



**Adapt AIM ISA Portfolios**  
*Advised Application Form*

# Welcome

## Application Procedures

Thank you for choosing to invest with Blackfinch. We're looking forward to you becoming part of our community. Once invested, our team will be working in line with your financial planning aims. We'll also be on hand to provide support at every stage of your investment journey.

### Committed to a greener world.

Using 100% recycled paper

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Embracing renewable energy

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Online application processes

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For more information on our ESG and CSR policies please visit [blackfinch.com/ESG](https://blackfinch.com/ESG)



### Need help with your application?

For support with completing your application, please refer to your adviser in the first instance. Or if you have a question for Blackfinch, our Client Excellence team is available. You and your adviser can reach them on 01452 717070 or at [enquiries@blackfinch.com](mailto:enquiries@blackfinch.com). Advisers can also contact their Business Development Manager.

If you are completing a paper application, please submit this to:

Blackfinch Investments Limited  
1350-1360 Montpellier Court,  
Gloucester Business Park,  
Gloucester,  
GL3 4AH

If you are completing one of our digital application forms, please email these to [enquiries@blackfinch.com](mailto:enquiries@blackfinch.com) or alternatively you can send the completed form to your Business Development Manager.

### Please Note

- All forms submitted to Blackfinch Investments Limited must carry original signatures.
- We're unable to accept any liability for cheques or other documents dispatched by post. Such items will be at the Applicant's own risk.
- The completed Application Form constitutes a warranty that any monies the Applicant forwards will be honoured on first presentation.

# Welcome

## Application Procedures

### Cheques and Bank Transfers

Cheques should be made payable to  
'Blackfinch Investments Limited'

CHAPS/BACS/FastPay transfers should be remitted after we receive the Application and after we have completed identity checks, including verifying documents, and have provided confirmation of this.

Account Name	Blackfinch Investments Limited
Account Number	01812668
Sort Code	30-95-41

Transfers should be referenced with the Applicant's name.

We will only accept monies from the Applicant's bank account. If Blackfinch Investments Limited is unable to identify the Applicant's identity in respect of the remittance, or if the payment is from a bank outside the UK/EEA, the remittance may be returned to the remitting bank minus any charges arising from the return of funds.

### Certifying Power of Attorney documents

To create certified copies of power of attorney documents, please follow the process below:

Make a photocopy of the original document in black and white only.

On the bottom of each photocopied page clearly write:  
"I certify that this is a true and complete copy of the corresponding page of the original lasting power of attorney."

On the final page please also write:

"I certify that this is a true and complete copy of the lasting power of attorney."

Please also ensure that the photocopied document is signed and dated on every page by a professional who is a FCA regulated person, or an accountant or solicitor. The person signing must clearly print their name, occupation and provide their company contact details.

Others who can provide certification include:

- The donor
- A Solicitor
- A person who carries out notarial activities

We have sourced this information from the [www.gov.uk](https://www.gov.uk) website. For more guidance on certified copies relating to power of attorney documents please visit:  
<https://www.gov.uk/power-of-attorney/certify>

# Section 1

## Applicant Details

### TO BE COMPLETED BY THE APPLICANT

The words and expressions used in this Application Form shall have the meanings ascribed to them in the Adapt AIM Portfolios Brochure and the Terms & Conditions current at the date of completion of this Application Form or as defined elsewhere. By signing this Application Form, the Applicant agrees they have read and understood the Declaration and Undertaking on page 19 of this Application Form.

Title	Forename(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

Address	Postcode
<input type="text"/>	<input type="text"/>

Previous Address (if not at current address for three years)	Postcode
<input type="text"/>	<input type="text"/>

Date of Birth	National Insurance Number
<input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>

Nationality
<input type="text"/>

Telephone Number	Email Address
<input type="text"/>	<input type="text"/>

We encourage all clients and advisers who work with Blackfinch to become paperless. To ensure we continue to reduce our carbon footprint we will communicate with you electronically in respect of your investment into the Blackfinch Adapt AIM Portfolios. Should you wish to receive hard copies, please contact us on [enquiries@blackfinch.com](mailto:enquiries@blackfinch.com) to submit your request.

# Section 2

## Funds

**TO BE COMPLETED BY THE APPLICANT**

Are you investing under Power of Attorney or Trust?

Please note that Blackfinch will need to verify the identity of all attorneys who sign this form for money laundering purposes and will run electronic identification checks to do so.

Yes  No

Existing investor with Blackfinch? If yes, please state your designation number.

How much are you investing? (Minimum Investment £15,000)

You cannot invest in another stocks and shares ISA in the same year, and your investment must not exceed the maximum annual allowance for that tax year.

Cheque

£

Bank Transfer

£

ISA Transfer

£

Please note that where funds are due to arrive from more than one source, we will typically wait until all funds have arrived before investing, so as to avoid incurring additional transaction costs to the investor. However, in cases where there are large sums to be invested which are already believed to have qualified for Business Relief for Inheritance Tax, advisers may deem it suitable for these sums to be invested before all funds have cleared, despite the additional transaction costs. In such cases, the adviser will need to contact us directly.

What percentage of available funds would you like to invest in each model?

If you intend to invest into both portfolios, please note that a 50/50 allocation split will be managed within one account. Any other allocations would require two separate accounts, along with two sets of fees, detailed on pages 12 and 13. In all cases where investment is being made into both portfolios, you must invest the minimum of £15,000 into each portfolio.

Income Portfolio  %

Growth Portfolio  %

If you have selected the income portfolio, please tick here if you would like the quarterly income paid out to the client

If you have opted for the Income Portfolio and withdrawals are to be paid to a different account from the account stated (page 7), please confirm the details in the Additional Information section on page 15 of this Application Form.

Please confirm the source of funds for investment

(If ISA Transfer is selected please complete the Transfer into Adapt AIM Portfolios Form on page 9 and 10)

Business Relief Qualifying Investments  Other Investments, please specify

ISA Transfer

# Section 2 Continued

## POA/Trustee(s) Details

**TO BE COMPLETED BY THE APPLICANT (IF APPLICABLE)**

Number of POA/Trustees

POA/Trustees Details

Name

Date of Birth

  /   /    

Address

Postcode

Email Address

Name

Date of Birth

  /   /    

Address

Postcode

Email Address

Name

Date of Birth

  /   /    

Address

Postcode

Email Address

# Section 3

## Bank Details

**TO BE COMPLETED BY THE APPLICANT**

*This section must be completed. The details below enable us to confirm the details of where you are making payment from, we may also use these details for future payments to you, this may include dividends and withdrawals at your request.*

Bank Name

Account Name

Sort Code

 -  - 

Account Number

Building Society Reference / Roll Number (if applicable)

# Section 4

## Tax Residency

**TO BE COMPLETED BY THE APPLICANT**

### Tax Residency Status

We are legally required to collect information about each Investor's tax residency and classifications, which may be shared with HM Revenue & Customs.

Are you a tax resident outside of the UK, or do you complete a tax return in any country other than the UK?

If yes please complete the section below.

Yes  No

Country(ies)

Tax Payer Identification Number (TIN) where available

Your tax identification number is the personal reference which is assigned to you by the relevant tax authority.

This can be found in a number of ways, the most common of which are listed:

- On your tax return or notification of coding
- By contacting the relevant tax authority
- From your accountant or tax adviser
- On your pay slip or through your employer

Should your tax residency change at any time in the future, you must notify Blackfinch Investments Limited in writing immediately.



# Section 5

## Transfer Form

### TO BE COMPLETED BY THE APPLICANT

Use this form to transfer an existing ISA portfolio to Blackfinch, either held in your own name, via a nominee, or operated by another manager. (This form will be detached from the application to enable us to carry out the transfer of assets). We cannot complete the transfer if this form is incomplete.

If you wish to transfer more than one ISA, please complete a separate Transfer Form for each ISA you are transferring and tick one of the following options:

#### Would you like us to:

Wait for all monies to be transferred before we invest

*(one set of dealing charges but could face a delay in achieving your IHT exemption and investment returns)*

or

Invest as each tranche of monies arrive from the transferee

*(faster response to having your money invested but will face an increase in charges<sup>1</sup> dependent on the number of transfers)*

#### Investor Details

Title

Forename(s)

Surname

#### Permanent Residential Address

Postcode

Date of Birth

Email Address

*By completing your email address above you agree that we can communicate with you electronically. Should you wish to receive paper copies of correspondence, please contact us on [enquiries@blackfinch.com](mailto:enquiries@blackfinch.com)*

National Insurance Number

Jarvis A/C Number *(To be completed by Blackfinch Investments Limited)*

<sup>1</sup>Please see the rate card for further details

# Section 5 Continued

## Transfer Form

*TO BE COMPLETED BY THE APPLICANT*

### Existing Account Manager Details/ Nominee Details

Name of Company

Contact Name

Telephone Number

Permanent Business Address

Postcode

Full Account Name

Account Number

# Section 6 Declaration

## TO BE COMPLETED BY THE APPLICANT

Please tick the box which applies to your investment:

- I wish to transfer my entire ISA
- I wish to transfer my ISA in part
- I wish to transfer  % of my total ISA holding

Estimated value of the transfer

£

I request that the above account be managed by Blackfinch and hereby authorise you to transfer this account to Jarvis Investment Management Limited, as custodian, on their written instruction to do so and provide such information regarding my above specified account which they require. The assets in my current portfolio should be liquidated and the proceeds should be transferred to Jarvis Investment Management Ltd. Please note: liquidating assets may incur costs during the liquidation process which would be deducted from your Blackfinch Portfolio before new shares are purchased.

- Please tick this box if; the assets in your current portfolio are BR qualifying AIM stocks and should not be liquidated. In this case we will carry out an in-specie transfer, should certain stocks not be eligible for transfer we will consult your Financial Intermediary.

Please contact Blackfinch Investments for a breakdown of any additional trading costs associated with in-specie transfers.

Signature of Applicant

Name in Block Capitals

Date

  /   //

# Section 7

## Charges

### TO BE COMPLETED BY THE APPLICANT

We accept applications submitted via FCA authorised advisers where the investment is being made on an advised basis. We will facilitate initial and ongoing Financial Intermediary fees which have been agreed between the applicant and the adviser named on Page 13.

#### Fees Payable to Intermediary

Yes  No

#### Initial Financial Intermediary Fee

£  Fixed Sum or  % of funds received

Please tick if a 20% VAT charge is to be added to this fee

If yes, please state the company VAT registration number

Please note; where the investment monies are received by ISA transfer a £15 plus VAT BACs Fee will apply for the transfer of your Intermediaries Initial Fee.

#### Ongoing Financial Intermediary Fee

£  Fixed Sum or  % of the value of the portfolio (calculated on a monthly basis)

Please tick if a 20% VAT charge is to be added to this fee

If yes, please state the company VAT registration number

By signing Section 9 'Applicant Declaration' this confirms that you have read and understood the Blackfinch Fees and the Custody and Settlement Fees. The fees outlined may be subject to change, should this occur we will give you 30 days' written notice.

Important: Financial Intermediary and Blackfinch ongoing fees will be facilitated via cash held on deposit, in the instance that this is insufficient it may be facilitated via sale of shares. Please note that if your firm is an appointed representative then all adviser fee payments confirmed above will be paid directly to the firm's Regulated Principal.

#### Blackfinch Fees

The charges levied by Blackfinch Investments Ltd for the management of your portfolio are detailed below:

No Initial Charge, 0% entry fee for applications.

An Annual Management Charge of 1.5% per annum on the value of all portfolios plus VAT. Management Fees are calculated quarterly in arrears.

A Dealing Fee of up to 1% on the value of the transaction.

# Section 8

## Custody and Settlement Fees

### TO BE COMPLETED BY THE APPLICANT

Jarvis Investment Management Ltd will apply the following charges for their Custody, Settlement and Administration services in addition to any Blackfinch fees:

#### Fees

Account Fee	£52.50 plus VAT per account per annum	
Trading Fee	£11.03 per trade	
Administration Fee	BACS/cheque withdrawal	£15.75 plus VAT
	Same day payment	£26.25 plus VAT
	Stock transfer out (per line)	£10.50 plus VAT
	Account closure (per portfolio)	£52.50 plus VAT

#### Financial Intermediary Details

Network Firm Name

Full Name of Intermediary

Full Name of Regulated Firm

Financial Intermediary FCA Reference Number

Firm FCA Reference Number

Firm Address

Postcode

Telephone Number

Financial Intermediary Email Address

We encourage all clients and advisers who work with Blackfinch to become paperless. To ensure we continue to reduce our carbon footprint we will communicate with you electronically in respect of your client's investment into the Blackfinch Adapt AIM Portfolios. Should you wish to receive hard copies, please contact us on [enquiries@blackfinch.com](mailto:enquiries@blackfinch.com) to submit your request.

# Section 9

## Applicants Declaration

### TO BE COMPLETED BY THE APPLICANT

By signing this form I declare that:

- I am 18 years of age or over.
- I have read and understood the Adapt AIM Portfolios Brochure.
- I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of 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 Blackfinch 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 have read and understood the Terms & Conditions and agree to be bound by them. The Terms & Conditions are Blackfinch's standard agreement upon which we intend to rely. For your own benefit and protection you should read these terms carefully before signing. If you do not understand any point please ask for further information.
- I have read and understood the Declaration and Undertaking section on page 19 of this Application Form and agree to be bound by them.
- I consent to Blackfinch Investments Limited's best execution policy (available on request) and the execution of trades on my behalf on the London Stock Exchange's Alternative Investment Market.
- I consent to the Blackfinch fees and charges which are detailed on page 12 of this Application Form as well as the Adapt AIM Portfolios Brochure.
- I consent to the Custody and Settlement fees from Jarvis Investment Management Ltd which are detailed on page 13 of this Application Form.
- I consent to Blackfinch Investments Limited facilitating my Financial Intermediaries fees and charges.

### Custodian & Money Laundering Authorisation

I confirm:

- The appointment of Jarvis Investment Management Ltd as custodian of my Adapt AIM Portfolios subject to their Terms & Conditions, which I hereby acknowledge having received.
- I understand that you, or Jarvis Investment Management Ltd, may undertake a search with a third party company for the purpose of verifying my identity and the details I have submitted as part of this application. To do so the third party companies may check the details I supply against any particulars on any database (public or otherwise) to which they have access. That you may use my details in the future to assist other companies for verification purposes. A record of the search will be retained.
- That the information I have provided is true and complete and that Jarvis Investment Management Ltd be authorised to make any credit reference and enquiries in connection with this application

Signature of Applicant

Name in Block Capitals

Date

  /   /

# Section 9 Continued

## Applicants Declaration

**TO BE COMPLETED BY THE APPLICANT**

### Data Protection

Blackfinch Investments Limited will use the information provided by you on this Application Form for administration and research purposes. The information will be held in confidence by Blackfinch Investments Limited and will not be passed to any companies. From time to time we would like to send you information on our other products and services.

If you would like to receive such information, please tick this box.

If you would prefer **not** to receive such information, please tick this box.

### Additional Information

# Section 10

## Customer Due Diligence & Anti Money Laundering

### TO BE COMPLETED BY THE FINANCIAL INTERMEDIARY

In order to provide assurance to Blackfinch Investments Limited and its bankers and managers that the applicable anti-money laundering law and regulations are complied with, I confirm:

- The Applicant is one of my customers and has been known to me for  years;
- The identity and address of the Applicant has been verified to EU requirements and at least in accordance with the standard required by UK law and regulation and any additional “customer due diligence” information required is attached;
- That I have had sight of the original identification evidence and address documentation and that those containing a signature were pre-signed;
- I have completed the Verification of Identity Confirmation (Section 11 of this form). Evidence of identification will be retained in my records and will be made available on request;
- The source of subscription proceeds is known a) to be legitimate, b) not to contravene the applicable anti-money laundering law and regulations, and c) not to relate to the proceeds of any conduct which constitutes any criminal offence in any part of the UK if it occurred there.
- I have seen evidence of the source of funds in the form of a
- I am unaware of any activities on the part of the Applicant which leads me to suspect that the Applicant is or has been involved in criminal conduct or money laundering. Should I subsequently become suspicious of any such activity then, subject to legal constraints, I shall inform Blackfinch’s Money Laundering Reporting Officer immediately.

I confirm I have carried out due diligence upon this service and carried out a suitability test on the applicant and underlying investor (in accordance with COBS 9 of the FCA handbook) to ensure the investment is suitable for the applicant and underlying investor.

Yes  No

I hold a current statement of professional standing issued by a body accredited by the FCA and have been assessed as ‘fit & proper’ to perform the client dealing certification function.

Yes  No

I confirm that all client documentation is to be sent to:

Me only  The client only  Me and the client



# Section 10 Continued

## Customer Due Diligence & Anti Money Laundering

**TO BE COMPLETED BY THE FINANCIAL INTERMEDIARY**

### Data Protection

Blackfinch Investments Limited will use the information provided by you on this Application Form for administration and research purposes. The information will be held in confidence by Blackfinch Investments Limited and will not be passed to any companies. From time to time we would like to send you information on our other products and services.

If you would like to receive such information, please tick this box.

If you would prefer **not** to receive such information, please tick this box.

### Additional Information

### Terms & Conditions for Authorised Financial Intermediary

- I confirm I am authorised under FSMA 2000 to arrange deals in the Adapt AIM ISA Portfolios.
- I have read and hereby agree to be bound by the Blackfinch Intermediary Terms of Business Agreement.

### Signature of Financial Intermediary

Name in Block Capitals

Date

D	D	/	M	M	/	Y	Y	Y	Y
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# Section 11

## Verification of Identity

**TO BE COMPLETED BY THE FINANCIAL INTERMEDIARY**

Confirmation of Verification of Identity Private Individual - Introduction by a FCA regulated firm

Full Name

Date of Birth

  /   /    

Address

Postcode

Previous Address (if not at current address for three years)

Postcode

Confirmation

I/we confirm that

(a) the above information in Section 11 was obtained by me/us in relation to the customer

(b) the evidence I/we have obtained to verify the identity of the customer:

Meets the standard evidence set out within the guidance of the UK Financial Sector issued by JMLSG;

or

Exceeds the standard evidence (written details of the further verification evidence taken are attached to this confirmation)

Signature of Intermediary

Date

  /   /    

Name in Block Capitals

Position

Full name of regulated firm

FCA reference number

# Section 12

## Declaration and Undertaking

### TO BE READ BY ALL PARTIES

1. The Applicant undertakes to Blackfinch Investments Limited that it may rely on the offer made by the Applicant to participate in the Adapt AIM ISA Portfolios pursuant to this Application Form and accordingly that this offer may not be cancelled, rescinded or otherwise revoked after the date hereof.
2. The Applicant hereby warrants to Blackfinch Investments Limited that:
3. The Applicant agrees to proceed with an investment in the Adapt AIM ISA Portfolios upon the Terms & Conditions, which together with this Application Form constitutes the Agreement with the Applicant;
4. The Applicant agrees to pay or procure payment on demand and to indemnify or procure the indemnification of Blackfinch Investments Limited against: a) any liabilities, expenses or payments which may be payable by the Applicant under the Agreement; b) any sums to which Blackfinch Investments Limited or any other person may become entitled by way of indemnity under the Agreement; and c) any other sums in respect of which Blackfinch Investments Limited is entitled to indemnification from the Applicant;
5. The Applicant has received the Adapt AIM Portfolios Brochure and is aware of the AIM ISAs and objectives of the Adapt AIM ISA Portfolios and has relied on the advice of, or has consulted with, their own professional advisers with regard to the tax, legal and other economic considerations related to this application to the Adapt AIM ISA Portfolios; or is aware it is open to them to seek advice from a professional adviser;
6. The Applicant has received and has read and understood the terms of the Adapt AIM Portfolios Brochure and particularly the section headed 'Risks', and is aware of the risks of proceeding with this application; and the Applicant could lose all of their investment monies and has the capacity to absorb this loss;
7. The Applicant has such knowledge and experience in financial and business matters as to be capable of evaluating the risks involved in, and the merits of, an investment in the Adapt AIM ISA Portfolios;
8. In evaluating the suitability of an investment in the Adapt AIM ISA Portfolios, the Applicant has not relied upon any representation or warranty (whether oral or written) made by Blackfinch Investments Limited or any other person other than as set forth in the Adapt AIM Portfolios Brochure, save that this shall not apply to any fraudulent representation. The Applicant confirms that where requested, all documents, records and books relating to the Adapt AIM ISA Portfolios have been made available for review by the Applicant and that the Applicant has received satisfactory answers to questions raised with Blackfinch Investments Limited concerning the Terms & Conditions relating to an investment in the Adapt AIM ISA Portfolios;
9. The Applicant has the financial ability to bear the economic risk of participating in the Adapt AIM ISA Portfolios, has adequate means for providing for their current needs and possible contingencies and has no need for the liquid funds representing their investment in the Adapt AIM ISA Portfolios;
10. The Applicant shall execute and deliver to Blackfinch Investments Limited, within five days after receipt of a request from Blackfinch Investments Limited, such further designations, powers of attorney and other instruments as Blackfinch Investments Limited shall reasonably deem necessary;
11. The Applicant shall promptly provide to Blackfinch Investments Limited such information as it may reasonably require;
12. All information provided to Blackfinch Investments Limited in this Application Form is correct and complete as at today's date and may be relied upon by Blackfinch Investments Limited. The Applicant agrees to notify Blackfinch Investments Limited as soon as reasonably practicable upon becoming aware if: a) any representation or warranty contained in this Application Form becomes untrue prior to the acceptance of the application; or b) any response to any questions contained in this Application Form become untrue at any time;
13. The Applicant agrees to provide such information and execute and deliver such documents as Blackfinch Investments Limited may reasonably request to verify the accuracy of the representations and warranties contained in this Application Form or to comply with any law or regulation applicable to the Adapt AIM ISA Portfolios, provided that any confidential information disclosed shall be kept confidential by Blackfinch Investments Limited and shall not be made available to any third party unless required by law or by any regulatory authority.
14. The Applicant agrees, by executing this Application Form, to be bound by the terms of the Agreement and this Application Form shall accordingly constitute the Applicant's irrevocable agreement to be bound by the Terms & Conditions of the Agreement.
15. The Applicant accepts that the covenants and undertakings contained in this Application Form shall remain in full force and effect until the termination of the Agreement.
16. The Applicant acknowledges that Blackfinch Investments Limited will rely upon the covenants and undertakings contained in this Application Form and the Applicant hereby agrees to indemnify Blackfinch Investments Limited and each of their associates from and against any and all losses, costs and expenses reasonably and properly incurred as a result of, or otherwise directly arising out of, a material breach of any such covenants or undertakings contained in this Application Form.
17. The Applicant agrees that the information provided to Blackfinch Investments Limited in connection with this application and during the course of the operation of the Adapt AIM ISA Portfolios may be stored on computer or otherwise by Blackfinch Investments Limited and such other parties that Blackfinch Investments Limited may nominate for administrative purposes and consent to the use of such information for the purpose of the ongoing administration of the Adapt AIM ISA Portfolios.
18. This Application Form, the Adapt AIM Portfolios Brochure and the Terms & Conditions constitute the Agreement, which shall be governed by, and construed in accordance with, the laws of England and Wales, and the appropriate Court of Law in England is to have exclusive jurisdiction in relation to all matters, claims and disputes arising out of or in connection with this Application Form.

***IMPORTANT INFORMATION***

Blackfinch Investments Limited (Blackfinch) is authorised and regulated by the Financial Conduct Authority. Registered address: 1350-1360 Montpellier Court, Gloucester Business Park, Gloucester, GL3 4AH. Registered in England and Wales company number 02705948.