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# HAWKSMOOR

INVESTMENT MANAGEMENT

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PORTFOLIO MANAGEMENT  
SERVICES

For Clients of Financial Advisers

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(Office Use Only)

Trust Name

Financial Adviser

Investment Manager

Fee Code

# ACCOUNT APPLICATION FORM

Trusts and Settlements

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# PLEASE READ THIS PAGE BEFORE YOU COMPLETE THIS FORM

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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 the Trust, and to set up and operate an Account for you, the Trustees.

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 the Trustees and to comply with relevant tax reporting regulations.

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 the Trustees and Hawksmoor comes into effect.

The Trust'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 your investment portfolio, and for keeping us informed of any changes to your circumstances that may affect the way we should manage your investments. We are not responsible for the accuracy of the information you provide to your Financial Adviser.

**Hawksmoor** is responsible for constructing and subsequently managing your 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.

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# DETAILS OF THE TRUST

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Please complete in BLOCK CAPITAL LETTERS.

Full Name of Trust, Settlement or Charity (including any designation)	
Type of Trust (Life Interest, Discretionary, Charitable, etc)	
Charity Number (if applicable)	
Legal Entity Identifier (if known)	
Name and Address of Settlor (if applicable)	
Date of Settlement (or, if a Will Trust, date of death of testator)	
Trust Year End	
Summary of purpose/objective of the Trust	
Summary of all of the assets of the Trust, including this portfolio	

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# DETAILS OF THE TRUSTEES

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Please complete for ALL Trustees in BLOCK CAPITAL LETTERS.

	First Trustee	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 12.

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# DETAILS OF THE BENEFICIARIES

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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 (present interest in income, residuary interest in capital, discretionary beneficiary, etc).

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 12.

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# INFORMATION ABOUT THE ACCOUNT

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## 1. Portfolio Service

<input type="checkbox"/> DPMS	<input type="checkbox"/>	<input type="checkbox"/> Capstone	<input type="checkbox"/>	<input type="checkbox"/> SWPMS	<input type="checkbox"/>
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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):

£

**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

In order to satisfy their responsibilities under the Trustee Act 2000 and to ensure their delegated investment manager has all the information necessary to manage the portfolio, the Trustees should have agreed and adopted a formal Investment Policy Statement.

Please tick this box to confirm you have provided us with a copy of the Trust's Investment Policy Statement (we can provide you with a template Policy Statement if required).

The Trust's Investment Policy Statement should indicate the Investment Objective and Risk Profile that the Trustees have adopted and require. Please also see the documents *Explaining Your Portfolio* and *Investment Risk for Trustees*. In addition, the initial *Investment Report* to the Trustees will recommend a suitable Investment Objective and Risk Profile.

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

For Trust and other fiduciary portfolios, a broadly **Moderate** attitude to risk and a **Balanced** Investment Objective is usual. However, depending on the Trust's circumstances and any other, non-managed, assets, we may recommend a different Risk Profile and Investment Objective.

If there are specific reasons why this Investment Objective and Risk Profile are not appropriate, please indicate the reasons below.

Therefore please confirm the Trustees' preferred 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 (such as other significant assets of the Trust) that you would like us to take into account in managing the Trust's portfolio. If this box is left 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 the Trust's portfolio.

### 4.1 (DPMS only)

Please indicate the charging structure which applies to the management of the portfolio by ticking the relevant box and adding any further details applicable.

Fee Only	<input type="checkbox"/>
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Fee and Transaction Dealing Charges	<input type="checkbox"/>
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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. Adviser Agreed Remuneration

I/We agree to Hawksmoor facilitating the payment of the following remuneration to our Financial Adviser from the portfolio:

### Non-recurring adviser agreed remuneration

The sum of	£
A percentage payment of the initial value of the portfolio	%

### Recurring adviser agreed remuneration

A fixed annual sum of	£
An annual percentage payment of	%

## 6. Distribution Instructions

### Method and Frequency

Please tick the appropriate boxes.	Monthly	Quarterly	Half-yearly
Pay out all income			
Regular Fixed Payment of £			
Reinvest all income			

If you choose Regular Fixed Payments, they may consist of a combination of income and capital. You should be aware that drawing more than the portfolio's projected 'natural' income could erode the capital value of the portfolio and its capacity to maintain the same level of income in future.

If we receive instructions to withdraw capital from the portfolio, whether as part of a regular fixed payment or as a separate capital payment, we will assume that the Trustees have the appropriate power to advance capital and have validly exercised it.



**Trust’s Bank/Building Society account details**

This is the only account into which we will pay any distributions (apart from regular income payments to an income Beneficiary - see below) that you request us to make from the portfolio.

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

**Regular income Beneficiary’s Bank/Building Society account details**

This is the income Beneficiary’s account into which we will pay any regular income payments.

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

**7. Communicating with You and Other Parties**

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.

## 7.1 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 Trust's portfolio.

	Lead Trustee	Financial Adviser	Other Trustees	Other
Quarterly Reports & Valuations	✓			
Annual Tax Reports				
General Correspondence				

Please provide third party recipient contact details

Company/Firm		
Full Name		
Position		
Address		
Telephone		
Email		

## 7.2 Third Party Instructions

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 behalf of the Trustees		

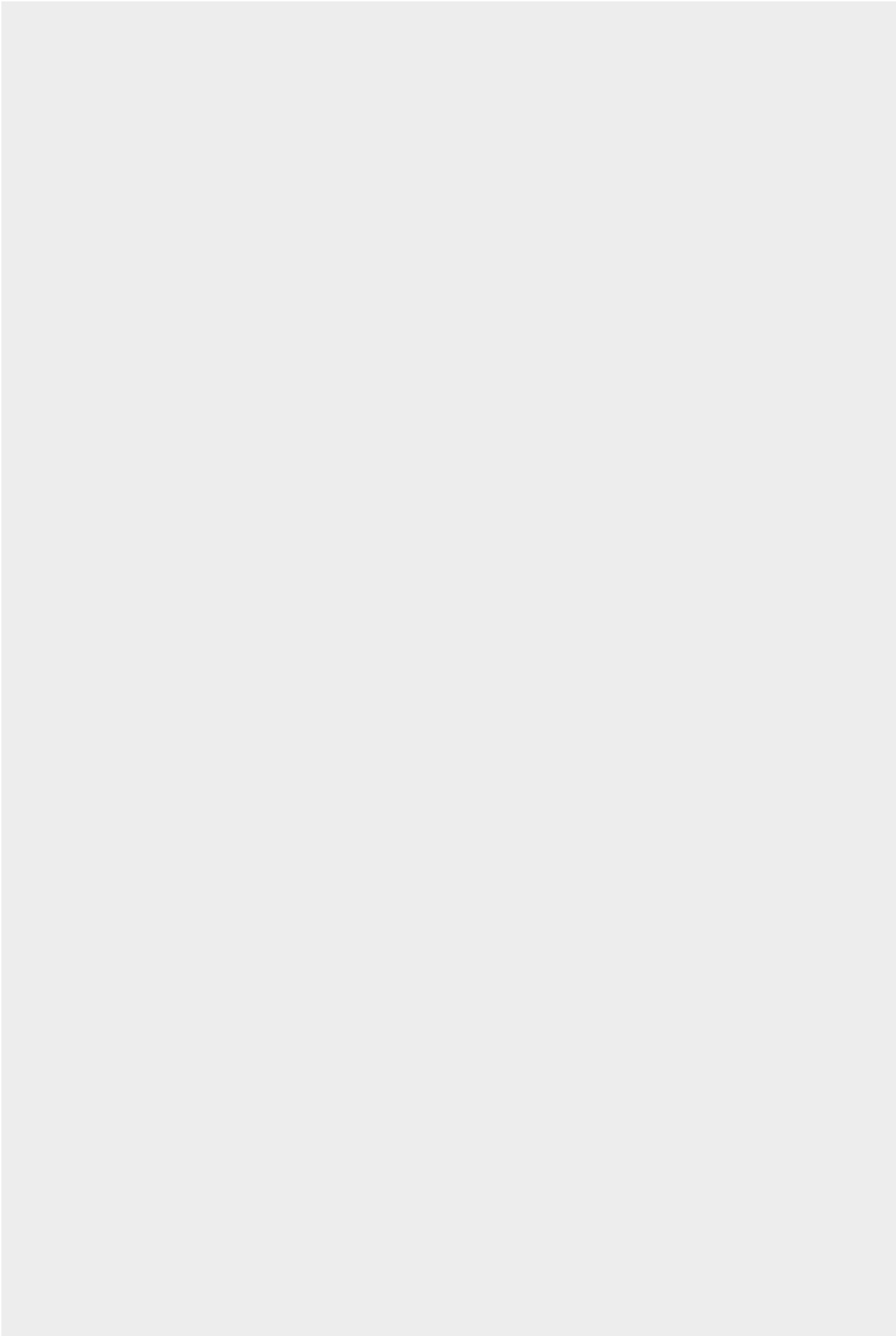
Please provide contact details (if different from 7.1)

Company/Firm		
Full Name		
Position		
Address		
Telephone		
Email		

## 8. Online Portfolio Valuations

We will provide you with details of the Hawksmoor Client Portal which will be where you access information on your investment portfolios, reports and other communication.

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.**

We declare that all the details in the Agreement are correct to the best of our knowledge, that they comprise all the information that we are able or willing to provide and that **we will inform**

**Hawksmoor in writing if there should be any material changes to the information that we have provided.**

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 the Agreement. 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 7 above).

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

First Trustee		Second Trustee	
Signature		Signature	
Name		Name	
Date		Date	

Third Trustee		Fourth Trustee	
Signature		Signature	
Name		Name	
Date		Date	

Signed for and on behalf of Hawksmoor	
Name/Capacity	
Date	

Please also complete the Tax Status Self-Certificate Forms for UK Trusts and an Individual Tax Status Self-Certification Form for each Trustee and any Beneficiaries in receipt of distributions. For any future Beneficiaries, this Form will need to be completed before distributions can be made.

# Entity Tax Status Self-Certification Form to be completed by a UK Trust

Trust Name	
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UK Tax Regulations<sup>1</sup> require us to collect certain information about each investor’s tax residency and tax classifications. 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. Please complete all sections below as directed. If you have any questions about your organisation’s classifications, please see notes overleaf for key definitions or contact your tax adviser. Should any information provided change in the future, please ensure you advise us of the changes promptly. Under the regulations we may be required to obtain additional information and documentation to confirm the Trust status.

## A. Tax residence

If your organisation has more than one country of tax residency, please complete one self-certification form for each country.

A.1 Please state the country in which your organisation is resident for tax purposes	
A.2 Please provide us with your organisation’s Tax Reference Number	

## B. Trust classification for US FATCA<sup>2</sup> purposes

Please read the Key Definitions overleaf and tick one box only in this section, with reference to the tax residency stated in box A.1. **We believe that most of the Hawksmoor Investment Management trust clients will be Deemed Compliant Foreign Financial Institutions<sup>9,10</sup>** unless the Trust meets the definition of an Exempt Beneficial Owner<sup>4</sup> or intends to register itself as a Participating Foreign Financial Institution<sup>6</sup> or is a Trustee Documented Trust<sup>7</sup>. It remains the responsibility of the Trustees to satisfy themselves of the correct classification of the Trust.

B.1 Exempt Beneficial Owner <sup>4</sup> (eg Registered Pension Scheme)	
B.2 Participating Foreign Financial Institution <sup>5,6</sup>	
B.3 Trustee Documented Trust <sup>7</sup>	
B.4 Deemed Compliant Foreign Financial Institution – Registered Charity <sup>8</sup>	
B.5 Deemed Compliant Foreign Financial Institution <sup>9</sup>	
B.6 Active Non-Financial Foreign Entity <sup>10</sup>	
B.7 Passive Non-Financial Foreign Entity <sup>11</sup>	

**B.4 Deemed Compliant Foreign Financial Institutions and B.7 Passive Non-Financial Foreign Entity are also required to submit individual tax residence self-certifications for each of its Controlling Persons.<sup>12</sup>**

## C. Trust classification under other applicable tax regulations

Please tick all boxes that apply, with reference to the tax residency stated in box A.1.

C.1 Please tick this box if the organisation is <b>not</b> classified under C.2 or C.3 below	
C.2 Please tick the appropriate box below if the organisation is a Non-Financial Foreign Entity	
(a) Active Non-Financial Foreign Entity <sup>13</sup>	
(b) Passive Non-Financial Foreign Entity <sup>14</sup>	
A Passive Non-Financial Foreign Entity will be required to submit individual tax residence self-certifications for each of its Controlling Persons <sup>12</sup> , an Active Non-Financial Foreign Entity may be required to provide this information.	
C.3 Please tick this box if the organisation is a Non-Profit Organisation <sup>15</sup>	

## Declaration

I declare that the information provided on this form is, to the best of my knowledge and belief, accurate and complete. If there are any changes to the above details or proposed payments to discretionary beneficiaries, Hawksmoor Investment Management will be informed of the changes promptly and in any event within 60 days.

First Name(s)	
Surname	
On behalf of (Entity Name)	
If a Registered Pension Scheme, registration reference	
If a Registered Charity, registration reference	
Capacity in which you are signing	
Signature	
Date	

## Key Definitions (extract)

### 1. UK Tax Regulations

The term “UK tax regulations” refers to HMRC regulations created to enable automatic exchange of information and include US FATCA<sup>2</sup>, and other Agreements to Improve International Tax Compliance<sup>3</sup> entered into between the UK and its Crown Dependencies and its Overseas Territories and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information.

### 2. US FATCA

The Foreign Account Tax Compliance provisions (commonly known as FATCA) contained in the US HIRE Act 2010.

### 3. Agreements to Improve International Tax Compliance

HMRC has signed agreements to implement regulations in 2015 on the reciprocal reporting on accounts held by residents of the Isle of Man, Guernsey, Jersey and Gibraltar. Multilateral agreements with a further 51 countries on the exchange of tax information for non-resident account holders have been signed with implementation expected by 2017.

### 4. Exempt Beneficial Owner

The term “Exempt Beneficial Owner” includes certain entities as defined in the regulations, **including UK registered pension schemes**, or non-UK pension schemes falling within the FATCA definition.

### 5. Financial Institution

The term “Financial Institution” means a Custodial Institution, a Depository Institution, an Investment Entity or a Specified Insurance Company as defined in the regulations.

### 6. Participating Foreign Financial Institutions

A Participating Foreign Financial Institution, is a non US Financial Institution that has or will register to obtain a Global Intermediary Identification Number (GIIN) from the US tax authorities and reports to HMRC direct.

### 7. Trustee Documented Trust

If a Trust has a corporate trustee then under the UK regulations the Trust is a “Trustee Documented Trust” and the corporate trustee is responsible for the registration of the Trust and associated reporting.

### 8. Deemed Compliant Foreign Financial Institution – Registered Charity

UK registered charities are specifically excluded from any registration or reporting requirements.



## 9. Deemed Compliant Foreign Financial Institution

There are 3 categories of Deemed Compliant Foreign Financial Institutions and within each there are several sub categories which are unlikely to apply to a UK trust, further details of these sub categories are contained in the HMRC Guidance. The most relevant sub categories are:

- (i) Owner Documented Foreign Financial Institutions, this includes UK Trusts that are small investment entities not connected to any other Foreign Financial Institutions. The Trust must appoint another Foreign Financial Institution to act as the Designated Withholding Agent to complete due diligence and to report, if necessary, to the US tax authorities via HMRC. The Designated Withholding Agent also reports US tax status to US paying agents where appropriate, but has no further responsibility for US withholding tax.
- (ii) Registered Deemed Compliant Financial Institutions include Sponsored Investment Entities that may include UK trusts. For this subcategory the Trust appoints a Sponsor who registers the Trust and relevant details with the US tax authorities and undertakes all due diligence checks and reports to the US tax authorities via HMRC as appropriate.
- (iii) Certified Deemed Compliant Financial Institutions include Sponsored Closely Held Investment Vehicles that may include UK Trusts which do not have more than 20 owners (effectively the beneficiaries) and is not an investment fund. For this subcategory the Trust appoints a Sponsor to undertake all due diligence checks and report on to the US tax authorities via HMRC, but the Trust does not have to be registered.

## 10. Active Non-Financial Foreign Entity (NFFE) (US definition)

**A NFFE is a foreign entity that is not a Financial Institution and does not have a professional manager or investment manager. It is considered unlikely that any Hawksmoor client can meet this definition.**

For the purpose of section B only, an Active NFFE is any NFFE that meets one of a list of specified criteria including:

- (i) less than 50 per cent of the NFFEs gross income for the preceding calendar year or other appropriate reporting period is passive income (such as dividends, interest, royalties, annuities and rent) and less than 50 per cent of the assets held by the NFFE in period are assets generating passive income;
- (ii) substantially all of the activities of the NFFE consist of investing in, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution. However the entity will not qualify as an Active NFFE if it functions (or holds itself out to be) an investment fund, or any Investment Vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes. In these circumstances the entity will be a passive NFFE;
- (iii) the NFFE is organised in a U.S Territory and all the owners of the NFFE are bona fide residents of that U.S. Territory; or
- (iv) the entity is a Non-Profit Organisation<sup>15</sup>.

## 11. Passive Non-Financial Foreign Entity (NFFE) (US definition)

For the purpose of **section B only**, a Passive NFFE is any NFFE that is not an Active NFFE<sup>10</sup>.

## 12. Controlling Persons

The term “Controlling Persons” means the natural persons who exercise control over an Entity. In the case of a trust, such term means **the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. Details of Discretionary beneficiaries are only assessed for any year in which they receive a payment or income from the trust.**

### 13. Active Non-Financial Foreign Entity (NFFE) (Other tax regulations)

An entity will be an Active NFFE for the purpose of **section C only** if they meet one of the specified criteria (i) to (iii) in the definition of Active NFFE (US definition)<sup>10</sup> above.

### 14. Passive Non-Financial Foreign Entity (NFFE) (Other tax regulations)

For the purpose of **section C only** a Passive NFFE is any NFFE that is not an Active NFFE (UK definition)<sup>13</sup>.

### 15. Non-Profit Organisation

The term “Non-Profit Organisation” means an entity that meets ALL of the following criteria:

- (i) It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;
- (ii) It is exempt from income tax in its country of residence;
- (iii) It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
- (iv) the applicable laws or the entity’s constitution do not permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or non-charitable entity other than pursuant to the conduct of the entity’s charitable activities, or as payment of reasonable expenditure or the organisation; and
- (v) the applicable laws or the entity’s constitution require that, upon the entity’s liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organisation.

### 16. Investment Entity

An entity is an Investment Entity if, either

- a) At least 50% of gross income is derived from one or more of the following activities
  - Trading in transferable securities or commodities futures
  - Trading in money market instruments
  - Trading in foreign exchange
  - Trading in interest rate and index instruments
  - Individual and collective portfolio management
  - Other investing, administration or managing funds or money on behalf of other persons

or

- b) gross income is primarily attributable to investing or trading in financial assets (financial assets test) and the entity is managed by a Financial Institution.

**The above definitions are a summary of the full set of definitions, which is available on request. If there is any doubt as to the tax status of the entity please contact your tax adviser.**

# Individual Tax Status Self-Certification

UK Tax Regulations 1 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 advisor. 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).

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

## Declaration

**As Lead Trustee 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.**

Signature	
Name	
Date	

1. The term “UK Tax Regulations” refers to HMRC regulations created to enable automatic exchange of information and include FATCA<sup>2</sup> 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.

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# FINANCIAL ADVISER DECLARATION

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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 Trust, verified the identity of the Trustees and any relevant beneficiaries and established the source of the Trust's assets. 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 Trust client's investments in accordance with the Risk and Objective levels that I have agreed with the Trustees 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 Trust's risk tolerance and objectives, and to notify Hawksmoor of any change to the Trust's circumstances that may be material to the management of the investments.

I confirm that I have explained the Adviser Agreed Remuneration to the Trustees.

Signed	
Name	
Date	

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# CONFIRMATION OF VERIFICATION OF IDENTITY

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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.

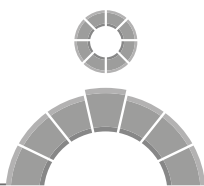
I/We confirm that:

- (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	



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# 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](http://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](mailto:info@hawksmoorim.co.uk)

[www.hawksmoorim.co.uk](http://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