C4C INVESTOR ACCOUNT

Capital for Colleagues

Advice Investment Growth

Client Information Form
General Investment Account

Before we can act for you this form must be returned signed and dated at the end of Section 8

Please note: Castlefield Investment Partners LLP is not a Financial Adviser or Financial Planner. It is therefore important that you have already reached a decision as to the basic suitability of the investment account which will be covered by this Agreement. This decision should be reached with reference to your overall financial affairs with the help of a Financial Adviser or Financial Planner.

CASTLEFIELD

THE THOUGHTFUL INVESTOR

SECTION 1

Name of your organisation (if relevant)

Company Registration Number / Charity Commission Number (if relevant):

Your Details

Title: Full name:

Address:

Postcode:

Tel: Business Tel: Home

Nationality: Email:

Date of Birth: Country of Birth:

Country of Residence (for income tax purposes): National Insurance Number:

Joint account holder (if any)

Title: Full name:

Address:

Postcode:

Tel: Business Tel: Home

Nationality: Email:

Date of Birth: Country of Birth:

Country of Residence (for income tax purposes): National Insurance Number:

Correspondence address (if different from first account holder)

Title: Full name:

Address:

Postcode:

SECTION 2

What would you like to do with any income produced by your account (from any future dividends or interest)? Choose either option 1 or 2.

1. Pay it into a separate Income (Earnings) account and then...

a. Retain it until I ask for it: ☐

OR

b. Pay it to me regularly: Monthly ☐ Quarterly ☐ Yearly ☐

2. Pay it into the main Capital (Dealing) account and re-invest it. ☐

Bank/Building Society details

Income payments will be made directly to this account using the BACS system. Capital funds will be retained on deposit in the course of administering your investments. Please note we are not able to open an account without your bank/building society details.

Bank/Building Society:	
Branch:	
Branch sort code (Bank):	
Account No.:	
Account Holder:	
Reference No. (Building Society):	

SECTION 3

Would you like view-only online access to your C4C Investor Account? Yes ☐ No ☐

SECTION 4

Third Party Instructions

I/We authorise Castlefield to accept any and all instructions or as outlined below in Authority Levels, from the undermentioned third party(ies).

Title: Full name:

Address:

Postcode:

Tel: Business

Signature of third party:

Nationality: Country of Birth:

Country of Residence:

Title: Full name:

Address:

Postcode:

Tel: Business

Signature of third party:

Nationality: Country of Birth:

Country of Residence:

Authority Levels

Please clarify the authority levels of the signatories above for this account. For example, are they allowed to provide instructions to deal in shares, change bank account details or ask for income withdrawals? Please also refer to our Terms of Business with respect to the receipt of instructions.

SECTION 5

Establishing whether an investment in C4C is appropriate for you.

Assessing the 'appropriateness' of an investment for your particular level of knowledge and experience is not the same thing as advising you on whether a particular investment is 'suitable' for you. Despite not providing you with advice as to suitability, we are still required to assess how appropriate an investment in C4C will be. This is because an investment in C4C is deemed to require a greater level of commercial experience and knowledge of investments in general, to understand fully the risks involved.

With this in mind, have you bought or sold unquoted shares (including those quoted on ISDX or AIM) at any time previously? Yes ☐ No ☐

How many times have you traded in this type of share in the last 12 months? ☐

For how many years have you been trading on an 'execution only' basis (i.e. without advice)? ☐

Do you understand that you may not be able to obtain a clear price for this investment due to lack of liquidity, if you were forced subsequently to try and sell it at short notice? Yes ☐ No ☐

Do you understand that you may not be able to dispose of the holding at the time you choose due to lack of liquidity? Yes ☐ No ☐

Do you acknowledge that, although higher risk investments could mean higher returns, there is no guarantee of this and you may get back less than you invest? Yes ☐ No ☐

Do you have any experience as a senior manager, director, or shareholder working within a business, where you would typically have responsibility for commercial decisions? Yes ☐ No ☐

If yes, please tell us about that here...

Different types of investments have different characteristics and it is helpful for us to know your level of investment knowledge and experience of each. Using the criteria set out below, please indicate which option (A, B, C or D) best describes your level of experience and knowledge for each:

A: I have no knowledge of this type of investment and no previous experience of investing in it.

B: I have occasionally held this type of investment, but have not actively traded in it and only have limited understanding of it.

C: I have held this type of investment from time to time, have had some experience trading in it and consider that I have a basic understanding of it.

D: I have held this asset class frequently, had extensive experience of trading in it and consider that I have a detailed understanding of it.

	A	B	C	D
Shares of UK companies, listed on the London Stock Exchange and funds invested in such shares.	☐	☐	☐	☐
UK government bonds (Gilts) and funds invested in them.	☐	☐	☐	☐
Bonds issued by UK companies ('corporate bonds') and listed on a recognised exchange and funds invested in them.	☐	☐	☐	☐
Shares of non-UK companies, listed on an overseas exchange, with exposure to developed economies and funds invested in such shares.	☐	☐	☐	☐
Shares of non-UK companies, listed on an overseas exchange, with exposure to emerging economies and funds invested in such shares.	☐	☐	☐	☐
Alternative Investments e.g. Hedge Funds, Structured Products.	☐	☐	☐	☐
Funds invested in commercial property.	☐	☐	☐	☐
Shares in unlisted companies, including those quoted on ISDX and AIM.	☐	☐	☐	☐

SECTION 6

Money Laundering Regulations

For every individual with significant influence over your assets as listed in Sections 4 and 8, we need to verify personal identity and address. Therefore, in signing this form, you do so on the understanding that we will ask you for additional documents to ensure that we comply with the requirements of current anti money laundering regulations.

Are you, or any of your immediate family members/close associates, a 'Politically Exposed Person' (PEP), or have been in the last 12 months? (see definition below) Yes ☐ No ☐

If 'Yes' please provide further details:

Politically Exposed Persons are individuals who are or have been entrusted with prominent public functions, for example Heads of State or of government, senior politicians, senior government, judicial or military officials, senior executives of state owned corporations and important political party officials.

Are you the beneficial owner of the account? Yes ☐ No ☐

If 'No' please provide further details:

Are you, or anyone else in your immediate family, a US citizen, the holder of a US passport, Green Card or US bank account or have you resided in or owned property in the US? Yes ☐ No ☐

If 'Yes', please provide further details:

SECTION 7

Assets to be Transferred into Your Account

Value and number of existing C4C shares to be transferred in:	£	No of shares:	
Value of cash to be transferred in:	£		
Total value of shares and cash to be transferred in:	£		

If you have any current C4C shares how are they currently held? (Please provide full registration details):

SECTION 8

Before considering the following Declaration and signing below, please make sure you have read and understood our Terms of Business. The latest version can be viewed on our website: www.castlefield.com/c4c-terms-of-business-investor-account

Declaration

I/We confirm that I/we have read and understand the Terms of Business and this Client Information Form and agree to its terms (including, in particular, the terms in relation to my/our nominee holdings). I/We acknowledge that we have the right to request an explanation of any terms we do not understand, and that I/we have the right to object to any changes thereto that may occur from time to time. I/We further declare that all of the above details comprise all the information that I am/we are willing to provide and are correct to the best of my/our knowledge.

Please note that by signing this Form, the account owner represents and warrants that he/she/it is not a U.S. person for the purposes of U.S. Federal income tax and that he/she/it is not acting for, or on behalf of, a U.S. person. A false statement or misrepresentation of tax status by a U.S. person could lead to penalties under U.S. law.
If your tax status changes or you become a U.S. citizen or a resident, you must notify us within 30 days.

I/We undertake to inform Castlefield as soon as possible of any material change in regard to the details provided or which may cause a change to the investment strategy.

All parties to a joint account must sign below:

Signatory 1

Signature:		Date:	
Full name:			

Signatory 2 (where relevant)

Signature:		Date:	
Full name:			

CASTLEFIELD

THE THOUGHTFUL INVESTOR

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