



HAWKSMOOR
INVESTMENT MANAGEMENT

ACCOUNT VARIATION FORM

(Office Use Only)

Client Name

Investment Manager

Client Account Number

Financial Adviser

IMPORTANT INFORMATION

Please read this page before you complete this form.

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 change to the Investment Objective and/or Profile
- a change in service (e.g. DPMS to Capstone Plus)
- a change to or a new distribution instruction
- any other material amendment

This Form constitutes an amendment to the *Account Application Form* and will form part of our Client Agreement with you.

Where there is a change in service, you should also read the relevant Service Brochure and Schedule of Charges which form part of this Agreement, together with the relevant sections (if applicable) of our Terms of Business before signing.

DETAILS OF THE APPLICANTS

Please complete in BLOCK CAPITAL LETTERS.

	Applicant One	Applicant Two
Title		
First Name(s)		
Last Name		
Maiden Name/ Previous Name		
Main Residential Address		
Postcode		
Client Account Number		

Please provide a correspondence address if required (and different from above).

	Applicant One	Applicant Two
Main Residential Address		
Postcode		

Please tick this box if you wish to notify us of a change to your tax status	
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Please provide details of the change below.

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1. Portfolio Service

DPMS		Capstone Plus		AIM	
Gilt		Execution Only			

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. Any new investments into the portfolio will be managed on the same Investment Objective and Risk Profile as existing investments, unless agreed otherwise in this form.

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		%

4. Charges

Our charges will be those detailed in our Service Brochure and Schedule of Charges for the relevant Service, unless specifically agreed otherwise in writing.

5. Portfolio Risk & Investment Objective

Please tick this box if you would like the Portfolio's Investment Objective and/or Risk Profile to be changed	
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If so, please specify the new Investment Objective and/or Risk Level below (please refer to the Service Brochure and our Objective/Risk Descriptions for guidance on our definitions of Investment Objective and Risk. Please note that we may decline to accept these changes if we, in our reasonable opinion, do not consider that they are suitable for your personal circumstances and financial objectives.

Please note that we may not be able to amend your portfolio to any new Investment Objective and/or Risk Level immediately, depending on the composition of your portfolio and circumstances, e.g. tax. If this is the case, we will discuss with you an estimated timeframe to amend your portfolio.

Investment Objective	
Capital Growth	
A Balance between Income & Growth	
Income	

Risk Profile	
Cautious	
Moderately Cautious	
Moderate	
Moderately Adventurous	
Adventurous	

6. Investment Restrictions & Preferences

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

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

8. Communication with You and Other Parties

8.1 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 (1, March, June, September and December). Contract notes will not be issued at the time of the transaction unless you instruct us otherwise, except for Execution Only service.

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	✓		
Annual Tax Reports			
General Correspondence			

Please provide third party recipient contact details

Company/Firm		
Full Name		
Position		
Address		
Postcode		
Telephone		
Email		

8.2 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. Please also ensure that such third parties have read our privacy notice on how we will process their data, at www.hawksmoorim.co.uk/privacy-statement.

	Accountant	Other
Permission to give instructions on my behalf		

Please provide contact details (if different from 8.1)

Company/Firm		
Full Name		
Position		
Address		
Postcode		
Telephone		
Email		



CLIENT DECLARATION

Once signed, this Account Variation Form forms part of our Agreement with you, as detailed in our Terms of Business.

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.

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 (unless we have advised above accordingly).

I/We understand that joint clients will be jointly and severally liable in respect of all the Terms of Business 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.	
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Signed for and on behalf of Hawksmoor	
Name / Capacity	
Date	

FINANCIAL ADVISER DECLARATION

This section is to be completed by the Financial Adviser

Name of Primary Contact	
Name of Company	
Address	
Postcode	
FCA Registration Number	

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

Head Office:

17 Dix's Field
Exeter
EX1 1QA

01392 410180

info@hawksmoorim.co.uk
www.hawksmoorim.co.uk

FPC26730

Registered Address:

Sterling Court, 17 Dix's Field, Exeter, Devon, EX1 1QA. Company Number 6307442

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