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# UNICORN AIM IHT & ISA PORTFOLIO SERVICE

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## TRUSTEE APPLICATION FORM





This form can be completed digitally and emailed to [unicorn-aim-ihl@wmcapitalmanagement.com](mailto:unicorn-aim-ihl@wmcapitalmanagement.com), or printed and completed in BLACK ink and returned to Customer Service Centre, Unicorn AIM IHT & ISA Portfolio Service, WM Capital Management, 8 Thorpe Road, Norwich, NR1 1RY.

## Part One – Trustees' Information

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Please provide details of all trustees

| Trustee    | 1 | 2 |
|------------|---|---|
| Title      |   |   |
| Surname    |   |   |
| First Name |   |   |

| Trustee    | 3 | 4 |
|------------|---|---|
| Title      |   |   |
| Surname    |   |   |
| First Name |   |   |

| Trustee    | 5 | 6 |
|------------|---|---|
| Title      |   |   |
| Surname    |   |   |
| First Name |   |   |

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# Part Two – Trust Information

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## Trust Details

|  |  |
|--|--|
| Trust Name   |  |
| Registered Address   |  |
| Correspondence Address   |  |
| Primary Telephone  |  |
| Email Address  |  |
| LEI number (we cannot invest your portfolio without this number) |  |
| Domicile   |  |

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## Nature of Activities

Please provide in the box below the nature of the activities and objectives of the trust.

## Principal Beneficiaries

Please provide details below of all principle beneficial owners (>25%)

| Name    |  |  |  |  |  |
|---------|--|--|--|--|--|
| Address |  |  |  |  |  |

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## Protector or Controllers

Please also provide the names of any protector or controllers below

|         |  |  |  |
|---------|--|--|--|
| Name    |  |  |  |
| Address |  |  |  |
| Name    |  |  |  |
| Address |  |  |  |

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## Bank Details

Please give us details of the bank account you would like any future proceeds and/or income to be paid into.

|  |  |
|--|--|
| Account Name                           |  |
| Bank/Building Society Name             |  |
| Branch Address<br>(Including postcode) |  |
| Account Number                         |  |
| Sort Code                              |  |

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# Part Three – Investment Details

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## Investment Amount

I wish to invest into (Please tick the relevant box)

- **Income Portfolio**
- **Growth Portfolio**

The minimum investment into the Income Portfolio option is £50,000  
The minimum investment into the Growth Portfolio option is £50,000

Please provide total details of the amount that you would like to invest into the Unicorn AIM IHT & ISA Portfolio Service.

| Amount to be invested   | £ |
|---|---|
| Source of investment, e.g. Savings, Bequest, ISA Transfer, Proceeds of Estate, Property or Business Sale. |   |

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## Payment Details

**Your deposit should be made by one of the following methods:**

**Cheque** – Please enclose a cheque for the amount of your investment ‘payable now’ drawn on the account made payable to ‘James Brearley & Sons Ltd.’ If the payment is not drawn from the account detailed your application will be rejected. We do not accept cheques from business accounts, third parties or post-dated cheques.

**Bank Transfer** – Please transfer your investment to the account below. If the payment is not drawn from the account detailed below your application will be rejected.

Account Name: James Brearley & Sons Ltd.  
Account Number: 10491689  
Sort Code: 16-14-12  
Bank: Royal Bank of Scotland

Payments should be sent with the trust name as a reference.

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Please provide a certified copy of the trustee deed and certified signatory list

## Part Four – Declarations

### Trustee Declarations

**1) By signing this form on page 9 we declare that we:**

1. Have received, read and understood the Unicorn AIM IHT & ISA Portfolio Service brochure, including the risk factors explained within it.
2. Have read and understood the Terms and Conditions of the Unicorn AIM IHT & ISA Portfolio Service and that this application is made on the terms therein.
3. Have provided answers to all questions in full and to the best of my knowledge.
4. I understand that both James Brearley & Sons Limited and WM Capital Management Limited will collect, process, store and share personal data about us and I have familiarised myself with the relevant privacy policies for James Brearley & Sons Limited and WM Capital Management. I understand how and why my data will be collected and the rights that I have regarding my personal data.
5. Understand that WM will conduct electronic checks to confirm my identity and verify my address for the purposes of meeting Anti Money Laundering regulations.
6. Authorise WM Capital Management Limited to provide information to my adviser until notified otherwise.
7. Authorise WM Capital Management Limited to provide information about my trust portfolio to LightTower Partners so they can update my adviser.
8. Have not received any advice as to the suitability or otherwise of the Unicorn AIM IHT & ISA Portfolio Service to my personal and financial situation from LightTower Partners, Unicorn Asset Management Limited, WM Capital Management Limited or James Brearley & Sons Limited, and understand that I won't receive any such advice in the future.
9. Authorise WM Capital Management Limited to facilitate the adviser's fees as set out in Part Four.
10. Are the Trustees and Administrator acting on behalf of the trust named in Part Two of this application and that we have read and understood and agree to be bound by the Terms & Conditions of the Unicorn AIM IHT & ISA Portfolio Service.

**2) By signing this form on page 9 I specifically declare to James Brearley & Sons Limited that:**

1. I am applying to become a client of James Brearley for its execution-only dealing service as set out and subject to its Execution-Only Dealing Services Terms of Business for Retail Clients with Third Party Investment Advisers or Managers (the "Terms"). WM Capital Management Limited is referred to as the "Intermediary" within this document.
2. I have received copies of and that I understand and accept their Terms, along with their Order Execution Policy and its Privacy Policy.
3. I am intending and confirming that I understand that I will become a client of James Brearley and am appointing James Brearley to provide the services detailed in the Terms.
4. I have appointed WM Capital as my investment manager, with authority to arrange transactions in financial instruments for my account, and to represent and act on my behalf as described in the Terms, and to agree changes to costs and charges on my behalf from the date hereof.
5. I am consenting to information about James Brearley, its services or other information which it is required to provide to me and which is not addressed to me personally, being provided to me by WM Capital Management or by means of a website.
6. I am also consenting to the provision of information via email from James Brearley, a PDF document or by any other durable medium that is not paper, and confirm I have regular access to the internet.
7. I also confirm that I am a UK Tax Resident and have provided my correct National Insurance number to WM Capital Management Ltd to pass on to you and I agree to promptly inform them of any changes within 30 days.
8. I am aware that my information will be shared with UK tax authorities who may pass it on to other tax authorities.
9. By accepting James Brearley's Terms and I am also specifically providing acceptance of their Order Execution Policy.



### 3) Advised Fees Declaration

Please indicate the level of initial adviser charges and/or ongoing adviser charges you have agreed to pay to your adviser. If you have not agreed that payments should be made from your portfolio to your adviser then please indicate 'Nil'. Any initial charge agreed with your adviser is taken from your payment(s) and paid to your adviser before your funds are invested.

|   |                          |                  |  |
|---|--------------------------|------------------|--|
| Initial adviser charge<br>(Tick one box only) | <input type="checkbox"/> | Fixed Amount (£) |  |
|   | <input type="checkbox"/> | Percentage (%)   |  |
| Ongoing adviser charge<br>(Tick one box only) | <input type="checkbox"/> | Fixed Amount (£) |  |
|   | <input type="checkbox"/> | Percentage (%)   |  |

The 'Ongoing adviser charge' fixed amount or percentage stated above (whichever is relevant) is an annual amount, accrued each day. If you choose to pay on a percentage basis, this will be calculated on the value of your portfolio. We will pay your adviser monthly by selling assets from your portfolio.

### Please provide a certified copy of the trustee deed and certified signatory list

| Investor          | 1 | 2 |
|-------------------|---|---|
| Trustee Name      |   |   |
| Trustee Signature |   |   |
| Date Signed       |   |   |

Upon receipt of a completed application form, WM Capital Management will send you a welcome letter detailing further information on the service and details for your access to the online portal.

This application should be completed in **BLACK** ink and returned to Customer Service Centre, Unicorn AIM IHT & ISA Portfolio Service, WM Capital Management Limited, 8 Thorpe Road, Norwich, NR1 1RY

# Part Five – About the Adviser/Intermediary

(To be completed by the adviser/intermediary)

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|  |  |
|--|--|
| Company  |  |
| Title  |  |
| Name   |  |
| Telephone  |  |
| Address  |  |
| Postcode   |  |
| Email  |  |
| FCA Number   |  |
| Bank Account Details<br>(for commission payments /<br>facilitation fees) | Sort Code:<br>Account Number:<br>Account Name: |
| Are you part of a network/service provider?                              | Y / N  |
| If yes, please provide the<br>network/service provider name:             |  |

**If this is the first case that you are receiving fees from, we will require proof of bank details. This can either be a bank statement or a letter from the bank with account details on or a cancelled cheque.**

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## Adviser Declaration

**I declare that I:**

1. Am authorised to provide the necessary advice to retail clients.
2. Have read and understood WM Capital Management's terms and conditions for intermediaries.
3. Have provided advice to my client and understood that responsibility for the suitability of this investment for my client lies with me.
4. Have explained to my client the fees I will be paid in respect of this investment and the services that I will provide in return.
5. Have carried out Anti Money Laundering checks on the applicant in accordance with the Terms of Business for Intermediaries.

|                   |  |
|-------------------|--|
| Adviser Signature |  |
| Adviser Name      |  |
| Date Signed       |  |

## Part Six – Risk Warnings and Information about Investment Risk

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- Share prices, and the prices of other investment instruments and products, can go down as well as up. This means that you may get back less than you originally invested in the Unicorn AIM IHT Tax & ISA Portfolio Service. In the case of equities generally, not only will their price and value vary but dividend payments may also fluctuate in line with the fluctuating trading performance of the issuing company.
  - Stock markets are volatile, which means that prices can move up and down sharply in the short term and can vary significantly depending on trading volumes in the market. If you instruct us to sell your investments during a down turn, you may be exposed to a greater risk of loss than you would if you waited for markets to recover. For this and other reasons, equity investments should usually be looked at as a medium to long term investment; generally that means investing for a period of 5 years and above to benefit from positive movements in the equity markets.
  - An investment in the Unicorn AIM IHT & ISA Portfolio Service should not be considered as a short term investment and may not be suitable for you if you consider it likely that you will have a short term need for a substantial proportion of the money you have invested.
  - Although markets and commentators typically track historical data and may use it when considering investment decisions, past performance is not a guide to future performance.
  - The extent and value of any tax advantages or benefits arising from the use of tax-advantaged services will vary according to individual circumstances and government legislation. The levels and bases of taxation may also change. You are recommended to seek advice from an FCA authorised person or an appropriately qualified tax adviser regarding the tax implications of any investment through the Unicorn AIM IHT & ISA Portfolio Service.
  - Investing in AIM listed, smaller capitalised companies is high risk and may expose you to a significant risk of losing your investment.
  - It may be difficult to obtain accurate information in order to determine the current value of your investment through the Unicorn AIM IHT & ISA Portfolio Service.
  - Many smaller quoted companies have small management teams and are highly dependent on the skill and commitment of a small number of individuals. The performance of these companies may therefore be adversely affected by the departure or unavailability of certain key personnel.
  - Smaller, AIM quoted companies commonly experience significant change and carry higher risk than is the case in larger or longer established quoted companies.
  - Force majeure events, which are events beyond the control of any party, including fire, flood, earthquake and other acts of God, terrorist attacks and war may affect a party's ability to perform its contractual obligations or may lead to the underperformance of an investee company.
  - WM Capital Management will use its best endeavours to invest in companies
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# Risk Warnings and Information about Investment Risk (Cont.)

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quoted on AIM which qualify under the Business Property Relief rules. However, WM Capital Management cannot guarantee that all investments will qualify for such relief and therefore accepts no liability in this regard.

- Following the admission of a company to the main market of the London Stock Exchange, Business Property Relief for Inheritance Tax purposes will cease.
- The levels and bases of reliefs from taxation may change or such reliefs may be withdrawn. The tax reliefs referred to in this Document are those currently available in accordance with current legislation and their value depends on your individual circumstances at the point of investment.
- An investment in an Income portfolio could result in additional capital gains relative to a Growth portfolio, which could result in a capital tax liability, as a result of selling shares to raise cash to pay fees, unless the investment is held in an ISA.
- An investment in an Income portfolio is likely to result in additional trading fees relative to the Growth portfolio as a result of selling shares to raise cash to pay fees.
- An investment in a Growth portfolio may result in a growing cash position if the level of dividends received exceeds the level of fees on the portfolio. Such cash will be reinvested into shares as appropriate but, until such time that it is reinvested, it will not qualify for Business Property Relief.
- Shares in AIM companies are illiquid and it may take some time to invest and disinvest your portfolio.
- Market makers may not be prepared to deal in all AIM quoted securities.
- While funds remain un-invested they will not be subject to market movements (either up or down). However, the two year holding period required for business property relief only starts from the date of investment in qualifying shares. WM Capital will use their best endeavours, subject to market conditions, to invest client's funds within 4 weeks of receipt of application.
- However, when we consider trading conditions to be unfavourable (i.e. periods of sustained market volatility), WM Capital will use their discretion to act in the best interest of the client and ensure a policy of best execution. As a result, at times it may take longer than the anticipated 4 weeks to fully invest the client's monies.

This list is not intended to be exhaustive and you should discuss the element of risk affecting your investments with your financial adviser.

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## Important Information

Your capital is at risk and you may not get back the full amount invested and the tax treatment of your investments depend on your personal circumstances and may be subject to change. Past performance is not a reliable indicator of future results.

The availability of tax reliefs depends on investee companies maintaining their qualifying status.

Investments quoted on AIM are likely to have higher volatility and liquidity risk than securities on the London Stock Exchange Official List.

We recommend that you seek independent investment and tax advice before investing in our products.

WM Capital Management Ltd is authorised and regulated by the Financial Conduct Authority and recorded in the Register under reference no 601025.

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## Contact Details

This product is not suitable for all investors and potential investors should consult an FCA authorised person or an appropriately qualified tax adviser before making an application and if they have any questions.

FCA authorised advisers/brokers should contact LightTower Partners on the details below if they have any questions. Please be aware, however, that LightTower Partners is not authorised to provide financial advice.

020 7071 3940 | [investor-relations@lighttowerpartners.co.uk](mailto:investor-relations@lighttowerpartners.co.uk)

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