

# Account Application

## Discretionary Management Services

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### Application Process

1. Please read the Fundamental Asset Management Limited ('FAML') Terms of Business before completing this Application Form.
2. If you have any queries about the information contained within this Application Form or the Terms of Business, you should consult an independent financial advisor.
3. Complete and return the signed Application Form and identification documents by mail to:  
**Fundamental Asset Management Limited**  
**Cardinal Point, Park Road, Rickmansworth WD3 1RE United Kingdom**  
or by email to [enquiries@fundamentalasset.com](mailto:enquiries@fundamentalasset.com)
4. We will send you acknowledgement of safe receipt of your application and an explanation of the next stage in your investment programme.

Please select the following portfolio service you require by ticking the appropriate box:

	GIA	ISA
FUNDAMENTAL AIM IHT GROWTH PORTFOLIO	<input type="checkbox"/>	<input type="checkbox"/>
FUNDAMENTAL AIM IHT INCOME PORTFOLIO	<input type="checkbox"/>	<input type="checkbox"/>
FUNDAMENTAL GLOBAL GROWTH PORTFOLIO	<input type="checkbox"/>	<input type="checkbox"/>
FUNDAMENTAL UK DIVIDEND INCOME PORTFOLIO	<input type="checkbox"/>	<input type="checkbox"/>

# Section 1 – To be completed by all investors

All Investors including SIPP Holders to complete this page in BLOCK CAPITALS

## Your details

	First applicant	Joint applicant (if applicable)
Title (Mr/Mrs/Miss/Ms/Dr)		
Surname		
Forenames		
Any previous names		
Date of birth		
Town and Country of birth		
Nationality		
Country(ies) of citizenship		
Country of residence		
National Insurance number		
Dual nationality or non-British national unique identifier code (N/A for British nationals)		
Permanent residential address (PO Box only address is insufficient)		
Post code		
Daytime telephone number		
Mobile telephone number		
Email		
Occupation		
Sector		
Name of employer		

We are legally required to collect information about the tax residency and classifications of each investor which may be shared with HM Revenue & Customs.

Are you a tax resident, or do you complete tax returns in any country other than the UK? Yes  No

If No please go straight to page 3. We may ask you for confirmation of your UK tax residency status.

If Yes, please complete the table below listing countries, other than UK, in which you are resident for tax purposes.

Please provide the Taxpayer Identification Number for each country or indicate if the country doesn't provide a TIN

Country	Taxpayer Identification Number (TIN)	TIN not available (tick here)

## Section 1 – To be completed by all investors *continued*

### Attorney details

Is there a registered Power of Attorney for this investment?      Yes <input type="checkbox"/> No <input type="checkbox"/>	
If Yes, please complete the following	
Attorney Title	Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Miss <input type="checkbox"/> Ms <input type="checkbox"/> Dr <input type="checkbox"/>
Attorney Name	
Attorney Date of Birth	
Attorney Address	
Post code	
Telephone Number	
Email	
National Insurance Number	
Attorney proof of identity and address <i>Provide description of 'Proof of identity' being provided. A certified copy of the passport or driving licence and a certified copy of proof of address e.g bank statement or utility bill (not mobile phone)</i>	
Attorney Nationality	
Attorney Occupation	
Sector	
Name of employer	
Please indicate where all correspondence should be sent: Investor <input type="checkbox"/> Attorney <input type="checkbox"/> Both <input type="checkbox"/>	
<i>Footnote: Please provide a certified copy of the POA document along with, for each attorney, a copy of valid passport or driving licence and a copy of proof of address e.g bank statement or utility bill (not mobile phone) which is less than 3 months old.</i>	

### Customer due diligence

In order to comply with regulations for the avoidance of money laundering ALL applicants must be identified and verified by the Company. Please provide the following information and tick to confirm.

Individual Investors including SIPP members

Copy of Passport/ID Card.

*Please note that all individual investors applying jointly must provide the required documentation for each individual.*

Copy of a recent Utility Bill or Bank Statement confirming residential address.

*Utility bills must be less than three months old when received by the Company. Note, mobile phone bills are not deemed acceptable form of verification.*

## Section 2 – Payments and authorised signatories

Estimated initial investment amount GBP

*The initial minimum investment amount is GBP 40,000 or currency equivalent unless otherwise agreed.*

### Investor's bank account details

Bank name	
Sort/Swift code	
Bank address	
Post code	
Account name	
IBAN/Account number	

**NB** Payments can only be received from and paid to your nominated bank account as provided above.

Please confirm source of wealth.

*e.g Earned Income, Inheritance, Sale of Property, Investment Proceeds. If earned income, please state employer/Industry or sector*

### Payment details

Fundamental has appointed **James Brearley & Sons Ltd. ('JB')** to act as custodian responsible for the safekeeping of clients' accounts. JB has been established for over 100 years and is authorised and regulated by the Financial Conduct Authority. JB is a member firm of the London Stock Exchange and is an approved HM Revenue & Customs ISA Manager.

Accounts can be funded by electronic transfer, debit card or cheque.

**Sterling transfers** should be made to:

**Royal Bank of Scotland**, Sort Code: **16-14-12**, Account Number: **10491689**, Account: **James Brearley and Sons Ltd.**

*Please do not send any payment by electronic transfer until FAML have confirmed the account is open and provided you with the account number as this needs to be provided as a payment reference.*

**Cheques** must be from a recognised UK Bank or Building society account. Cheques should be made payable to 'James Brearley & Sons Ltd'.

Payment must be made from the Bank account provided in this application.

Payment details for other currencies available on request.

## Section 3 – Other information

### Introducer's details (if applicable)

Name	
Company name	
Address	
	Post code
Company or Adviser FCA number	
Correspondence email address	
Telephone Number	
Are you part of a network/ service provider?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Network name	
Network FCA number	

### Please provide your bank details for payment of Initial and Ongoing Adviser Fees

Bank	
Sort Code	
Account Number	
Account Name	

I confirm that I have made a recommendation to the Investor and that the Investor satisfies the requirements of COBS 9 suitability.

Adviser Signature	
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### Investment industry participant

Is the Customer an officer/employee of a firm connected with the investment industry? Yes  No

If you have answered yes to this question, we are obliged to send copy contract notes to your employer.

Please provide details of where these copy contract notes should be sent.

Name	
Company name	
Address	
	Post code

## Section 4 – Client suitability

### Nature and certain risks associated with the investment management objectives

1. Investors should be aware that the price of shares may go down as well as up and investors may therefore not recover their original investment.
2. FAML may invest in financial instruments the price of which will fluctuate having regard to financial markets which FAML is not able to control.
3. Investments will all be quoted on a market unless otherwise agreed in writing by the Customer. FAML makes no assurance with regard to the performance of investments including in particular no guarantee is given as to either capital growth or income that will arise out of the assets in the Portfolio. Past performance is no indicator of what future performance may be.
4. Investment into companies quoted on global stock exchanges, either directly or through collective investment schemes, particularly those such as China, India and other Asian countries, Eastern Europe and Latin America which can be defined as Emerging Markets, can be extremely volatile. Generally the volatility of these markets can be far greater than those more mature markets such as USA, UK and Western Europe.
5. No contingent liabilities will arise in respect of such investments.
6. Fundamental Asset Management Limited will not employ leverage in the portfolio unless otherwise agreed in writing by the Customer.

### Important information for portfolios investing in companies quoted on AIM for the purpose of mitigating Inheritance Tax.

1. The Portfolio will be invested in the shares of companies quoted on AIM.
2. Investment in shares quoted on AIM generally carries a higher risk than investment in shares quoted on the Official List. This is due to factors such as the smaller size of AIM companies, more limited trading history and the illiquid nature of the shares; it may be more difficult for an investor to realise his investment in a company that is quoted on AIM than to realise an investment in a company whose shares are quoted on the Official List of the UK Listing Authority. AIM has been in existence since June 1995 but its future success and the liquidity in the market for shares quoted on AIM cannot be guaranteed.
3. Investors should be aware that the price of shares quoted on AIM may be volatile and may go down as well as up and investors may therefore not recover their original investment.
4. Share prices of the Designated Investments are deemed to be volatile by nature of the fact they are not listed on a Recognised Stock Exchange ('RSE'). Although AIM is a market platform of the London Stock Exchange and the London Stock Exchange is a RSE. However what differentiates AIM shares from shares listed on the main London Stock Exchange market for most tax treatments is that they are not included in the official UK List maintained by the Financial Conduct Authority in its capacity as the UK listing authority. Accordingly the shares in a company which are traded solely on AIM are not 'listed on a RSE'.
5. There is no guarantee of qualification for tax relief and that there is also the risk of a change in legislation which may have an adverse effect on any potential tax saving that might otherwise have arisen.
6. If the Customer has indicated on the Account application that he/she wishes the Portfolio to be invested with a view to achieving a particular tax planning objective for the Customer's Portfolio FAML will seek to purchase investments for the Portfolio that it considers will be qualifying instruments at the time they are acquired however FAML cannot give any assurances that such investments will continue to be qualifying instruments thereafter.
7. FAML recommends that the Customer take independent tax advice particularly where it is considering investing in order to seek to mitigate the ultimate effect of tax on the assets of the Customer.

## Section 4 – Client suitability *continued*

To be completed by clients who have not been advised by an authorised Independent Financial Adviser, in respect of this investment.

Fundamental does not give advice, therefore we cannot provide you with any investment advice, tax advice, or personal recommendations in respect of your portfolio or decision to invest.

We need to obtain certain information from you before we can accept your investment. If we cannot ascertain from these questions that this investment is suitable for you, we may ask you to take financial advice before you invest.

Please make sure the information you provide is accurate. You should notify us if there is any material change in the information you have provided, because it may mean we may no longer be able to determine this investment is suitable for you.

### Sub-Section 1 – Knowledge and Experience

1.1 In the past have you ever made your own investment decisions?

Yes  No

1.2 Please indicate if you hold or have previously held any of the following:

- A professional financial qualification (ACA, ACCA, CTA Securities Institute Cert/Diploma or equivalent)  
 Worked as a professional in financial services (e.g a financial adviser, accountant, stockbroker or solicitor)

### Sub-Section 2 – Your Financial Situation

It is important that you have sufficient cash or liquid assets to make sure that you can maintain your standard of living if the value of this investment falls. If any loss of capital would have a materially detrimental effect on your standard of living, you should not invest. You should only invest money that you can afford to invest for the long term.

2.1 Please indicate the approximate value of your net investable assets and income (do not include the value of your home and deduct the value of any outstanding loans)

#### Assets

- Less than £150k  
 Between £150k and £250k  
 Between £250k and £500k  
 Between £500k and £1m  
 Between £1m and £2m  
 Between £2m-£3m  
 More than £3m

#### Income

- Less than £20k  
 Between £20k and £30k  
 Between £30k and £40k  
 Between £40k and £50k  
 Between £50k and £100k  
 More than £100k

2.2 Do you anticipate any significant changes to your financial situation over the next 12 months that might impact your decision to make this investment?

No  Yes  please provide further details below

2.3 This investment is typically held by investors over the longer term. Do you have sufficient other assets and/or income, so that you can afford for these investments to be tied up for more than 5 years?

Yes  No  Unsure

## Section 4 – Client suitability *continued*

### Sub-Section 3 – Your Tolerance to Taking Investment Risk

Typically, the more risk you are willing to take when making an investment, the higher the potential for growth and the greater chance of loss. Over a period of time, the value of an investment can rise and fall – this is known as volatility. Generally, the higher the investment risk, the higher the potential volatility, but also the higher the potential returns.

The AIM IHT Portfolio will invest into a discretionary managed portfolio of shares in companies that are not listed on the main London Stock Exchange and as such is considered a high risk investment.

Your tolerance to risk will depend on your financial circumstances and goals.

#### 3.1 What are your general investment objectives

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- Capital Growth is the priority
  - Income is the priority
  - Balance between capital growth & income
  - Investing the Portfolio in shares qualifying as relevant 'Business Property' under the Inheritance Tax legislation in the UK with a view to: (i) mitigating the ultimate effect of Inheritance Tax on the Customer's estate; and (ii) capital growth.
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#### 3.2 What is your attitude to risk

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**Low Risk:**

Seeks to protect capital which may limit any significant increase in capital. Majority will be into cash type investments e.g. Gilts.

**Medium Risk:**

Balanced portfolio of Blue chip equities and some medium sized companies, fixed interest securities and collective investment schemes. The portfolio may hold a small proportion of smaller and less liquid securities.

**High Risk:**

A high proportion of global equities including less liquid smaller companies, notably those quoted on AIM.

*Please note: Customers investing in the IHT Portfolio Service must tick the High Risk box to reflect that the portfolio will be invested only into AIM stocks.*

- Low Risk
- Medium Risk
- High Risk (Applies to IHT Portfolio Service)

*Please state here any other specific investment objectives, preferences, restrictions or other relevant information*

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#### 3.3 Over the last 5 years have you made any of the following investments, excluding this one:

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- Investment in an unquoted company directly or through an angel network or syndicate
  - Investment into an EIS or VCT
  - Investment in the shares of a company or portfolio of companies listed on AIM
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## Section 4 – Client suitability *continued*

### Sub-Section 4 – Understanding of this Investment – Fundamental AIM IHT Portfolio only

4.1 This investment is intended to qualify for Business Relief. Are you aware that we cannot guarantee that your investment will qualify for this relief?

Yes  No  Unsure

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4.2 Are you aware that tax legislation could change in the future in a way that might stop this investment qualifying for Business Relief?

Yes  No  Unsure

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4.3 This AIM IHT investment is considered to be a high risk investment because it is invested in the shares of companies that are not listed on the main London Stock Exchange. As such it would not typically be expected to appeal to cautious investors who would prefer to take less risk with their wealth. Would you describe yourself as a cautious investor in relation to this investment?

Yes  No  Unsure

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4.4 This AIM IHT investment will invest in the shares of companies that are not listed on the main London Stock Exchange. As such investors should be prepared that they might fall or rise in value more sharply. For this investment to meet your long-term objectives, would you be willing to accept the risk of significant short-term falls in value?

Yes  No  Unsure

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4.5 Are you happy to accept a high level of risk to your capital in relation to this investment, in the knowledge that this investment aims to qualify for business property relief from inheritance tax and targets higher levels of growth?

Yes  No  Unsure

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### Sub-Section 5 – General vulnerability

5.1 Do you require any additional support from us?

Yes  No  Unsure

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5.2 If Yes, what support do you require?

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## Section 5 – Customer declaration

**Discretionary Investment Management Agreement between Fundamental Asset Management Limited of Cardinal Point, Park Road, Rickmansworth WD3 1RE ('FAML') and the Customer as defined in Section 1 of this Account Application.**

This Account Application incorporates the Fundamental Asset Management Limited Terms of Business provided with this Account Application ('**Terms of Business**') and shall be read and construed as if they were incorporated in full in this Account Application and terms defined in the Terms of Business shall where the context permits have the same meaning in this Account Application.

The Customer hereby appoints FAML to manage the Portfolio on the terms set out in this Account Application and the Terms of Business.

The Customer hereby appoints FAML as its agent to arrange the provision of custody services to the Customer by the 'Custodian' on the terms set out in the Terms of Business and to contract such arrangements on its behalf and or to arrange and contract the provision of custody services to the Customer by such other custodian as FAML may select.

The Customer acknowledges knowledge and experience of investment in financial markets including smaller companies quoted on AIM and is aware of the inherent risks

The Customer acknowledges that there is no guarantee of qualification for tax relief and that there is also the risk of a change in legislation which may have an adverse effect on any potential tax saving that might otherwise have arisen.

The Customer confirms that he/she is familiar with the nature of the investment services offered by FAML and the likely frequency and nature of transactions in the Portfolio.

Where more than one person enters into this Investment Management Agreement, such persons shall together be the Customer and their obligations under this Agreement shall be joint and several. FAML shall be entitled to rely on instructions received from the person first above named as a Customer in relation to all matters to do with the Investment Management Agreement.

**By signing the Account Application Letter in Section 6:**

(a) I/We confirm that the application is made on the terms and conditions set out in the Account Application Documents.

(b) I/We certify the above information to be true and correct and that I/We will supply the required information with my/our application (all applicants to sign).

Please tick this box if you consent to receive marketing information from FAML and/or its subsidiaries.

Please tick this box if you do not consent to receive marketing information from FAML and/or its subsidiaries.

*The Application Form and Terms of Business are current as at the date of publication but are subject to change without notice.*



**ACCOUNT APPLICATION LETTER**  
**For Individuals- including FATCA declaration**  
**Execution-Only Dealing Service for Retail Clients with Investment Advisers or**  
**Managers**

### 1. Client(s) Details

Name(s):	
Address:	
Telephone number:	
Email address:	

The person identified above shall be referred to as “you” or “the Client” in this form.

### 2. Investment Adviser/Manager Details

Name:	
Contact person:	
Address:	
Telephone number:	
Email address:	

The investment advisor or investment manager identified above shall be referred to as the “Intermediary” in this form.

### 3. Account Application

By signing and returning this form you are applying to become a client of James Brearley for its execution-only dealing service as set out and subject to its Execution-Only Dealing Services Terms of Business for Retail Clients with Third Party Investment Advisers or Managers (the “**Terms**”).

You confirm that you have received copies of and that you understand and accept the Terms and the following document:

- Order Execution Policy

By signing and returning this form, you intend and understand that you will become a client of James Brearley and have appointed us to provide the services detailed in the Terms. You confirm that you are a UK Tax Resident and have provided your correct National Insurance number to the Intermediary to pass on to James Brearley. You agree to promptly inform the Intermediary of any changes within 30 days. You will also be aware that your information will be shared with UK tax authorities who may pass on to other tax authorities.

### 4. Your Investment Adviser or Manager

You confirm that you have appointed the Intermediary identified above as your investment adviser and/or investment manager, with authority to arrange transactions in financial instruments for your account, and to represent and act on your behalf as described in the Terms, and to agree changes to our costs and charges on your behalf from the date hereof.



## 5. Providing you with Information

You confirm that you consent to information about us, our services or other information which we are required to provide to you, and which is not addressed to you personally, being provided to you by your Intermediary or by means of a website. Such information will be available at <https://www.jbrearley.co.uk> and in particular at the Downloads page, <https://www.jbrearley.co.uk/professional-advisers/platform-services-client-page/> and/or such other website addresses as we may notify you (directly or via your Intermediary on your behalf) from time to time.

You also consent to the provision of information via email, a PDF document or by any other durable medium that is not paper and confirm you have regular access to the internet.

## 6. Order Execution

By accepting our Terms, you are specifically providing your acceptance of our Order Execution Policy.

## 7. Questions Regarding this Application

Should you have questions regarding this form, the Terms or other questions prior to signing and returning the form, please contact your Intermediary.

Signed,

James Brearley

## Client(s) Acceptance

Signed: .....

Name(s):

Date:

.....  
INTERNAL USE:

James Brearley Account Number:-



## PRO ICON ISA Application Form

I wish to subscribe for a Flexible Stocks & Shares ISA for the tax year  /  and each subsequent year until further notice.

I wish to transfer to a Flexible Stocks and Shares ISA administered by James Brearley.

Title:	Surname:	First Names:
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Permanent Residential Address:

Postcode:

Date of Birth:	Email:	National Insurance Number:
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**Payment details:** Cheques to be made payable to James Brearley ISA A/C. Payment may also be made using your debit card or using our on-line facility. Please contact your regional office for further details.

### ISA TERMS AND CONDITIONS

By signing and submitting this ISA Application Form you agree to the "Terms" as outlined in our Execution-Only Dealing Services, Terms of Business for Retail Clients with Third Party Investment Advisers or Managers, along with the following specific terms in respect of your ISA.

James Brearley is approved by the HM Revenue and Customs (HMRC) as an ISA Manager. In this capacity we will administer an ISA in accordance with the Individual Savings Account Regulations 1998 ("the Regulations"), or as subsequently amended. In the case of an inconsistency between the "Terms" and the provisions of the Regulations, the provisions of the Regulations will prevail. Failure to meet the obligations under the Regulations may cause the ISA to be void or need to be remedied by repair. Any such liability arising from the ISA being void or repaired will be borne by you. To the extent that the Regulations permit, we can make investments for you within an ISA. Not all investments are permitted to be held in an ISA.

The maximum amount that may be invested in an ISA is subject to limits set by HMRC for any particular tax year and this limit may change from one tax year to the next. Should you invest more than the rules allow the ISA will be void or need to be remedied by repair. We will notify you if by reason of any failure to satisfy the provisions of the Regulations an ISA has or will become void.

Subscriptions into the ISA must be in cash with the exception of stock arising from approved employee share savings related share option or profit sharing schemes which may be transferred into the ISA in accordance with the Regulations. The ISA investments will be, and must remain, the beneficial ownership of the investor and must not be used as security for a loan.

You have the right to transfer in part or all of an existing ISA from another ISA Manager or request that the investments within the ISA be transferred out to another ISA Manager. During a requested cash transfer of an existing ISA from one ISA Manager to James Brearley, funds will not be invested in the stockmarket. We do not accept any responsibility for any potential or actual loss that you may claim has occurred in such circumstances.

You may terminate your ISA by giving us notice in writing, requesting that we either transfer all investments to you or to sell the investments and remit the resulting sale proceeds to you. Termination of the ISA will be effective when written notice is received by us and all benefits and relief from tax will cease immediately. All fees (including a pro rata annual fee) and charges due to the point of termination of the ISA must be paid to us.

We may at our absolute discretion, terminate the ISA by giving at least 20 days' notice in writing to you.

## DATA PROTECTION

All personal data supplied by the investor to James Brearley for the purposes of the ISA Plan Manager services:

- Will be processed by James Brearley as data controller under the Data Protection Legislation;
- Will be fairly and lawfully processed in accordance with James Brearley's privacy policy, a copy of which is available from our website, [www.jbrearley.co.uk](http://www.jbrearley.co.uk); and
- James Brearley will at all times comply with the obligations imposed on a data controller under the Data Protection Legislation in relation to such personal data.

The ISA Plan Manager services are:

- ensure your investments are administered in accordance with the ISA regulations.
- To claim repayment of income tax deducted at source.

## INVESTOR'S CONFIRMATION OF APPOINTMENT OF ADVISER

I have appointed .....[insert full name of Intermediary] (the "Intermediary") as my investment advisor, investment manager and/or agent with authority to represent and act on my behalf as described in James Brearley's Execution-Only Dealing Services Terms of Business for Retail Clients with Third Party Intermediaries (the "Terms") and, where I have indicated in my Account Application Letter that Orders are to be given by my Intermediary, to arrange transactions in ISA investments for my account. By completing this Application Form I am applying to become a client of James Brearley for its execution-only dealing service (as set out and subject to the Terms) in relation to ISA investments and authorise and instruct James Brearley to act on instructions from, and to provide such information to, the Intermediary as the Intermediary may require in accordance with, or for the purposes of, the Execution-Only Dealing Services Agreement entered into between James Brearley and the Intermediary ("Agreement"). I acknowledge that any of my personal data processed by James Brearley pursuant to the Agreement will be processed by James Brearley as data processor for the purposes of the applicable data protection legislation.

## ISA DECLARATION

I declare that I am aged 18 or over; that all subscriptions made, and to be made, belong to me; that I have not subscribed/made payments and will not subscribe/make payments, more than the overall subscription/payment limit in total to a cash ISA, a stocks and shares ISA, an innovative finance ISA, and a Lifetime ISA in the same tax year; that I am resident in the United Kingdom for tax purposes or, if not so resident, perform duties which by virtue of Section 28 of the Income Tax (Earnings & Pensions) Act 2003 (Crown Employees serving overseas) are treated as being performed in the United Kingdom, or I am married to or in a civil partnership with a person who performs such duties. I will inform James Brearley's if I cease to be so resident or to perform such duties, or be married to or in a civil partnership with a person who performs such duties. I authorise James Brearley's to hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash; to make on my behalf any claims to relief from tax in respect of ISA investments. I agree to the ISA terms and conditions.

I declare that this application form has been completed to the best of my knowledge and belief.

Signature:

Date:



# James Brearley

Investment Managers & Stockbrokers  
Established 1919

Member of the London Stock Exchange  
Authorised and Regulated by the  
Financial Conduct Authority

## TRANSFER AUTHORITY

Please choose the relevant option:

Please return this form to the Transfers Department at :-  
James Brearley, Walpole House, Unit 2, Burton Road, Blackpool, FY4 4NW. Tel: 01253 831100.

**PLEASE DO NOT SEND THIS FORM TO YOUR EXISTING ADMINISTRATOR**

James Brearley will arrange the transfer directly with your existing Administrator.

<b>Existing Administrator details</b>	
Name:	
Address:	
Email Address:	
Telephone Number:	
Reference numbers of your exiting accounts. <b>If you do not have an existing account please populate with n/a</b>	
Existing ISA Account Numbers:	
Existing General Account Numbers:	

Dear Sirs,

Please accept this letter as authority to transfer my portfolio to James Brearley, Walpole House, Unit 2 Burton Road, Blackpool, FY4 4NW, any fees in relation to this transfer are to be taken from my account with you.

Please transfer all of my investments in specie from the accounts indicated above.

In respect of packaged products, please transfer these to the prevailing class of unit indicated by James Brearley. I hereby give additional authorisation for you to sell those investments that for whatever reason you are unable to transfer.

Any cash held within my portfolio should be sent to James Brearley following the transfer of my investments.

Name (Block Capitals Please):	
First Name:	
Surname Name:	
Address:	
Post Code:	
Date of Birth:	
NI Number:	
James Brearley Client Ref (if known):	
Email Address:	
Signature:	
Date:	

*Client Disclaimer: If some or all of your investments cannot be transferred and are therefore sold, this instruction does not fall within the James Brearley 'best execution policy' as detailed in the Services Terms and Conditions. The precise execution of this instruction by your current Nominee Administrator cannot be determined or controlled by James Brearley and as such James Brearley accepts no liability for any actual or perceived loss arising from any delay in the ultimate execution of your instruction.*

*Please note: If you elect to transfer a packaged product in specie to James Brearley, the investment may be converted into the prevailing class of unit that James Brearley hold for this investment. This may result in the ongoing charges for the investment being higher or lower than the class of unit held prior to transfer.*