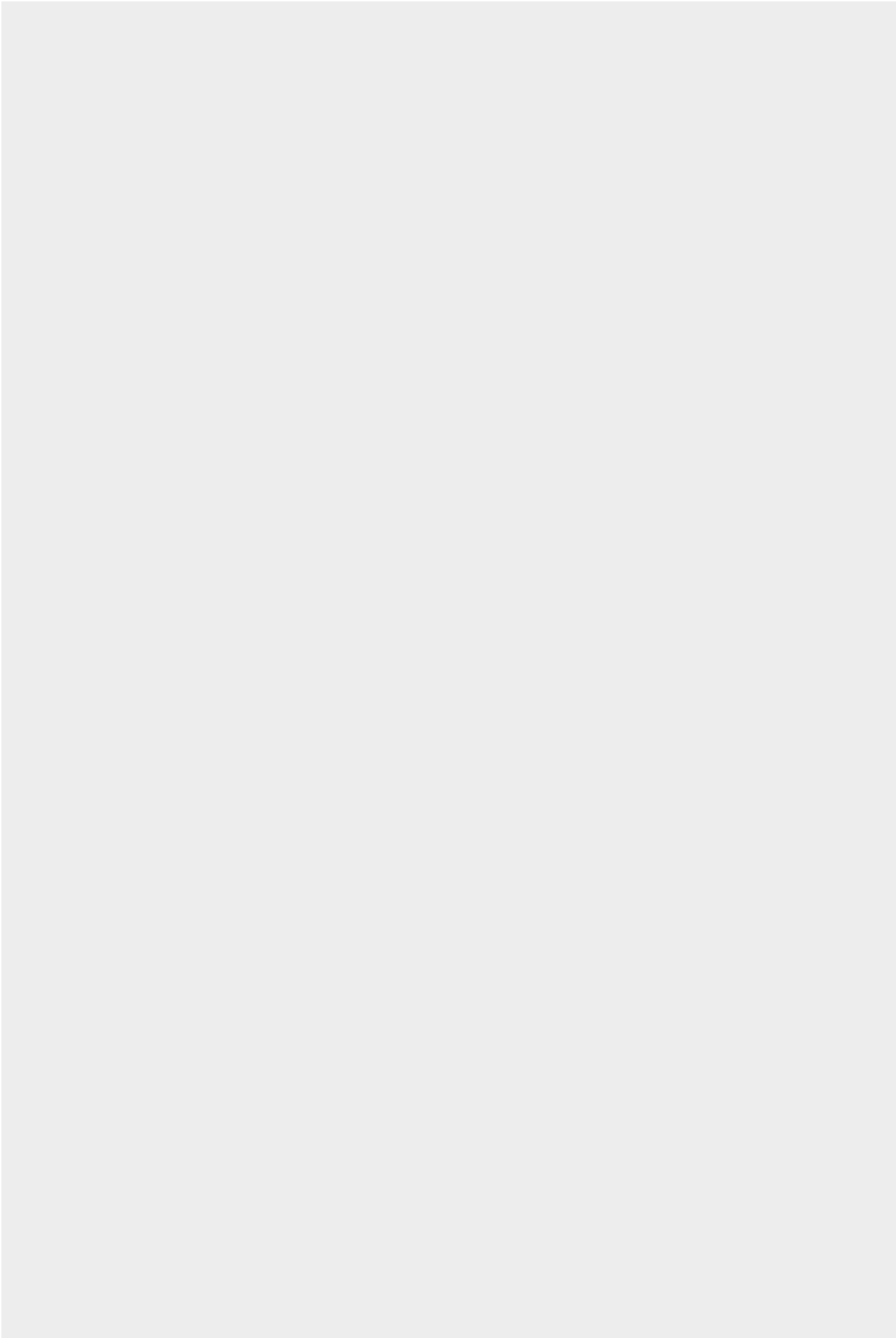
Please provide contact details (if different from 5.1)

Company/Firm		
Full Name		
Position		
Address		
Telephone		
Email		

6. Online Portfolio Valuations

Please tick this box if you would like to be able to view your portfolio online. If so, we will send you details of how to gain secure access via our website. Your Adviser will also be able to view your portfolio online unless you advise us to the contrary.

Please use this page for any further information you think may be relevant to this Application or to the management of the Portfolio.



CLIENT DECLARATION

This *Account Application Form*, the *Terms and Conditions* document, the *Schedule of Charges for Clients of Financial Advisers*, the *Explaining Your Portfolio* document and the *Ex-Ante Costs and Charges Disclosure* document together constitute our standard client agreement (“Agreement”) upon which we intend to rely.

For your own benefit and protection, you should read these documents carefully before signing this Form. If there is anything in them that you do not understand or you would like to discuss further, please get in touch with us or with your Adviser.

I/We declare that all the details of the Agreement are correct to the best of my/our knowledge, that they comprise all the information that I am/we are able or willing to provide and that **I/we will inform Hawksmoor in writing if there should be any material changes to the information that I/we have provided.**

I/We authorise you to accept instructions in relation to the Bond portfolio from my/our Financial Adviser, including payments to the Bond Provider.

I/We understand that the prime client relationship is between

Hawksmoor and the Bond Provider and that the Bond Provider is the sole legal beneficial owner of the assets within the Bond, including the Bond Portfolio.

I/We understand that only the Bond Provider, and not Hawksmoor, is permitted to make payments from the Bond portfolio directly. The Bond Provider may request Hawksmoor to transfer cash from the Bond portfolio to them so that it can make distributions from the bond or to settle its fees.

Where the Policy Holders are Trustees, we understand that the Trustees will be jointly and severally liable in respect of all the Terms and Conditions and any other obligations referred to in this Application form. However, Hawksmoor may always act on the sole instructions of the Lead Trustee without verifying the instructions with the other Trustees, unless expressly requested to do so (see Section 5 above).

I/We hereby apply for an Account with Hawksmoor Investment Management Limited

Bond Holder (or First Trustee)		Second Bond Holder (or Second Trustee)	
Signature		Signature	
Name		Name	
Date		Date	

Bond Provider	
Signature	
Name	
Position	
Date	

Please provide a list of authorised signatories.

Signed for and on behalf of Hawksmoor	
Name/Capacity	
Date	

Please also complete the Tax Status Self-Certification forms.

Individual Tax Status Self-Certification

UK Tax Regulations¹ require us to collect information about each investor’s tax residency. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with HMRC. If you have any questions about your tax residency, please contact your tax adviser. Should any information provided change in the future, please ensure you advise us of the changes promptly.

Tax Residency

Please indicate **all countries in which you are resident for tax purposes** and the associated Tax Reference Numbers in the table below. If you are a US citizen or resident, please include United States in this table along with your US Tax Identification Number. (Please complete an additional sheet if necessary).

First Applicant	
Country/Countries of Tax Residency	Tax Reference Number / NI Number

Second Applicant	
Country/Countries of Tax Residency	Tax Reference Number / NI Number

Declaration

I declare that the information provided on this page and the Account Application Form is to the best of my knowledge and belief, accurate and complete. I agree to notify Hawksmoor Investment Management Limited immediately in the event the information in the Self-Certification changes.

First Applicant		Second Applicant	
Signature		Signature	
Name		Name	
Date		Date	

1. The term “UK Tax Regulations” refers to HMRC regulations created to enable automatic exchange of information and include FATCA² and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information.
 2. The term “FATCA” refers to The Foreign Account Tax Compliance provisions contained in the US Hire Act 2010.

FINANCIAL ADVISER DECLARATION

This section is to be completed by the Financial Adviser.

Name of Primary Contact	
Name of Company	
FCA Registration Number	
Address	
Telephone	
Fax	
Email Address	
VAT Number	
Bank Details	

Details of all transactions, both cash movements and details of purchases and sales, are included in the Quarterly Report. Contract notes will not be issued at the time of transaction unless you instruct us otherwise.

I confirm that the client information in this Form is to the best of my knowledge correct.

I confirm I have completed a fact find for the client, verified their identity and established the source of their wealth. I will provide certified copies of the required documents as requested to at least meet the standard evidence required by JMLSG.

I understand that Hawksmoor will act on a “Restricted” basis (as explained in the Hawksmoor *Terms and Conditions* document) and will manage my client’s investments in accordance with the Risk and Objective levels that I have agreed with my client and that are indicated in this Form. I accept responsibility for assessing the suitability of the Hawksmoor service as required by the FCA.

I understand it is my responsibility to review regularly the client’s risk tolerance and objectives, and to notify Hawksmoor of any change to the client’s circumstances that may be material to the management of the investments.

I confirm that any remuneration that I have agreed with the client will be paid from the cash account held by the Bond Provider and not directly from the Bond portfolio.

Signed	
Name	
Date	

CONFIRMATION OF VERIFICATION OF IDENTITY

Client Name(s)	
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CONFIRMATION

Please tick the appropriate box. Incomplete forms may be rejected due to failure to comply with Anti-Money Laundering regulations.

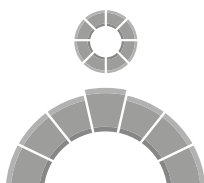
I/We confirm that:

- (a) the information in this form was obtained by me/us in relation to the client;
- (b) the evidence I/we have obtained to verify the identity of the client

(please tick one)

meets the standard evidence set out within the guidance for the UK Financial Sector issued by JMLSG	<input type="checkbox"/>
requires enhanced due diligence evidence (written details of the further verification evidence taken are attached to this confirmation).	<input type="checkbox"/>

Signed	
Name	
Position	
Date	



HAWKSMOOR

INVESTMENT MANAGEMENT

For further information on any of our services, or to arrange a meeting with an investment manager, please call one of our offices.

You can also find more information on Hawksmoor, our services and full contact details on our website at www.hawksmoorim.co.uk

Head Office:

17 Dix's Field

Exeter

EX1 1QA

01392 410180

Offices also in:

London

Taunton

Dorchester

Bury St. Edmunds

info@hawksmoorim.co.uk

www.hawksmoorim.co.uk

Registered Address:

2nd Floor Stratus House, Emperor Way, Exeter Business Park, Exeter EX1 3QS. Company Number 6307442

Hawksmoor Investment Management Limited is authorised and regulated by the Financial Conduct Authority