HAWKSMOOR
INVESTMENT MANAGEMENT

DISCRETIONARY PORTFOLIO MANAGEMENT

Working in partnership

Hello and welcome

Hawksmoor is an award-winning specialist investment and fund management business.

As investment managers, our role is to work in partnership with you and your Financial Adviser ('Adviser') to achieve your investment goals.

Our friendly and experienced investment professionals are focused on providing you and your Adviser with a high-quality, personalised service.

Our Hawksmoor company Core Values reflect how we work – with you and your Adviser:

- We put clients at the centre of everything we do and we genuinely care.
- We apply integrity, innovation and discretion to everything we do.
- We communicate in a clear and transparent way.
- We are inclusive, collaborative and open and we empower our people.
- We care about having a positive impact in society and helping create a sustainable world around us.

COLWMA
CITY OF LONDON WEALTH MANAGEMENT AWARDS
WINNER 2020
Regional Wealth Manager Of The Year: Wales & Western England
Hawksmoor Investment Management

INVESTMENT WEEK
TAX EFFICIENCY AWARDS 2019/20
WINNER
BEST AIM IHT PORTFOLIO SERVICE - DFM PROVIDER

defaqto
2020
DFM Bespoke

Building long-term relationships

It all starts with the relationship between you and your Adviser.

Your Adviser's responsibility is to discuss your investment objectives, along with your attitude to and tolerance of risk. They will consider your financial requirements and goals, as well as your tax position, to create a financial plan for you.

Other considerations might include investment preferences such as your attitude towards sustainability issues.

If your Adviser has selected Hawksmoor as the partner to manage your investments, this decision will have been based on a number of factors such as our historic investment performance, the value we add and the quality of the service we offer.

It also means that one of our highly qualified investment professionals will become your dedicated Investment Manager.

The role of your Hawksmoor Investment Manager

Your Investment Manager uses the information provided by your Adviser to create and actively manage a portfolio of investments that reflects your individual needs and objectives.

Your Investment Manager also works closely with your Adviser to make changes to your portfolio when necessary. This ensures that your investments are always positioned to perform in line with your investment objectives.

All Hawksmoor's Investment Managers are supported by our award-winning research teams who conduct over 500 hours of fund manager meetings every year to carefully select the most appropriate investments.

Hawksmoor has a rigorous and disciplined process defining our asset allocation and security selection procedures, but our Investment Managers also use their expertise and experience to create a portfolio that addresses your unique needs.

A bespoke solution to fit your unique requirements

Using the information provided by your Adviser, your Investment Manager will compile an **investment report** that recommends investments that match your risk level, your investment objectives and your individual preferences. The report will include a bespoke illustrative portfolio that reflects your unique requirements. Your Adviser will discuss this with you.

Once the report is agreed, your Investment Manager will build and then closely monitor your bespoke portfolio, making any necessary changes to ensure it is suitably invested at all times. Your Adviser will also monitor how the portfolio is invested and how it is performing. Your annual Individual Savings Account (ISA) and Capital Gains Tax allowances can be utilised so that your portfolio is managed as tax efficiently as possible.

Managing your portfolio on a ‘discretionary’ basis means that your Investment Manager is responsible for taking care of all the investment decisions and transactions to match your investment objectives.

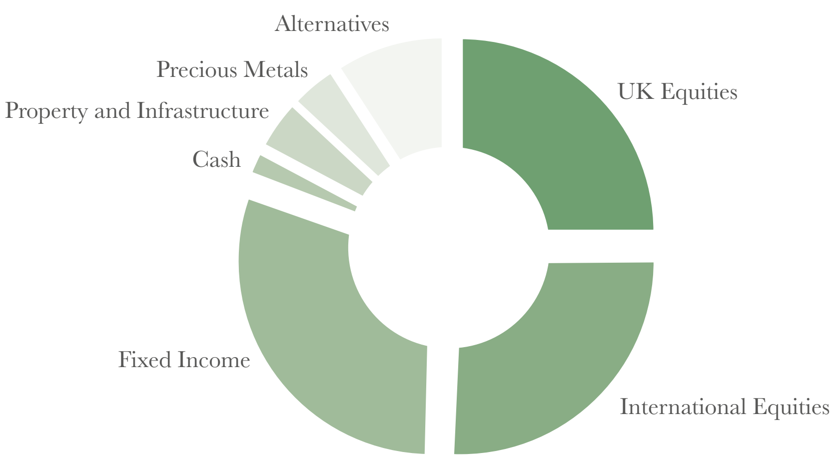
Hawksmoor invests both directly and through tax-efficient structures such as Self-Invested Personal Pensions (SIPPs), Offshore Bonds, ISAs and Junior ISAs.

What will your portfolio look like?

Your Investment Manager will construct a bespoke portfolio for you by carefully selecting from a wide range of funds and, if appropriate, direct equities. Our portfolios are diversified both by asset class and geographic exposure, enabling us to take advantage of investment opportunities across the world.

The chart below shows an example of asset allocation within an investment portfolio, but the composition of ***your*** portfolio will be determined by the risk level and investment objectives you have agreed with your Adviser. As your portfolio is uniquely tailored to you, it may also include any other specific investment preferences you have.

Example of asset allocation within an investment portfolio



The percentage amount invested in each different asset class, and the funds or investments that we use to access them, are continually reviewed by Hawksmoor's in-house research teams.

Communicating with you

Your Adviser is your primary point of contact, but they can request that your Hawksmoor Investment Manager attends your meetings to discuss your portfolio. You will also be given the contact details of your dedicated Investment Manager.

Every quarter, you will receive a valuation report which shows the performance of your portfolio relative to appropriate benchmarks or indices.

You and your Adviser can view the valuation report and your investment portfolio online at any time via the Hawksmoor Client Portal app.

After the end of each tax year, you will receive a comprehensive tax report, which includes a Consolidated Tax Voucher and a Capital Gains Tax report.

You will also receive Hawksmoor's regular newsletter, which explains what has happened in investment markets in recent months and lays out our research teams' expectations for the future.

Keeping your money safe

Investments in our portfolios are held in a ring-fenced nominee account so we can deal with all the portfolio administration efficiently. This will include collecting and distributing dividends and other income payments, corporate actions and executing all trades promptly.

We outsource the safe custody of your investments to Pershing Securities, one of the most established UK custodian and settlement companies.

Pershing Securities is a subsidiary of the Bank of New York Mellon, which is the largest provider of custody services in the world. Pershing Securities provides a comprehensive public indemnity policy to protect you against such events as fire, fraud or theft. Both Pershing Securities and Hawksmoor are covered by the Financial Services Compensation Scheme.

If you would like to know more, please ask your Adviser about Hawksmoor's range of services and investment solutions.

www.hawksmoorim.co.uk

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Offices also in: London, Taunton, Bath, Dorchester, Bury St Edmunds