Balkerne
Asset Management

Discretionary Portfolio Management

Application Form

PERSONAL DETAILS – APPLICANT 1

Title (Mr/Mrs/Ms/Miss/Other)

Surname

Forename(s)

Date of Birth Age

Marital Status

Address
(Incl. Postcode)

Previous
Address
(if less than 3
years at above)

Email

Home Tel

Work Tel

Mobile Tel

Place of Birth

Nationality

Please provide your National Insurance (NI) Number:

Please provide name(s), relationship
and dates of birth of any dependent(s)

PERSONAL DETAILS – APPLICANT 2

Title (Mr/Mrs/Ms/Miss/Other)

Surname

Forename(s)

Date of Birth Age

Marital Status

Address
(Incl. Postcode)

Previous
Address
(if less than 3
years at above)

Email

Home Tel

Work Tel

Mobile Tel

Place of Birth

Nationality

Please provide your National Insurance (NI) Number:

Please provide name(s), relationship
and dates of birth of any dependent(s)

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PERSONAL WEALTH – APPLICANT 1

Please tick all applicable sources of wealth

- Employment ☐
- Property ☐
- Inheritance/Family Trust ☐
- Business Ownership/Sale ☐
- Investments/Savings ☐
- Other (Please specify below) ☐

Please include all personal income, assets and liabilities

Income

Employment Income	£
Pension Income	£
Savings Income	£
Other (Please specify below)	£
TOTAL INCOME	£

Assets

Main Residence	£
Other Property	£
Cash/National Savings	£
Investments	£
Other (Please specify below)	£
TOTAL ASSETS	£

Liabilities

Outstanding Mortgage	£
Other Loans	£
Other (Please specify below)	£
TOTAL LIABILITIES	£

PERSONAL WEALTH – APPLICANT 2

Please tick all applicable sources of wealth

- Employment ☐
- Property ☐
- Inheritance/Family Trust ☐
- Business Ownership/Sale ☐
- Investments/Savings ☐
- Other (Please specify below) ☐

Please include all personal income, assets and liabilities

Income

Employment Income	£
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Savings Income	£
Other (Please specify below)	£
TOTAL INCOME	£

Assets

Main Residence	£
Other Property	£
Cash/National Savings	£
Investments	£
Other (Please specify below)	£
TOTAL ASSETS	£

Liabilities

Outstanding Mortgage	£
Other Loans	£
Other (Please specify below)	£
TOTAL LIABILITIES	£

EMPLOYMENT AND BUSINESS INTERESTS APPLICANT 1

What is your occupation (or last job if retired)?

What is your anticipated retirement date?

What is the name and address of your employer?

Please state type of business

Are you a senior public figure/politician or associated with one? YES ☐ NO ☐

Are you or have you ever been employed in the Financial Services Industry? YES ☐ NO ☐

Do you have a shareholding of 5% or more in a Plc? YES ☐ NO ☐

Are you a Director or a Significant Senior Manager of a Plc? YES ☐ NO ☐

EMPLOYMENT AND BUSINESS INTERESTS APPLICANT 2

What is your occupation (or last job if retired)?

What is your anticipated retirement date?

What is the name and address of your employer?

Please state type of business

Are you a senior public figure/politician or associated with one? YES ☐ NO ☐

Are you or have you ever been employed in the Financial Services Industry? YES ☐ NO ☐

Do you have a shareholding of 5% or more in a Plc? YES ☐ NO ☐

Are you a Director or a Significant Senior Manager of a Plc? YES ☐ NO ☐

If you have answered yes to any of the above questions please provide full details below

INVESTMENT OBJECTIVES AND ATTITUDE TOWARDS RISK vs. REWARD

A good starting point for any investment portfolio is a clear definition of the aims, objectives and constraints over a relevant period of time. The following questions will help us determine and implement a suitable longer term (5 years and more) investment strategy. It is important that you keep us informed of any changes to your circumstances so we can review the strategy.

What is the main purpose of the investment portfolio and what are your financial goals?

☐ To accumulate wealth (i.e. Capital Growth) – for long term capital expenditure (e.g. a house purchase or school fees); for Retirement/Inheritance Tax planning.

☐ To generate an income (i.e. Income) – to provide a regular or varied amount of monthly or quarterly income, either as your primary or supplementary source.

☐ A combination of both of the above options (i.e. Capital Growth & Income).

What is your anticipated time horizon?

This refers to the period of time over which an investment is made or held and in this context can range from a few years to several decades. Knowing your time horizon is extremely important in terms of helping us decide on suitable types of investment to achieve your above goals. All things being equal, a short time horizon would normally indicate a high exposure to fixed interest and little or minimum exposure to equities; a Medium or Long time horizon would normally suggest a higher exposure to assets such as equities in order to protect the portfolio against inflation.

Less than 5 years ☐ 5 to 10 years ☐ Over 10 years ☐

What is your attitude to Risk?

Your financial circumstances will principally determine your capacity for risk and you may have to accept more than you initially anticipate in order to achieve your long-term objectives. All investment involves an element of risk to capital and/or income and there will be periods when the short-term return differs from the long-term objective.

☐	**Risk Averse**	You do not accept any volatility or fluctuation to the value of your capital. **NOTE: The services of Balkerne Asset Management DO NOT cater for this risk category.**
☐	**Lower**	You prefer and seek investments with a minimum risk of a decline in value and have a low tolerance threshold to fluctuations/variations of capital value or income.
☐	**Lower than Medium**	You prefer investments with a low risk of a decline in value, although you recognise that some risk to capital must be incurred to achieve potentially higher returns. You will tolerate low volatility in the value of your investments.
☐	**Medium**	You are willing to place a reasonable amount of emphasis on growth investments and are aware that these are liable to fluctuate in value. You will tolerate moderate fluctuations in the value and/or income levels of your investments.
☐	**Higher than Medium**	You are willing to accept a potentially significant decline in your investment for potentially higher capital returns. You will tolerate and accept wide fluctuations in the value and/or income levels of your investments.

FUNDS FOR INVESTMENT

Please state the total amount you wish to invest with Balkerne Asset Management and the source of the monies

Amount £ Source

Please indicate where the funds are currently held

- Personal Bank Account ☐
- Investments in own name ☐
- Account with another investment manager ☐
- Investments with a third party ☐
- Other (please specify below) ☐

When investing via cheque please make them payable to **'Balkerne Asset Management Client's Account'**

Please list any existing stocks which are to be transferred to Balkerne Asset Management on the notes page of this form (please include: the name of the stock, number of shares, date of purchase, book cost and current value)

SERVICE CATEGORY

All investment services are managed on a discretionary basis whereby you grant Balkerne Asset Management the discretion to make all investment decisions, execute transactions and monitor performance.

Please clearly indicate the category of service you are applying for:

☐ **BESPOKE PORTFOLIO SERVICE (BPS)** – minimum investment £500,000 – no maximum

Please complete the **BPS APPLICATION FORM**

☐ **MANAGED STOCKBROKING SERVICE (MSS)** – minimum investment £50,000 – no maximum

Please complete the **MSS APPLICATION FORM**

☐ **MANAGED FUND SERVICE (MFS)** – minimum investment £10,000 – no maximum

Please complete the **MFS APPLICATION FORM**

☐ **INDIVIDUAL SAVINGS ACCOUNT (ISA)** - minimum investment £4,000
- maximum as determined by HMRC

Please complete the **ISA APPLICATION FORM(S)**

☐ **JUNIOR INDIVIDUAL SAVINGS ACCOUNT (JISA)** - minimum investment £3,600
- maximum as determined by HMRC

Please complete the **JISA APPLICATION FORM(S)**

PORTFOLIO VALUATION STATEMENTS

For investors in the Bespoke Portfolio Service Valuation Statements will be sent to you every quarter in January, April, July and October in accordance with our BPS Terms & Conditions and the BPS Key Features Document.

For investors in all other services Portfolio Valuation Statements will be sent to you every half year in April and October in accordance with our Terms and Conditions and the Key Features Document for the relevant service(s).

You can gain access to a Portfolio Valuation Statement at any time via our website www.balkerneassetmanagement.com and logging into our Valuations Online service. If you would like to be given access to this facility please indicate below.

Do you wish to access the Balkerne Asset Management Valuations Online Service?

YES ☐ NO ☐

BALKERNE ASSET MANAGEMENT MARKET OUTLOOK

Balkerne Asset Management produces a regular Market Outlook providing in-house views on the global economy and markets which is sent out by email.

Do you wish to receive a copy of the Balkerne Asset Management Market Outlook?

YES ☐ NO ☐

DATA PROTECTION

Balkerne Asset Management as a trading style of Capel Court Plc is registered under the Data Protection Act 1998. It is understood that we keep personal and financial information with regard to your circumstances on file (electronic and/or paper based).

This information will be available to members of Balkerne Asset Management and will not be transferred to any other party with the exception of organisations involved in compliance & regulatory auditing, fraud prevention, or if required for the completion of the transactions agreed.

ANTI-MONEY LAUNDERING VERIFICATION

We are required to verify your identity and may check your details against those held on databases with a credit reference agency i.e. information from the Electoral Register and Fraud Prevention agencies, in accordance with the Proceeds of Crime Act 2002 and the Anti-Money Laundering regulations. No investments will be made until such verification has been obtained. If we cannot confirm your identity by electronic means, we may contact you to request additional information.

Health Warning

The value of investments can go down as well as up and, as a consequence, the value of your portfolio at any given point in time cannot be guaranteed. Upon withdrawal or transfer of your portfolio you may not realise the sum originally invested.
Past performance is not necessarily a guide to future returns.

CLIENT DECLARATION

I / We confirm that the details contained in this application form are accurate and true and represent a fair assessment of my / our objectives and attitude to investment risk.

	APPLICANT 1	APPLICANT 2
Signature		
Date		
Print Full Name		

Balkerne Asset Management
1 Balkerne Hill, Colchester, Essex CO3 3FG
Freephone 0808 200 0808

www.balkerneassetmanagement.com

Please list any existing stocks which are to be transferred to Balkerne Asset Management.

Name of Stock	No. of Shares	Date of Purchase	Book Cost	Current Value

NOTES