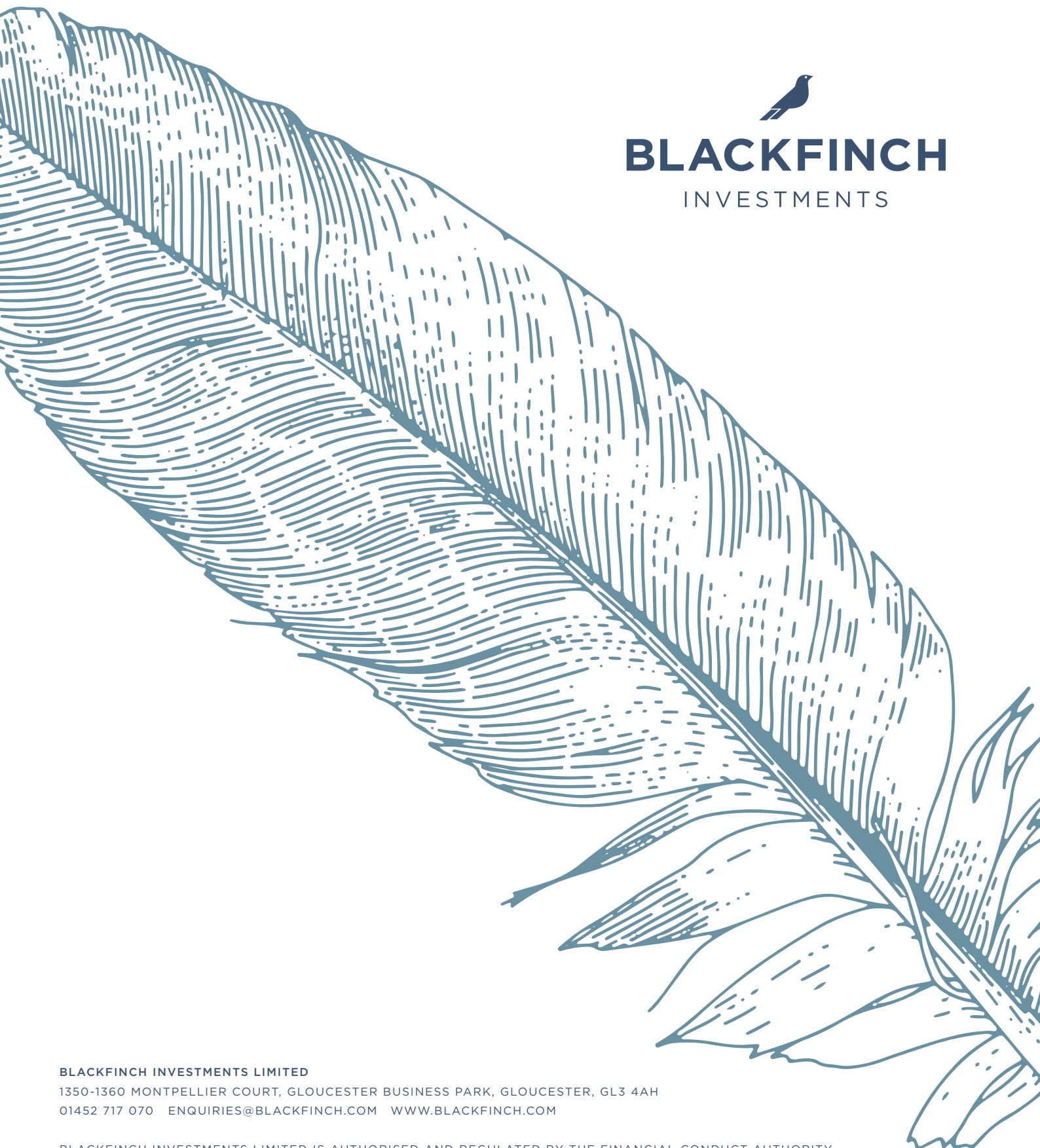


# ADAPT

IHT PORTFOLIOS  
APPLICATION FORM FOR  
ADVISED SUBSCRIPTIONS



**BLACKFINCH**  
INVESTMENTS



**BLACKFINCH INVESTMENTS LIMITED**

1350-1360 MONTPELLIER COURT, GLOUCESTER BUSINESS PARK, GLOUCESTER, GL3 4AH  
01452 717 070 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 Applicant.
- Due completion of the Application Form constitutes a warranty that any monies forwarded by the Applicant 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 Applicants name.
- Monies will only be accepted 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 any charges.

### CERTIFYING POWER OF ATTORNEY 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 lasting power of attorney."

On the final page you must also write:

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

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

- Lasting powers of attorney can only be certified by:
  - The donor
  - A Solicitor
  - A person to carry out notarial activities

- The information above has been taken from:  
[www.gov.uk/power-of-attorney/certify](http://www.gov.uk/power-of-attorney/certify)

- For more guidance on certified copies relating to powers of attorney please visit: [www.gov.uk/power-of-attorney/certify](http://www.gov.uk/power-of-attorney/certify)

## CHECKLIST

Before submitting this application form please confirm the following.

### THE APPLICANT HAS:

- Completed Part 1 of this form.
- Read and signed the declaration in Part 2.
- Read the Declaration and Undertaking on page 11.
- Read and understood the Adapt IHT Portfolios Brochure and Terms & Conditions.

### THE INTERMEDIARY HAS:

- Completed and signed Part 3 of this form.
- Read the Declaration and Undertaking on page 11.
- Completed the 'Verification of Identity Confirmation' (Section 3A of this form).

### POWER OF ATTORNEY & TRUSTEE APPLICATIONS:

- The Power of Attorney or Trustee has completed and signed the application requirements on behalf of the Applicant (Applicant Checklist).
- The Power of Attorney or Trustee has supplied:
  - An original certified copy of the Power of Attorney or Trust Deed.

### PAYMENT OF INVESTMENT FUNDS:

- You have either:
- 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 APPLICANT

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 Applicant agrees they have read and understood the Declaration and Undertaking on page 11.

|                      |              |                      |                    |                      |                |
|----------------------|--------------|----------------------|--------------------|----------------------|----------------|
| <b>1:1</b>           | <b>TITLE</b> | <b>1:2</b>           | <b>FORENAME(S)</b> | <b>1:3</b>           | <b>SURNAME</b> |
| <input type="text"/> |              | <input type="text"/> |                    | <input type="text"/> |                |

|                      |                |                      |
|----------------------|----------------|----------------------|
| <b>1:4</b>           | <b>ADDRESS</b> | <b>POSTCODE</b>      |
| <input type="text"/> |                | <input type="text"/> |

|                      |                      |                      |                         |
|----------------------|----------------------|----------------------|-------------------------|
| <b>1:5</b>           | <b>DATE OF BIRTH</b> | <b>1:6</b>           | <b>TELEPHONE NUMBER</b> |
| <input type="text"/> |                      | <input type="text"/> |                         |

|                      |                      |                      |                                  |
|----------------------|----------------------|----------------------|----------------------------------|
| <b>1:7</b>           | <b>EMAIL ADDRESS</b> | <b>1:8</b>           | <b>NATIONAL INSURANCE NUMBER</b> |
| <input type="text"/> |                      | <input type="text"/> |                                  |

**1:9** ARE YOU AN EXISTING INVESTOR WITH BLACKFINCH?  
EXISTING DESIGNATION NUMBER IF KNOWN

Yes  No

**1:10** ARE YOU INVESTING UNDER POWER OF ATTORNEY OR TRUST

Yes  No

IF YES, PLEASE ENTER THE NAMES, DATES OF BIRTH AND ADDRESSES OF ALL POA / TRUSTEES INTO THE 'ADDITIONAL INFORMATION' SECTION ON PAGE 7

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.

**1:11** HOW MUCH ARE YOU INVESTING? (MINIMUM INVESTMENT £25,000)

Cheque

Bank Transfer

SECTION 1 CONTINUED

**1:12 SOURCE OF FUNDS**

PLEASE CONFIRM THE SOURCE OF FUNDS FOR INVESTMENT

- Business Relief asset transfer (unquoted shares)
- Business Relief asset transfer (AIM shares)
- Other (please specify)

**1:13 HOW MUCH WOULD YOU LIKE TO INVEST INTO EACH PORTFOLIO?**

Capital Preservation (Target 4%) £

Growth (Target 6%) £

**1:14 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.

**1:15 WOULD YOU LIKE TO TAKE A REGULAR WITHDRAWAL FROM YOUR PORTFOLIO?**

IF YES, PLEASE ENSURE SECTIONS 1:16-1:20 ARE COMPLETED  Yes  No

**I WOULD LIKE TO WITHDRAW**

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

**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.

SECTION 1 CONTINUED

SECTIONS 1:16-1:20 MUST BE COMPLETED IF YOU HAVE MADE PAYMENT VIA BANK TRANSFER

1:16 BANK NAME

1:17 BANK ADDRESS

POSTCODE

1:18 ACCOUNT NAME

1:19 ACCOUNT NUMBER

1:20 SORT CODE

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 applicant and the adviser as detailed below.

1:21 FEES PAYABLE TO INTRODUCING INTERMEDIARY

Yes  No

1:22 INITIAL INTERMEDIARY FEE

FIXED SUM

£  OR  % OF THE AMOUNT INVESTED IN SECTION 1:11.

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

IF YES, PLEASE STATE THE COMPANY VAT REGISTRATION NUMBER

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

SECTION 1 CONTINUED

**BLACKFINCH FEES**

An **INITIAL FEE** of 2% of the amount invested in section 11 (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.

**1:23 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 2 APPLICANT'S DECLARATION

BY SIGNING THIS FORM I HEREBY DECLARE THAT

- I have read and understand the Adapt IHT Portfolios Brochure.
- I have read and understand the Terms & Conditions and agree to be bound by them.
- I have read and understand the declaration and undertaking on page 11 and agree to be bound by them.
- I consent to Blackfinch Investments Limited's best execution policy and the execution of trades on my behalf outside of a recognised investment exchange.
- I consent to the Blackfinch fees and charges which are detailed on page 5 and 6 of this application form as well as the Adapt IHT Portfolios Brochure.
- I consent to Blackfinch Investments Limited facilitating my intermediaries fees and charges.
- I 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.

2:1 SIGNATURE OF APPLICANT

2:2 NAME IN BLOCK CAPITALS

2:3 DATE

2:4 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 3 TO BE COMPLETED BY THE INTERMEDIARY

CUSTOMER DUE DILIGENCE & ANTI MONEY LAUNDERING

**3:1 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 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 (Part 3A 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 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.

**3:2 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) TO ENSURE THE INVESTMENT IS SUITABLE FOR THE APPLICANT AND UNDERLYING INVESTOR.**

Yes       No

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

Yes       No

**3:4 I CONFIRM THAT ALL CLIENT DOCUMENTATION IS TO BE SENT TO ME AND I WILL ENSURE THAT IT IS PASSED TO THE APPLICANT (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.

### 3:5 SIGNATURE OF FINANCIAL INTERMEDIARY

### 3:6 FULL NAME

### 3:7 DATE

### 3:8 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.

### 3:9 ADDITIONAL INFORMATION

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SECTION 3A VERIFICATION OF IDENTITY CONFIRMATION

CONFIRMATION OF VERIFICATION OF IDENTITY PRIVATE INDIVIDUAL

Introduction by a FCA regulated firm

3A:1 DETAILS OF INDIVIDUAL

FULL NAME

DATE OF BIRTH

CURRENT ADDRESS

POSTCODE

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

POSTCODE

3A: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

3A:3 DETAILS OF INTRODUCING FIRM

FULL NAME OF REGULATED FIRM

FCA REFERENCE NUMBER

TO BE READ BY ALL PARTIES

DECLARATION AND UNDERTAKING

1. The Applicant undertakes to Blackfinch Investments Limited that it may rely on the offer made by the Applicant 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 Applicant hereby warrants to Blackfinch Investments Limited that:
    - i. the Applicant 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 Applicant;
    - ii. 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;
    - iii. the Applicant 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 Applicant 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 Applicant could lose all of their investment monies and has the capacity to absorb this loss;
    - v. 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 IHT Portfolios;
    - vi. in evaluating the suitability of an investment in the Adapt IHT 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 IHT 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 IHT 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 IHT Portfolios;
    - vii. the Applicant 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 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;
    - ix. the Applicant 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 Applicant 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 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 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 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.
  4. 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.
  5. 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.
  6. 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 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.