

Please sign and return this declaration.

COMPLEX FINANCIAL INSTRUMENTS DECLARATION

CLIENT NAME(S).....

Under Financial Conduct Authority Rules and our Terms and Conditions of Business, we are required to satisfy ourselves that you have the required knowledge and experience to understand the risks involved when dealing in Complex Financial Instruments.

You have requested to deal in Split Capital Investment Trusts and/or Subscription Shares and/or Short & Leveraged Exchange Traded Products that carry a high degree of risk due to their more sophisticated structure. These investments may be highly volatile and involve a significant risk to your capital and may result in a substantial or total loss of the money invested. Such transactions will be undertaken on an Execution Only basis.

Questionnaire

Do you understand that Split Capital Investment Trusts have a limited or pre-determined life? Yes No

Do you understand that Split Capital Trusts consist of two or more or bundled share classes? Yes No

Do you understand that Split Capital Trusts and Subscription shares are leveraged (highly geared)? Yes No

Do you understand that a leveraged (highly geared) position, both long and short, can multiply both the positive and negative returns of an investment? Yes No

Do you understand that a Short position means that you will profit only if the value of a security goes down? Yes No

Do you understand that higher risk investments can offer the potential for higher returns but that you could lose some or all of your capital? Yes No

Do you have previous experience of dealing in these types of investment? Yes No

If yes, for how long? 1 – 3 years 3 – 5 years More than 5 years

Do you consider that you have sufficient knowledge and experience to invest in complex financial instruments? Yes No

Declaration: I/We confirm that I/we wish to invest in Complex Financial Instruments.

Signed

Print name

Date

Signed

Print name

Date