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PORTFOLIO MANAGEMENT  
SERVICES

For Clients of Financial Advisers

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(Office Use Only)

Client Name

Financial Adviser

Investment Manager

Fee Code (if changed)

ACCOUNT  
VARIATION  
FORM

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# PLEASE READ THIS PAGE BEFORE YOU COMPLETE THIS FORM

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This Form is to be completed when there is an additional investment to the portfolio, or when any other material amendment is required, such as:

- a significant addition to the portfolio
- a change to the Risk Level and/or Investment Objective
- a change to the charging structure
- a change to any Adviser Agreed Remuneration
- any other material amendment.

This Form constitutes an amendment to the *Account Application Form* and will form part of our Client Agreement with you. You should read it, and the *Terms and Conditions* document, carefully before signing.

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# DETAILS OF THE APPLICANTS

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Please complete in BLOCK CAPITAL LETTERS.

	First Applicant	Second Applicant
Title		
First Name(s)		
Surname		
Address		
Postcode		

## 1. Portfolio Service

DPMS		Capstone	
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## 2. Additional Investment

Amount to be invested as cash:

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

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

£	
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**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. Adviser Agreed Remuneration

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

**Non-recurring (on the additional investment)**

The sum of	£
A percentage payment of the initial value of the additional investment	%

**Recurring (on the existing and additional investments)**

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

Please note there will be no changes to the Hawksmoor fees unless specifically indicated below.

### 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 & SWDPMS 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.

Fixed Rate			
Fee Only		Fee plus Dealing Charge	
Tapered Rate			
Fee Only		Fee plus Dealing Charge	

Additional notes about Fees

## 5. Investment Restrictions and Preferences

Please tick this box if you would like to add or remove any restrictions or preferences to the Portfolio and give details below.

## 6. Any Other Material Amendment

Please give details of any significant or other material amendments in the box below.

# 7. Communicating with You and Other Parties

## 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 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	Accountant	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		

## 7.2 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.

	Accountant	Other
Permission to give instructions on my behalf		

Please provide contact details (if different from 7.1)

Company/Firm		
Full Name		
Position		
Address		
Telephone		
Email		

Please note, if the third party is to give instructions on your account then we will need to verify their identity and will require a copy of their valid passport/driving licence before we can add them to your account.

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

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# CLIENT DECLARATION

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This *Account Variation Form*, together with the *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 in this Form are correct to the best of my/our knowledge 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 declare that my/our tax status remains unchanged from the tax status previously declared.

I/We authorise you to facilitate the Adviser Agreed Remuneration payments as detailed in Section 3 of this document. 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.

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	

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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	

I confirm that I have undertaken a full fact find for the client, established the source of any assets to be added to the portfolio and assessed the suitability of the Hawksmoor service, as required by the Financial Conduct Authority.

I will notify Hawksmoor of any change to the client's circumstances that may affect the way the portfolio is managed.

I confirm I have fully explained the Adviser Agreed Remuneration to the client and I understand that any remuneration payment facilitated by Hawksmoor will be inclusive of any VAT that may be applicable.

Signed	
Name	
Date	



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)

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17 Dix's Field  
Exeter  
EX1 1QA

01392 410180

[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

FPC25386