



AIM PORTFOLIO SERVICE
For Clients of Financial Advisers

(Office Use Only)

Client Name

Financial Adviser

Investment Manager

Fee Code

ACCOUNT
APPLICATION
FORM

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 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 you and Hawksmoor comes into effect.

Your 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 AIM Portfolio Service *Terms and Conditions* document.

If two or more Applicants complete and sign this Form, this gives your consent to open a Joint Account with Hawksmoor provided your investment objectives and risk profile are the same. Any holdings and/or cash that you transfer into the account will be held in your joint names, even if they are currently held or registered in your sole names. However, any Individual Savings Account (ISA) holdings transferred in to the portfolio will continue to be held in separate accounts in the single names of the holders, but subject to the following Joint Account terms.

By opening a Joint Account, unless you instruct us otherwise, you agree to the following:

Hawksmoor will send a single valuation report which will include all your accounts, unless you specifically state otherwise.

If you wish to keep your investments separate, in addition to or instead of a Joint Account, each Applicant needs to sign a separate *Account Application Form*.

From time to time we shall ask you to confirm and, if necessary, update information in this form, but in the meantime it is imperative that you notify us of any change to your circumstances that you think may be material to our management of your investments.

IMPORTANT INFORMATION ON THE ROLES OF YOUR FINANCIAL ADVISER AND HAWKSMOOR

Your Financial Adviser has responsibility for establishing the suitability of the Hawksmoor AIM Portfolio Service 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 suitability of an AIM 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 *Guide to the AIM Portfolio Service*.

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 APPLICANTS

Please complete in BLOCK CAPITAL LETTERS.

	First Applicant	Second Applicant
Title		
First Name(s)		
Surname		
Address		
Postcode		
Home Telephone		
Mobile Telephone		
Email Address		
Date of Birth		
Place of Birth		
Nationality		
National Insurance Number		
Relationship of Joint Account holders where applicable		

For multiple applicant details, use the additional space on Page 8

Origin of Wealth	
Please provide information on the origin of the capital available for investment (eg inheritance, pension lump sum, savings).	

Income Tax	Applicant 1	Applicant 2
What is your Income Tax Rate?	%	%

Please note that we will NOT normally take Capital Gains Tax (CGT) into account in the management of your AIM Portfolio. You should be aware that taxable gains may occur as the result of our management of your portfolio, and this may result in your having to complete a tax return.

You should tick the following box and complete the section below should you wish gains in your portfolio to be restricted to your annual CGT allowance or less. You should note that we cannot guarantee that gains will be kept within your allowance. For example, we may be forced to sell a holding that could incur a CGT liability to preserve the Business Property Relief (BPR) qualifying status of all the portfolio constituents should a holding lose, for whatever reason, its qualifying status.

Income Tax and Capital Gains Tax	Applicant 1	Applicant 2
Is the whole of your annual tax-free CGT allowance available to us in the management of your portfolio?	Yes / No	Yes / No
If 'No', please explain		
Do you have any capital losses to carry forward?	Yes / No	Yes / No
If 'Yes', please quantify		

INFORMATION ABOUT YOUR ACCOUNT

Please Select a Portfolio Range:

Income

Growth

1. 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.

2. Charges

Please see the separate AIM Portfolio Service *Schedule of Charges* for details of these fees and charges and any other charges that may apply to your portfolio.

3. 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	%

4. Communicating with You and Other Parties

4.1 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 you the Quarterly Report for your 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.

	You	Financial Adviser	Other
Quarterly Reports	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Annual Tax Reports	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
General Correspondence	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please provide third party recipient contact details

Company/Firm		
Full Name		
Position		
Address		
Telephone		
Email		

4.2 Third Party Instructions

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

Please provide contact details (if different from 4.1)

Company/Firm		
Full Name		
Position		
Address		
Telephone		
Email		

5. Client Online Portal

The portal provides you with instant access to information about your portfolio whenever it suits you and is available on your desktop, or to download as an app on your tablet or smartphone. In an effort to reduce paper waste, all clients will set up on our client portal. Accessing the portal does not stop you from receiving information by post if you wish. Please speak to your investment manager for more details on this.

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 AIM Portfolio Service *Schedule of Charges*, the *Guide to the AIM Portfolio Service* 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 in 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 understand that the Adviser is responsible for advising on, and monitoring the suitability of this service for me/us. I/We acknowledge that Hawksmoor has no

responsibility for assessing the suitability of the service.

I/We authorise you to accept instructions in relation to my/our portfolio from my/our Financial Adviser, including payments to my/our designated bank account.

I/We authorise you to facilitate the Adviser Agreed Remuneration payments as detailed in section 5 of this Form. I/We confirm that these payments have been fully explained to me/us by my/our Financial Adviser.

I/We understand that joint clients will be jointly and severally liable in respect of all the Terms and Conditions and any other obligations referred to in the Agreement and that Hawksmoor may receive and act on instructions in relation to the Account from any one of us.

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

First Applicant		Second Applicant	
Signature		Signature	
Name		Name	
Date		Date	
If signing on behalf of someone else (for example as an Attorney or for a corporate body) please state your capacity and provide certified documents of your authority.			
Signed for and on behalf of Hawksmoor			
Name/Capacity			
Date			

Please also complete the individual Tax Status Self-Certification Form.

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.



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

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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

FPC25377