



# BLACKFINCH

BLACKFINCH INHERITANCE TAX PORTFOLIOS  
(“BLACKFINCH IHT PORTFOLIOS”)

**APPLICATION FORM  
FOR ADVISED SUBSCRIPTIONS**



## 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.

### CERTIFYING DOCUMENTS

- By "certified copies" you should take a (black and white only) photocopy of the original document, then upon the photocopy clearly write "This is a true copy of the original" and then it must be signed and dated 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.

### 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 8.
- Read and understood the Blackfinch IHT Portfolios Brochure and Terms and Conditions.

#### THE INTERMEDIARY HAS:

- Completed and signed Part 3 of this form.
- Read the Declaration and Undertaking on page 8.

Completed the necessary verification of identity requirements which is either:

- Complete the 'Verification of Identity Confirmation' (Part 3A of this form).

or

- Supply original certified copies of documents to provide evidence of identity and address of the Applicant.

**Identification:** Valid passport or photo drivers licence.

**Address:** Bank statement or utility bill dated in the last 3 months.

### 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.
  - Verification of Identity requirements for each Power of Attorney or Trustee.

### 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.



**PART 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 Blackfinch IHT Portfolios Brochure and the Terms and 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 8.

**1 TITLE**

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**2 FORENAME (S)**

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**3 SURNAME**

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**4 ADDRESS**

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**POSTCODE**

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**5 DATE OF BIRTH**

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**6 TELEPHONE NUMBER**

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**7 EMAIL ADDRESS**

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**8 NATIONAL INSURANCE NUMBER**

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**9 ARE YOU AN EXISTING INVESTOR WITH BLACKFINCH?** Y / N

Existing designation number if known \_\_\_\_\_

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**10 ARE YOU INVESTING UNDER POWER OF ATTORNEY OR TRUST?** Y / N

(If yes, please enter the names and addresses of all POA / Trustees into the 'Additional Information' section on page 5)

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**11 HOW MUCH ARE YOU INVESTING?**  
(Minimum investment £25,000)

£ \_\_\_\_\_

CHEQUE

BANK TRANSFER

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**12 SOURCE OF FUNDS**  
Please confirm the source of funds for investment:

BPR asset transfer (unquoted shares)

BPR asset transfer (AIM shares)

Other \_\_\_\_\_

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

**CAPITAL PRESERVATION (TARGET 4%)**

£ \_\_\_\_\_

**GROWTH (TARGET 6%)**

£ \_\_\_\_\_

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**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

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**15 WOULD YOU LIKE TO TAKE A REGULAR WITHDRAWAL FROM YOUR PORTFOLIO?** Y / N

(If yes, please ensure sections 16-20 are completed)

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 3 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)

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**16 BANK NAME**

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**17 BANK ADDRESS**

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**POSTCODE**

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**18 ACCOUNT NAME**

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**19 ACCOUNT NO.**

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**20 SORT CODE**



## PART 1 CONTINUED

### 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.

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**FEES PAYABLE TO INTRODUCING INTERMEDIARY****Y / N**

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**INITIAL INTERMEDIARY FEE**

£ \_\_\_\_\_ fixed sum or \_\_\_\_\_ % of the amount invested in section 11.

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

**Y / N**

If yes, please state your company VAT registration number \_\_\_\_\_

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**ONGOING INTERMEDIARY FEE**

£ \_\_\_\_\_ fixed sum or \_\_\_\_\_ % of the value of the portfolio (calculated on a monthly basis).

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

**Y / N**

If yes, please state your company VAT registration number \_\_\_\_\_

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**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.

### INTERMEDIARY DETAILS

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**FULL NAME OF INTERMEDIARY**

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**FULL NAME OF REGULATED FIRM**

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**FIRM ADDRESS**

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**INTERMEDIARY FCA REFERENCE NO.**

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**FIRMS FCA REFERENCE NO.**

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**TELEPHONE NUMBER**

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**EMAIL ADDRESS**



## **PART 2 - APPLICANT'S DECLARATION**

BY SIGNING THIS FORM I HEREBY DECLARE THAT:

- I have read and understand the Blackfinch IHT Portfolios Brochure.
- I have read and understand the Terms and Conditions and agree to be bound by them.
- I have read and understand the declaration and undertaking on page 8 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 4 of this application form as well as the Blackfinch IHT Portfolios Brochure.
- I consent to Blackfinch Investments Limited facilitating my intermediaries fees and charges.

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**21 SIGNATURE OF APPLICANT**

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**22 NAME IN BLOCK CAPITALS**

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**23 DATE**

### 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 other companies. Your details may be used by Blackfinch Investments Limited to send you information on other products and services. If you would prefer not to receive such information, please tick this box.

ADDITIONAL INFORMATION:



**PART 3 - TO BE COMPLETED BY THE INTERMEDIARY**

**CUSTOMER DUE DILIGENCE & ANTI MONEY LAUNDERING**

- |   |   |
|---|---|
| <p><b>24</b> 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:</p> <ul style="list-style-type: none"> <li>- the Applicant is one of my customers and has been known to me for _____ years;</li> <li>- 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;</li> <li>- that I have had sight of the original identification evidence and address documentation and that those containing a signature were pre-signed;</li> <li>- I have enclosed either certified copies of the original identification documents or 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;</li> <li>- 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;</li> <li>- 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.</li> </ul> | <p><b>25</b> 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.</p> <p style="text-align: center;"><b>Y / N</b></p> |
| <p><b>26</b> I hold a current Statement of Professional Standing issued by a body accredited by the FCA.</p> <p style="text-align: center;"><b>Y / N</b></p>  | <p><b>27</b> 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).</p> <p style="text-align: center;"><b>Y / N</b></p>   |

**TERMS AND CONDITIONS FOR AUTHORISED INTERMEDIARY**

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

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**28 SIGNATURE OF INTERMEDIARY**

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**29 FULL NAME**

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**30 DATE**



**PART 3A – VERIFICATION OF IDENTITY CONFIRMATION**

CONFIRMATION OF VERIFICATION OF IDENTITY  
PRIVATE INDIVIDUAL

*Introduction by a FCA regulated firm*

**31 DETAILS OF INDIVIDUAL**

Full name	
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Current address		Previous address  (if not at current address for 3 months)	
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Date of birth	
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**32 CONFIRMATION**

I/we confirm that

- (a) the information in section 1 above was obtained by me/us in relation to the customer
- (b) the evidence I/we have obtained to verify the identity of the customer:

1. Meets the standard evidence set out within the guidance of the UK Financial Sector issued by JMLSG; or	
2. Exceeds the standard evidence (written details of the further verification evidence taken are attached to this confirmation)	

Signed:	
Name:	
Position:	
Date:	

**33 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 Blackfinch 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 Limited that:
- (I)** the Applicant agrees to proceed with an investment in the Blackfinch IHT Portfolios upon the Terms and 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 Blackfinch IHT Portfolios Brochure and is aware of the aims and objectives of the Blackfinch 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 Blackfinch 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 Blackfinch 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 Blackfinch IHT Portfolios;
- (VI)** in evaluating the suitability of an investment in the Blackfinch IHT Portfolios, the Applicant has not relied upon any representation or warranty (whether oral or written) made by Blackfinch Limited or any other person other than as set forth in the Blackfinch 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 Blackfinch IHT Portfolios have been made available for review by the Applicant and that the Applicant has received satisfactory answers to questions raised with Blackfinch Limited concerning the terms and conditions relating to an investment in the Blackfinch IHT Portfolios;
- (VII)** the Applicant has the financial ability to bear the economic risk of participating in the Blackfinch 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 Blackfinch IHT Portfolios;
- (VIII)** the Applicant shall execute and deliver to Blackfinch Investments Limited, within 5 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 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 Blackfinch 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 and 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 Limited in connection with this application and during the course of the operation of the Blackfinch 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 Blackfinch IHT Portfolios.
- This Application Form, the Blackfinch IHT Portfolios Brochure and the Terms and 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.