



INVESTMENT MANDATE INSTRUCTION FORM

MANAGED PORTFOLIO SERVICE

OFFSHORE BOND FOR CLIENTS OF A FINANCIAL ADVISER



QUILTER CHEVIOT INVESTMENT MANAGEMENT

Vision INDEPENDENT FINANCIAL PLANNING

Please complete this form to provide us with as much information as you can to open an account with us. It is important that all the questions are answered, as incomplete forms will delay the opening of your account. Your financial adviser will make the selection of strategy based on your financial circumstances, your

aims, risk tolerance and your capacity to cope with a loss on the investment.

If your circumstances change, you should inform your financial adviser who may need to alter the strategy selected.

Managed Portfolio Service (MPS)

Our Managed Portfolio Service (MPS) offers you the choice of a limited number of predefined investment strategies. We undertake the investment transactions within these strategies without prior reference to you.

Our MPS does not take unrealised capital gains into account when making changes to client portfolios. This means that for portfolios which are subject to capital gains tax (CGT), there may be occasions when realised gains are in excess of your Annual Exempt Amount, which may result in you having to pay CGT. The minimum investment amount for our MPS is £25,000. If the value of your portfolio falls below this minimum threshold it may not be possible to align your portfolio to the agreed strategy meaning that our ability to manage your portfolio to the agreed mandate may also be impacted.

BOND VALUE

What is the approximate amount being invested into this portfolio and what is the base currency for the investments?

Value:

Currency:

Purpose of the bond:

e.g. for inheritance tax planning, income tax planning etc.

Please indicate if the policy is written in trust, held personally, or owned by a pension fund;

Personal - Please complete Part B and D

Pension Fund - Please complete Part B and D

Trust (other than pension fund) - Please complete Part B, C and D

PART A: BOND DETAILS

Policyholder's name:

Offshore life company:

Offshore life company reference:

BOND TYPE

The bond type will depend on the insurance Company product. If unsure, we will assume non-personalised.

Non Personalised

Personalised

Segregated

PART B:

POLICYHOLDER 1/TRUSTEE'S PERSONAL DETAILS

Capacity/role, eg. trustee, director, authorised signatory:

[Text input box]

Title:

[Text input box]

Surname:

[Text input box]

Previous surname if changed, or any alias that has ever been used:

[Text input box]

Forename(s):

[Text input box]

Date of birth:

[DD] [MM] [YYYY]

Mobile telephone number:

[Text input box]

National Insurance number:

[] / [] [] [] [] [] [] / []

Nationality (if you hold dual nationality please give both countries):

[Text input box]

Country of birth:

[Text input box]

CONTACT DETAILS

Permanent residential address (we are unable to accept a 'care of' or post box):

[Text input box]

Postcode:

Preferred correspondence address (if this is not the permanent residential address):

[Text input box]

Postcode:

Email:

[Text input box]

EMPLOYMENT AND BUSINESS INTERESTS

If you are still employed in any capacity please give details below. Otherwise, please indicate your previous occupation or state if you have not been employed previously.

[Text input box]

Are you retired from all employment activities (including consultancy)?

Yes [] No []

Are you a director or significant senior manager of a Public Limited Company?

Yes [] No []

If yes, list which company(ies) and company(ies) positions:

[Text input box]

Are you or have you ever been employed in the financial services industry?

Yes [] No []

If yes, please provide details:

[Text input box]

Are you an individual, in the UK or abroad, who has held a prominent public function (for example senior politician, senior government, judicial or military official, senior executive of state owned corporation, important political party official). Or have you ever been connected, directly or indirectly (for example by blood, marriage or business/financial link) to such an individual?

Yes [] No []

If yes, please state their position and/or connection:

[Text input box]

Does your employer (if any) need to receive contract notes?
Yes No

If yes, please provide details:

POLICYHOLDER 2/TRUSTEE’S PERSONAL DETAILS

Title:

Surname:

Previous surname if changed, or any alias that has ever been used:

Forename(s):

Date of birth:

DD	MM	YYYY
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Mobile telephone number:

National Insurance number:

	/		/	
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Nationality (if you hold dual nationality please give both countries):

Country of birth:

CONTACT DETAILS

Permanent residential address (we are unable to accept a ‘care of’ or post box):

Postcode:

Preferred correspondence address (if this is not the permanent residential address):

Postcode:

Email:

EMPLOYMENT AND BUSINESS INTERESTS

If you are still employed in any capacity please give details below. Otherwise, please indicate your previous occupation or state if you have not been employed previously.

Are you retired from all employment activities (including consultancy)?

Yes No

Are you a director or significant senior manager of a Public Limited Company?

Yes No

If yes, list which company(ies) and company(ies) positions:

Are you or have you ever been employed in the financial services industry?

Yes No

If yes, please provide details:

Are you an individual, in the UK or abroad, who has held a prominent public function (for example senior politician, senior government, judicial or military official, senior executive of state owned corporation, important political party official). Or have you ever been connected, directly or indirectly (for example by blood, marriage or business/ financial link) to such an individual?

Yes No

If yes, please state their position and/or connection:

Does your employer (if any) need to receive contract notes?

Yes No

If yes, please provide details:

**PART C:
OFFSHORE BONDS WRITTEN IN TRUST**

Full name, date of birth and % entitlement of beneficiaries:

	DD/MM/YYYY	%
	DD/MM/YYYY	%
	DD/MM/YYYY	%
	DD/MM/YYYY	%

If there are any classes of beneficiary (e.g. future grandchildren), please give details:

Does this bond represent more than 50% of the settlor’s capital? (excluding principal residence)

Yes No

Date of establishment:

Place of establishment:

Nature and purpose of trust:

Is there a protector? If so, please give full name and address:

Full name of settler/founder:

Do any of the settler, protector or beneficiaries have residential or financial links with a country outside the UK, Jersey, Guernsey or the Isle of Man?

Yes No

If yes, please give details:

Are any of the settler, protector or beneficiaries an individual in the UK or elsewhere who hold or has held a prominent public function (for example senior politician, senior government, judicial or military official, senior executive of a state owned entity, important political party official)? Are any, or have any, been connected with, directly or indirectly (for example by blood, marriage or business/financial link) such a person?

Yes No

If yes, please state their names and position and/or association:

PART D:

EXPLANATION OF MANAGED PORTFOLIO SERVICE (MPS) STRATEGIES

Your financial adviser is responsible for selecting a suitable MPS Strategy to meet your individual circumstances and objectives. Please note that whilst Quilter Cheviot is responsible for managing your chosen MPS Strategy in accordance with the investment objectives and risk definitions as described below, your financial adviser will have an ongoing responsibility to ensure the Strategy continues to meet your individual circumstances and objectives.

Please note, the MPS does not take unrealised capital gains into account when changes are made to the portfolios. This means there may be occasions when realised gains are in excess of the Annual Exemption.

MPS Global Growth

The investment objective is to grow the capital value of the portfolio. The Quilter Cheviot MPS Global Growth Strategy is designed for an investor with a time horizon of more than 7 years, and a higher tolerance for risk that can accept significant variation or disruption to capital value or current income in order to achieve their longer-term objective.

The Quilter Cheviot MPS Global Growth Strategy is a diversified portfolio comprising predominantly international and domestic equity funds as well as some exposure to funds investing in alternative assets. This means there is limited scope for diversification across asset classes, although the investments will be spread across sectors. There may also be an allocation to funds investing into “alternatives” such as commercial property, private equity, commodities and absolute return strategies.

The risk category for this strategy is considered higher risk.

MPS Growth

The investment objective is to grow the capital value of the portfolio as well as to generate some degree of income. The Quilter Cheviot MPS Growth Strategy is designed for an investor with a time horizon of more than 5 years, and a medium to higher tolerance for risk that can accept significant variation or disruption to capital value or current income in order to achieve their longer-term objective.

The Quilter Cheviot MPS Growth Strategy is a diversified portfolio comprising predominantly domestic and international equity funds with a small exposure to fixed interest funds. There may also be an allocation to funds investing into “alternatives” such as commercial property, private equity, commodities and absolute return strategies.

The risk category for this strategy is considered medium-higher risk.

MPS Balanced

The investment objective is to grow the capital value of the portfolio as well as to generate some degree of income. The Quilter Cheviot MPS Balanced Strategy is designed for an investor with a time horizon of more than 5 years, and a medium tolerance for risk that can accept moderate variation or disruption to capital value or current income in order to achieve their longer-term objective.

The Quilter Cheviot MPS Balanced Strategy is a diversified portfolio comprising predominantly domestic and international equity funds as well as some exposure to fixed interest funds. There may also be an allocation to funds investing into “alternatives” such as commercial property, private equity, commodities and absolute return strategies.

The risk category for this strategy is considered medium risk.

MPS Global Income

The investment objective is to grow the capital value of the portfolio as well as to generate some degree of income. The Quilter Cheviot MPS Global Income Strategy is designed for an investor with a time horizon of more than 5 years, and a medium tolerance for risk that can accept moderate variation or disruption to capital value or current income in order to achieve their longer-term objective.

The Quilter Cheviot MPS Global Income Strategy is a diversified portfolio comprising predominantly international equity funds as well as some exposure to domestic equity and fixed interest funds. There may also be an allocation to funds investing into “alternatives” such as commercial property, private equity, commodities and absolute return strategies.

The risk category for this strategy is considered medium risk.

MPS Income

The investment objective is to grow the capital value of the portfolio as well as to generate some degree of income. The Quilter Cheviot MPS Income Strategy is designed for an investor with a time horizon of more than 5 years, and a medium tolerance for risk that can accept moderate variation or disruption to capital value or current income in order to achieve their longer-term objective.

The Quilter Cheviot MPS Income Strategy is a diversified portfolio comprising predominantly domestic and international equity funds as well as some exposure to fixed interest funds. There may also be an allocation to funds investing into “alternatives” such as commercial property, private equity, commodities and absolute return strategies.

The risk category for this strategy is considered medium risk.

MPS Conservative

The investment objective is to grow the capital value of the portfolio as well as to generate some degree of income. The Quilter Cheviot MPS Conservative Strategy is designed for an investor with a time horizon of more than 3 years, and a lower to medium tolerance for risk that can only accept moderate variation or disruption to capital value or current income.

The Quilter Cheviot MPS Conservative Strategy is a diversified portfolio comprising predominantly fixed interest funds as well as some exposure to domestic and international equity funds. There may also be an allocation to funds investing into “alternatives” such as commercial property, private equity, commodities and absolute return strategies.

The risk category for this strategy is considered lower-medium risk.

MPS Cautious

The investment objective is to generate a return from the income from the portfolio. The Quilter Cheviot MPS Cautious Strategy is designed for an investor with a time horizon of more than 1 year, and a lower tolerance for risk that regardless of market conditions would only be comfortable with minimal variation or disruption to capital value or income.

The Quilter Cheviot MPS Cautious Strategy is a diversified portfolio comprising predominantly fixed interest funds with a small exposure to domestic equity funds. There may also be an allocation to funds investing into “alternatives” such as commercial property, private equity, commodities and absolute return strategies.

The risk category for this strategy is considered lower risk.

RISK DEFINITIONS

Your overall financial circumstances will principally determine your capacity for risk and you may have to accept more risk than you initially anticipate in order to achieve your long-term objective. Your capacity for risk means your ability to absorb falls in the value of your investments. All investments involve an element of risk to capital and/or income and there will also be periods when the short-term return differs from the long-term objective.

Lower

I/we have a low tolerance for risk and regardless of market circumstances, I/we would only be comfortable with minimal variation or disruption to capital value or current income.

Lower to Medium

I/we have a lower to medium tolerance for risk, I/we would only be comfortable with moderate variation or disruption to capital value or current income.

Medium

I/we have a medium tolerance for risk and can accept moderate variation or disruption to capital value or current income in order to meet my/our longer-term objectives.

Medium to Higher

I/we have a medium to high tolerance for risk and can accept significant variation or disruption to capital value or current income in order to meet my/our longer-term objectives.

Higher

I/we have a high tolerance for risk and can accept significant variation or disruption to capital value or current income in order to meet my/our longer-term objectives.

ACCOUNT STRATEGY

Please select your chosen strategy.

OUR MPS STRATEGIES

These strategies invest predominantly in “active” funds, and seek to generate outperformance through our tactical asset allocation and manager selection decisions.

- | | | | |
|---------------|--------------------------|--------------|--------------------------|
| Global Growth | <input type="checkbox"/> | Income | <input type="checkbox"/> |
| Growth | <input type="checkbox"/> | Conservative | <input type="checkbox"/> |
| Balanced | <input type="checkbox"/> | Cautious | <input type="checkbox"/> |
| Global Income | <input type="checkbox"/> | | |

OUR IDX STRATEGIES

These strategies invest predominantly in “passive” funds, and seek to generate outperformance principally (though not entirely) through our tactical asset allocation decisions

- | | |
|------------------|--------------------------|
| IDX Growth | <input type="checkbox"/> |
| IDX Balanced | <input type="checkbox"/> |
| IDX Income | <input type="checkbox"/> |
| IDX Conservative | <input type="checkbox"/> |

MEMBERS DETAILS IF HELD BY A PERSONAL PENSION

Name:

Address:

Postcode:

Date of birth:

DD	MM	YYYY
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Retirement date or expected retirement date:

DD	MM	YYYY
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EMPLOYMENT AND BUSINESS INTERESTS

If you are still employed in any capacity please give details below. Otherwise, please indicate your previous occupation or state if you have not been employed previously.

Are you retired from all employment activities (including consultancy)?

Yes No

Are you a director or significant senior manager of a Public Limited Company?

Yes No

If yes, list which company(ies) and company(ies) positions:

Are you or have you ever been employed in the financial services industry?

Yes No

If yes, please provide details:

Are you an individual, in the UK or abroad, who has held a prominent public function (for example senior politician, senior government, judicial or military official, senior executive of state owned corporation, important political party official). Or have you ever been connected, directly or indirectly (for example by blood, marriage or business/ financial link) to such an individual?

Yes No

If yes, please state their position and/or connection:

Does your employer (if any) need to receive contract notes?

Yes No

If yes, please provide details:

FINANCIAL ADVISER

If you have a financial adviser, please complete their details below.

Name:

Name of organisation:

Address:

Postcode:

Telephone number:

Regulator (eg FCA):

Registration number:

Financial adviser email address (if known):

Please note that it is our standard practice to grant online access to the organisation named above so that your financial adviser can view your portfolio(s) via our online portal. Such access may be granted to any individual adviser named above as well as other staff at their organisation who assist in the provision of their service to you so may include support and administrative staff and/ or other regulated advisers. If you have any questions about this please contact your Investment Manager.

Please tick below if you would like us to send your financial adviser copies of the following:

Quarterly Investment report

OTHER ADVISER

If you would like us to provide information to a professional or individual who is not a financial adviser, please enter their details below.

Please note that if you want to authorise another individual to give instructions on your account, please complete the section on third-party authority.

Name:

Name of organisation (if applicable) or relationship to you:

Address:

Postcode:

Adviser email address (if known):

**OTHER CONTACT DETAILS/ADDITIONAL TRUSTEES/
POLICY HOLDERS**

Please show below any other contact details we might need with a brief description of their relevance

Name:

Address:

Postcode:

Relevance:

Date of birth:

Name:

Address:

Postcode:

Relevance:

Date of birth:

SPECIAL CATEGORY DATA

In any contact we have with you it is possible that you may disclose sensitive information to us that is described as Special Category Data (SCD) under the General Data Protection Regulation. For us to be able to capture this data and then process it to make investment decisions or otherwise manage your account in your best interest we need your explicit consent. We will not specifically ask you about all the types of SCD described below but, if you think any of them are relevant to the investment decisions we make on your behalf, then it is in your interests to inform us.

What is SCD?

SCD is more sensitive personal information about an individual; for example their race or ethnic origin, political opinions, religious or philosophical beliefs, health, trade union membership, genetics and biometrics.

We will only process SCD that you tell us about and, only then, if we believe it is relevant to the services we provide to you.

What categories of SCD do we collect?

The types of SCD that we are most likely to collect from you are listed below. We only collect this information to tailor your investment portfolio to your specific requirements (if any) or to otherwise provide our services to you as agreed. We may collect:

- information about your health; and
- information that may identify your philosophical beliefs, for example if you wish to exclude investments on ethical grounds.

Why do we collect this data?

We collect this information to ensure that we provide you with an investment service that meets your specific requirements and is most appropriate for your individual circumstances.

How do we collect the data?

When we first meet you, we will carry out a full fact-find and collect personal data that may include some SCD (as described above). We may also collect SCD during any regular review meetings or when you complete one of our application forms.

Your consent

You can withdraw your consent at any time, but if you do so, we may not be able to continue to provide you with an investment service that meets your specific requirements.

**ACCEPTANCE AND SIGNATURE
(to be signed by the Policyholders. If the policy is held by a personal pension both the policyholder and the pension member should sign)**

Please complete, sign and date the boxes to the right to:

- acknowledge that Quilter Cheviot is required to hold certain information and documentation (including personal information) on the policyholder(s) and consent to the Bond Provider providing any such information or documentation that Quilter Cheviot may reasonably request to Quilter Cheviot.
- confirm that all the information in this form is accurate, complete, can be relied upon, and that my/our investment objectives are as set out in this application form.
- confirm our acceptance of the Schedule of Charges and cost and charges information agreed with Quilter Cheviot and the Bond Provider.
- acknowledge receipt of a copy of the Quilter Cheviot terms and conditions and risk disclosures.
- agree to the terms for online access as detailed in the Quilter Cheviot terms and conditions.
- confirm receipt of the Quilter Cheviot 'Understanding Your Investment Portfolio' document; and
- confirm that the Bond Provider is Quilter Cheviot's client, and the legal and beneficial owner of the portfolio, and the person who will instruct Quilter Cheviot. The information provided by me/us in this form is to help Quilter Cheviot comply with the laws that apply (in particular regarding the suitability of the investment service), and it is not to allow me/us to influence or have the ability to select property or an index (directly or indirectly).
- If the policyholder has appointed Quilter Cheviot directly:
 - 1) confirm that you agree to this application form, our terms and conditions and risk disclosures.
 - 2) give consent to our order execution policy and list of execution venues, and to Quilter Cheviot (or an affiliate) effecting transactions outside a regulated market, multilateral trading facility or organised trading facility; and
 - 3) give consent to us sending notices (such as changing our terms and conditions) electronically, such as by an email attaching a document or linking to our website.

By ticking this box you consent to us collecting, processing and storing Special Category Data about you as described in this form.



Signatory 1:

Date:

DD	MM	YYYY
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Print name:



Signatory 2:

Date:

DD	MM	YYYY
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Print name:



Signatory 3:

Date:

DD	MM	YYYY
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Print name:

QUILTER CHEVIOT

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