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:

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 your Legal Entity Identifier Number (LEI) if applicable:

Are you subject to the IRS tax regime of the United States of America YES ☐ NO ☐

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

Are you subject to the IRS tax regime of the United States of America YES ☐ NO ☐

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

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	£
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	£

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 details in the 'Notes' section on page 8.

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.
☐	**Higher**	You are willing and prepared to accept high levels of volatility and risks and appreciate the potential for major fluctuations in the value of your portfolio. This strategy holds significant investment risks in the short term and portfolios may be unbalanced and opportunistic in nature.

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

When investing via cheque please make it 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)** – Min £500,000 – No Max
Please complete the **BPS APPLICATION FORM**

☐ **MANAGED STOCKBROKING SERVICE (MSS)** – Min £50,000 – No Max
Please complete the **MSS APPLICATION FORM**

☐ **ALTERNATIVE INVESTMENT MARKET INHERITANCE TAX MANAGED STOCKBROKING SERVICE (AIM IHT MSS)** – Min £50,000 – No Max
Please complete the **AIM IHT MSS APPLICATION FORM**

☐ **MANAGED FUND SERVICE (MFS)** – Min £20,000 – No Max
Please complete the **MFS APPLICATION FORM**

☐ **INDIVIDUAL SAVINGS ACCOUNT (ISA)** - Min £20,000 – Max as per HMRC
Please complete the **ISA APPLICATION FORM**

☐ **ALTERNATIVE INVESTMENT MARKET INHERITANCE TAX INDIVIDUAL SAVINGS ACCOUNT (AIM IHT ISA)** – Min £20,000 – Max as per HMRC
Please complete the **AIM IHT ISA APPLICATION FORM**

☐ **JUNIOR INDIVIDUAL SAVINGS ACCOUNT (JISA)** - Min £9,000 – Max as per HMRC
Please complete the **JISA APPLICATION FORM**

PORTFOLIO VALUATION STATEMENTS

Valuation Statements will be sent to you every quarter within 21 days of 31 March, 30 June, 30 September, and 31 December using our Valuations Online Service which is accessed via our website ***www.balkerneassetmanagement.com***. Login credentials will be sent to you for this purpose.

In addition, you will be sent an annual statement as at 05 April (issued by the end of May), including where applicable, a Consolidated Tax Voucher, full cash, dividend and transaction statements and a Capital Gains Tax report, all via the Valuations Online Service.

PERSONAL INFORMATION

Balkerne Asset Management as a trading style of Capel Court Plc adhere to the strict guidelines and principals required by the Data Protection Act 1998 and EU regulations under the General Data Protection Regulation (GDPR) in regard to obtaining, storage and security of personal data. Please refer to the **Capel Court Plc and Balkerne Asset Management Data Protection and Privacy Notice** for full details.

It is generally understood that we have a legitimate interest in keeping personal and financial information with regard to your application on file (electronic and/or paper based) in order to provide you with the services as detailed in the Key Features Document and Terms & Conditions pertinent to your Balkerne Asset Management Discretionary Portfolio.

ID and 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. TransUnion (formerly Callcredit Ltd); for further details about TransUnion and the information it holds please refer to *https://www.callcredit.co.uk/legal-information/bureau-privacy-notice*), 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.

Investment Risk 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 cannot be relied on and is not necessarily a guide to future returns.

Please be Aware

Before investing in the services of Balkerne Asset Management, we strongly recommend that you read the Key Features, Terms & Conditions and Charges and Costs of our Services as applicable to the service(s) you are applying for as they provide details of the terms, risks and costs under which the investment(s) will be managed. In the event that you do not understand any aspect of the Key Features, Terms & Conditions or Charges and Costs of our Services, please ask further questions of your Financial Adviser in order to seek clarification.

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. I / We further confirm that I / we have been given sufficient time and opportunity to read and consider the Key Features and Terms & Conditions pertaining to the services applied for and the Schedule of Charges and Costs of our Services and both appreciate and agree to the terms, risks and costs under which the investment(s) will be managed.

	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