

# ADAPT

IHT PORTFOLIOS TRUST  
APPLICATION FORM FOR  
ADVISED SUBSCRIPTIONS



**BLACKFINCH**  
INVESTMENTS

**BLACKFINCH INVESTMENTS LIMITED**

1350-1360 MONTPELLIER COURT, GLOUCESTER BUSINESS PARK, GLOUCESTER, GL3 4AH  
01452 717070 ENQUIRIES@BLACKFINCH.COM WWW.BLACKFINCH.COM

BLACKFINCH INVESTMENTS LIMITED IS AUTHORISED AND REGULATED BY THE FINANCIAL CONDUCT AUTHORITY.  
REGISTERED COMPANY IN ENGLAND AND WALES NO. 02705948

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## APPLICATION PROCEDURES

### PLEASE SUBMIT ORIGINAL APPLICATION FORM TO:

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

### PLEASE NOTE

- All forms submitted to Blackfinch Investments Limited must carry original signatures.
- We are unable to accept any liability for any cheques or other documents dispatched by post. Such items will be at the risk of the Trustee/s.
- Due completion of the Application Form constitutes a warranty that any monies forwarded by the Trustee/s will be honoured on first presentation.

### CHEQUES/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 completion of verification of identity checks.

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

- Transfers should be referenced with the Trustee/s name.
- Monies will only be accepted from the Trustee/s's bank account. If Blackfinch Investments Limited is unable to identify the Trustee/s'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 any charges.

### CERTIFYING DOCUMENTS

- By "certified copies" you should take a (black and white only) photocopy of the original document, then on the bottom of every page of the photocopy clearly write:

"I certify this a true and complete copy of the corresponding page of the original trust deed "

On the final page you must also write:

"I certify this a true and complete copy of the trust deed."

It must be signed and dated on every page by an FCA regulated person, an accountant or a solicitor; the person signing must also clearly print their name, occupation and provide their company contact details.

—For more guidance on trusts deeds please visit <https://www.gov.uk/trusts-taxes>

## CHECKLIST

Before submitting this application form please confirm the following.

### THE TRUSTEE/S HAVE:

- Completed Part 1 of this form.
- Read and signed the declaration in Part 5.
- Read the Declaration and Undertaking on page 19.
- Read and understood the Adapt IHT Portfolios Brochure and Terms & Conditions.
- The Trustee/s have completed and signed the application requirements on behalf of the Trustee/s (Trustee/s Checklist).
- The Trustee/s have supplied:
  - An original certified copy of the Trust Deed along with any deed of variation

### THE INTERMEDIARY HAS:

- Completed and signed Part 6 of this form.
- Read the Declaration and Undertaking on page 19.
- Completed the 'Verification of Identity Confirmation for each trustee' (Section 6A of this form).

### PAYMENT OF INVESTMENT FUNDS:

- The Trustee/s have :
- Enclosed a cheque payable to 'Blackfinch Investments Limited.'
  - or
  - Intend to transfer the investment amount after sending in the application and completing verification of identity checks.

**SECTION 1 TO BE COMPLETED BY THE TRUSTEE/S**

The words and expressions used in this Application Form shall have the meanings ascribed to them in the Adapt IHT 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 Trustee/s agrees they have read and understood the Declaration and Undertaking on page 19.

**ABOUT THE TRUST**

**1:1 NAME OF TRUST**

**1:2 DATE OF FORMATION**

**1:3 COUNTRY OF FORMATION**

**1:4 ADDRESS (FOR CORRESPONDENCE)**

**POSTCODE**

**TRUSTEE 1**

**1:5 TITLE**

**1:6 FORENAME(S)**

**1:7 SURNAME**

**1:8 ADDRESS**

**POSTCODE**

**1:9 DATE OF BIRTH**

**1:10 TELEPHONE NUMBER/S**

**1:11 EMAIL ADDRESS**

**1:12 NATIONAL INSURANCE NUMBER**

**1:13 COUNTRY OF BIRTH**

**1:14 COUNTRY OF CITIZENSHIP**

**TRUSTEE 2**

**1:15 TITLE**

**1:16 FORENAME(S)**

**1:17 SURNAME**

**1:18 ADDRESS**

**POSTCODE**

**1:19 DATE OF BIRTH**

**1:20 TELEPHONE NUMBER/S**

**1:21 EMAIL ADDRESS**

**1:22 NATIONAL INSURANCE NUMBER**

**1:23 COUNTRY OF BIRTH**

**1:24 COUNTRY OF CITIZENSHIP**

**TRUSTEE 3**

**1:25 TITLE**

**1:26 FORENAME(S)**

**1:27 SURNAME**

**1:28 ADDRESS**

**POSTCODE**

**1:29 DATE OF BIRTH**

**1:30 TELEPHONE NUMBER/S**

**1:31 EMAIL ADDRESS**

**1:32 NATIONAL INSURANCE NUMBER**

**1:33 COUNTRY OF BIRTH**

**1:34 COUNTRY OF CITIZENSHIP**

**TRUSTEE 4**

**1:35 TITLE**

**1:36 FORENAME(S)**

**1:37 SURNAME**

**1:38 ADDRESS**

**POSTCODE**

**1:39 DATE OF BIRTH**

**1:40 TELEPHONE NUMBER/S**

**1:41 EMAIL ADDRESS**

**1:42 NATIONAL INSURANCE NUMBER**

**1:43 COUNTRY OF BIRTH**

**1:44 COUNTRY OF CITIZENSHIP**

**1:45 INDICATE THE NAME OF ANY CONTROLLING PERSONS(S) OF THE ENTITY OTHER THAN THE TRUSTEES LISTED ABOVE.**

In the case of trusts this may include, but is not limited to: settlors, trustees and any named beneficiaries



SECTION 2 TO BE COMPLETED BY THE TRUSTEE/S

ABOUT THE BENEFICIARIES

If the beneficiary is not a specific individual and is instead a defined group or class of beneficiaries (for example, the grandchildren of the settlor), please include details here:

BENEFICIARY 1

2:1 TITLE      2:2 FORENAME(S)      2:3 SURNAME

  

2:4 ADDRESS      POSTCODE

 

2:5 DATE OF BIRTH      2:6 TELEPHONE NUMBER/S

 

2:7 COUNTRY OF CITIZENSHIP

BENEFICIARY 2

2:8 TITLE      2:9 FORENAME(S)      2:10 SURNAME

  

2:11 ADDRESS      POSTCODE

 

2:12 DATE OF BIRTH      2:13 TELEPHONE NUMBER/S

 

2:14 COUNTRY OF CITIZENSHIP

**BENEFICIARY 3**

2:15 TITLE

2:16 FORENAME(S)

2:17 SURNAME

2:18 ADDRESS

POSTCODE

2:19 DATE OF BIRTH

2:20 TELEPHONE NUMBER/S

2:21 COUNTRY OF CITIZENSHIP

**BENEFICIARY 4**

2:22 TITLE

2:23 FORENAME(S)

2:24 SURNAME

2:25 ADDRESS

POSTCODE

2:26 DATE OF BIRTH

2:27 TELEPHONE NUMBER/S

2:28 COUNTRY OF CITIZENSHIP

2:29 FURTHER INFORMATION ON THE BENEFICIARIES OF THE TRUST

SECTION 3 TO BE COMPLETED BY THE TRUSTEE/S

ABOUT THE INVESTMENT

3:1 HOW MUCH ARE YOU INVESTING? (MINIMUM INVESTMENT £25,000)

Cheque

Bank Transfer

3:2 SOURCE OF FUNDS

PLEASE CONFIRM THE SOURCE OF FUNDS FOR INVESTMENT

BR asset transfer (unquoted shares)

BR asset transfer (AIM shares)

Other (please specify)

3:3 HOW MUCH WOULD YOU LIKE TO INVEST INTO EACH PORTFOLIO?

Capital Preservation (Target 4%)

Growth (Target 6%)

3:4 INVESTMENT ASSETS

We will invest capital across a range of asset classes. If you would prefer not to participate in Renewable Energy please indicate below.\*

I confirm that I do not want to participate in:  Renewable Energy

\*Renewables opt out not available for investments in Capital Preservations portfolios.

3:5 WOULD YOU LIKE TO TAKE A REGULAR WITHDRAWAL FROM YOUR PORTFOLIO?

IF YES, PLEASE ENSURE SECTIONS 3:6-3:10 ARE COMPLETED  Yes  No

I WOULD LIKE TO WITHDRAW

**FIXED SUM** OR  PER YEAR OF THE AMOUNT INVESTED.

SECTION 3 CONTINUED

HOW WOULD YOU LIKE THIS PAID?

- Quarterly
- Semi-annually
- Annually

Your investment must be held for three months before any withdrawals are facilitated. Annual payments are made every May, semi-annual payments are made every May and November and quarterly payments are made every February, May, August and November.

PLEASE PROVIDE THE DETAILS OF THE TRUST OR TRUSTEE BANK ACCOUNT YOU WOULD LIKE FUTURE WITHDRAWALS TO BE PAID INTO

3:6 BANK NAME

3:7 BANK ADDRESS

POSTCODE

3:8 ACCOUNT NAME

3:9 ACCOUNT NUMBER

3:10 SORT CODE

SECTION 4

**CHARGES**

We accept applications submitted via intermediaries which are FCA authorised advisers where the investment is being made on an advised basis. We will facilitate initial and ongoing intermediary fees which have been agreed between the Trustee/s and the adviser as detailed below.

**4:1 FEES PAYABLE TO INTRODUCING INTERMEDIARY**

Yes  No

**4:2 INITIAL INTERMEDIARY FEE**

**FIXED SUM**

£  OR  % OF THE AMOUNT INVESTED IN SECTION 3:1.

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

**IF YES, PLEASE STATE THE COMPANY VAT REGISTRATION NUMBER**

**4:3 ONGOING INTERMEDIARY FEE**

**FIXED SUM**

£  OR  %

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

**IF YES, PLEASE STATE THE COMPANY VAT REGISTRATION NUMBER**

**BLACKFINCH FEES**

An **INITIAL FEE** of 2% of the amount invested in section 3:1 (after deduction of Initial Intermediary fee).

An **ANNUAL MANAGEMENT FEE** of 0.5% +VAT per year of the value of the portfolio (calculated on a monthly basis). Payment is deferred and is only applicable if an investor return of 4% p.a. has been achieved on the Capital Preservation Portfolios and an investor return of 6% p.a. has been achieved on the Growth Portfolios.

A **DEALING FEE** of 1% of the investment value each time we buy or sell shares on your behalf.

**IMPORTANT** INTERMEDIARY AND BLACKFINCH ONGOING FEES WILL BE FACILITATED VIA SALE OF SHARES.

SECTION 4 CONTINUED

4:4 INTERMEDIARY DETAILS

FULL NAME OF INTERMEDIARY

FULL NAME OF REGULATED FIRM

FIRM ADDRESS

POSTCODE

INTERMEDIARY FCA REFERENCE NUMBER

FIRMS FCA REFERENCE NUMBER

TELEPHONE NUMBER

EMAIL ADDRESS

SECTION 5 TRUSTEE/S'S DECLARATION

BY SIGNING THIS FORM I HEREBY DECLARE THAT

- We have read and understand the Adapt IHT Portfolios Brochure.
- We have read and understand the Terms & Conditions and agree to be bound by them.
- We have read and understand the declaration and undertaking on page 19 and agree to be bound by them.
- We consent to Blackfinch Investments Limited's best execution policy and the execution of trades on my behalf outside of a recognised investment exchange.
- We consent to the Blackfinch fees and charges which are detailed on page 12 of this application form as well as the Adapt IHT Portfolios Brochure.
- We consent to Blackfinch Investments Limited facilitating my intermediaries fees and charges.
- We understand that you 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.

PRIMARY TRUSTEE

5:1 SIGNATURE

5:2 NAME

5.3 DATE

TRUSTEE 2

5:4 SIGNATURE

5:5 NAME

5:6 DATE

TRUSTEE 3

5:7 SIGNATURE

5:8 NAME

5:9 DATE

TRUSTEE 4

5:10 SIGNATURE

5:11 NAME

5:12 DATE

SECTION 5 CONTINUED

5:13 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 6 TO BE COMPLETED BY THE INTERMEDIARY

CUSTOMER DUE DILIGENCE & ANTI MONEY LAUNDERING

**6:1 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 Trustee/s is one of my customers and has been known to me for  years;
- the identity and address of the Trustee/s 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 (Part 6A 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 am unaware of any activities on the part of the Trustee/s which leads me to suspect that the Trustee/s 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.

**6:2 I CONFIRM I HAVE CARRIED OUT DUE DILIGENCE UPON THIS SERVICE AND CARRIED OUT A SUITABILITY TEST ON THE TRUSTEE/S AND UNDERLYING INVESTOR (IN ACCORDANCE WITH COBS 9) TO ENSURE THE INVESTMENT IS SUITABLE FOR THE TRUSTEE/S AND UNDERLYING INVESTOR.**

Yes       No

**6:3 I HOLD A CURRENT STATEMENT OF PROFESSIONAL STANDING ISSUED BY A BODY ACCREDITED BY THE FCA.**

Yes       No

**6:4 I CONFIRM THAT ALL CLIENT DOCUMENTATION IS TO BE SENT TO ME AND I WILL ENSURE THAT IT IS PASSED TO THE TRUSTEE/S (OR POWER OF ATTORNEY / TRUSTEE).**

Yes       No

**TERMS & CONDITIONS FOR AUTHORISED INTERMEDIARY**

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

**6:5 SIGNATURE OF FINANCIAL INTERMEDIARY**

**6:6 FULL NAME**

**6:7 DATE**

**6:8 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.

**6:9 ADDITIONAL INFORMATION**

SECTION 6A VERIFICATION OF IDENTITY CONFIRMATION

CONFIRMATION OF VERIFICATION OF IDENTITY PRIVATE INDIVIDUAL

Introduction by a FCA regulated firm

6A:1 DETAILS OF INDIVIDUAL

FULL NAME

DATE OF BIRTH

CURRENT ADDRESS

POSTCODE

PREVIOUS ADDRESS (IF NOT  
AT CURRENT ADDRESS FOR  
THREE MONTHS)

POSTCODE

6A:2 CONFIRMATION

I/WE CONFIRM THAT

- (a) the information in Section 3A:1 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)

SIGNED

NAME

POSITION

DATE

6A:3 DETAILS OF INTRODUCING FIRM

FULL NAME OF REGULATED FIRM

FCA REFERENCE NUMBER

**TO BE READ BY ALL PARTIES**

**DECLARATION AND UNDERTAKING**

1. The Trustee/s undertakes to Blackfinch Investments Limited that it may rely on the offer made by the Trustee/s to participate in the Adapt IHT 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 Trustee/s hereby warrants to Blackfinch Investments Limited that:
    - i. the Trustee/s agrees to proceed with an investment in the Adapt IHT Portfolios upon the Terms & Conditions, which together with this Application Form constitutes the Agreement with the Trustee/s;
    - ii. The Trustee/s 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 Trustee/s 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 Trustee/s;
    - iii. the Trustee/s has received the Adapt IHT Portfolios Brochure and is aware of the aims and objectives of the Adapt IHT 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 IHT Portfolios; or is aware it is open to them to seek advice from a professional adviser;
    - iv. the Trustee/s has received and has read and understood the terms of the Adapt IHT Portfolios Brochure and particularly the section headed 'Risks', and is aware of the risks of proceeding with this application; and the Trustee/s could lose all of their investment monies and has the capacity to absorb this loss;
    - v. the Trustee/s 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 IHT Portfolios;
    - vi. in evaluating the suitability of an investment in the Adapt IHT Portfolios, the Trustee/s 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 IHT Portfolios Brochure, save that this shall not apply to any fraudulent representation. The Trustee/s confirms that where requested, all documents, records and books relating to the Adapt IHT Portfolios have been made available for review by the Trustee/s and that the Trustee/s has received satisfactory answers to questions raised with Blackfinch Investments Limited concerning the Terms & Conditions relating to an investment in the Adapt IHT Portfolios;
    - vii. the Trustee/s has the financial ability to bear the economic risk of participating in the Adapt IHT 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 IHT Portfolios;
    - viii. the Trustee/s 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;
    - ix. the Trustee/s shall promptly provide to Blackfinch Investments Limited such information as it may reasonably require;
    - x. 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 Trustee/s agrees to notify Blackfinch 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;
    - xi. the Trustee/s 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 IHT 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.
  3. The Trustee/s agrees, by executing this Application Form, to be bound by the terms of the Agreement and this Application Form shall accordingly constitute the Trustee/s's irrevocable agreement to be bound by the Terms & Conditions of the Agreement.
  4. The Trustee/s accepts that the covenants and undertakings contained in this Application Form shall remain in full force and effect until the termination of the Agreement.
  5. The Trustee/s acknowledges that Blackfinch Investments Limited will rely upon the covenants and undertakings contained in this Application Form and the Trustee/s 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.
  6. The Trustee/s agrees that the information provided to Blackfinch Investments Limited in connection with this application and during the course of the operation of the Adapt IHT 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 IHT Portfolios.
- This Application Form, the Adapt IHT 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.