CHARTERIS
TREASURY PORTFOLIO MANAGERS LIMITED

New General / Discretionary Account

Transfer Application Form

8/9 Lovat Lane
London EC3R 8DW
England.

Tel: +44 207 220 9780
Fax: +44 207 929 6925
www.charteris.co.uk

1. Name and Address:

2. Initial Total Value:

£

3. Investment Objective

4. Date of Birth & National Insurance No.

_______ / ________ / __________

N. I. Number:

5. Service Required:

I apply to transfer my general investment / Discretionary account from (Name and Address of your existing financial institution – please state below). Please also state Account number (if known) as well as any other relevant information

____

____

___________________________________ Transfer to be made in Specie or Cash? _____________________

6. Declarations:

7. Risk Grade: *(see Page 3)*

- All subscriptions made, and to be made, belong to me
- I am 18 years of age or over
- I am resident and ordinarily resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of the Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas) are treated as being performed in the UK, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform CTPM if any situation changes regarding my personal or tax circumstances
- I authorise CTPM to hold my cash, interest, dividends and any other rights or proceeds in respect of those investments and any other cash

8. Fees Payable:

1.25% per annum + VAT (if applicable) of the value of the portfolio, payable quarterly which are deducted automatically from the portfolio.

Self-Certification for Individuals

Under FATCA and the UK Intergovernmental Agreements

Section A: Beneficial Owner Information
Client Name
Permanent Residence Address
Mailing Address (if different from above)
Country of Birth:
Date of Birth (dd/mm/yy):
Account Number(s)

Section B: Tax Residency

Please indicate ALL countries in which you are resident for the purposes of that country's Income Tax.
If you are a US Citizen, Green Card holder, or US Resident, you must complete and return an IRS W-9 form to include any additional tax residencies in the table below.

Country of Tax Residency	UK Clients National Insurance Number	Non-UK Clients Tax Identification Number

Section C: Declaration Section

1) I undertake to advise promptly of any change in circumstance which causes the information contained herein to become incorrect and to provide an updated declaration within 30 days of such a change in circumstances
2) I am aware that in certain circumstances this information will be shared with UK tax authorities, who may pass it on to other tax authorities
3) I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete

Signature	Print Name
Date:	Capacity

Charteris Treasury Portfolio Managers Limited Registered Office: 8/9 Lovat Lane, London, EC3R 8DW – Registered No. 1830771 (England).
Charteris Treasury Portfolio Managers Limited is authorised and regulated by the Financial Conduct Authority (114952)

Charteris Treasury's Investment Risk Grades

You the client are required to select a risk grade for your investments. It is important that you tell us the average risk grade that should apply across your portfolio. Please insert the appropriate number on page one of the Investment Management Agreement.

1. I do not need my portfolio to take risks at all. Whilst I would like some growth or income, this should not be achieved by exposing the investments to any risk. I realise that returns will be very limited.

2. I want my investments to grow by more than I can achieve on deposit, however, I am only prepared to take minimal investment risks. I understand that the returns may not be great and may not always exceed that of deposit-based holdings.

3. I want my portfolio to benefit from partial exposure to stock markets. I would like a cautious approach and expect an average of 30% in equity-based investments and the remainder in more secure areas. I do not expect significant returns from the portfolio.

4. I can invest for several years and want to benefit from stock market exposure. I am relatively cautious and do not expect all of my investments to be held in volatile areas. An average of 40% exposure to equity-based investments would be acceptable.

5. I am a medium to long-term investor and I would like my portfolio to have a substantial exposure, when the managers deem appropriate, to stock markets. From time to time this may allow 60% of my funds to be in equity-based holdings, although I would like an element of caution to try and ensure that I do not suffer too greatly in times of market weakness.

6. I wish my portfolio to be invested mainly in equity markets. I understand that the portfolio is likely to exhibit volatility but I can either invest for the long term, or am prepared, or can afford to accept these risks in order to seek greater growth or income.

7. I am seeking a good level of growth or income from the equity markets. I am comfortable with all of my funds being invested in potentially volatile investments in order to seek the best long term returns.

8. I consider myself an experienced investor and am seeking strong returns from my portfolio. I am comfortable with stock market investment and would be happy for the manager to include particularly aggressive investments when it is felt suitable.

9. I would like an aggressive portfolio, seeking strong growth over both the short and long term. I am happy for the portfolio to be actively and frequently traded in seeking opportunities which may be of substantially greater volatility than usual. I appreciate that the returns will be highly speculative and the chance of losses are great.

10. I would like a very aggressively managed portfolio and give the managers complete freedom to invest as they choose. I expect frequent trading and high volatility in the value of individual holdings and the portfolio as a whole. In chasing exceptional returns, I understand the chances of loss are great.

Your Investment Risk Grade can be changed at any time by mutual consent to be confirmed in writing.

I acknowledge that I have been made aware of and accept the nature, policy and processes which Charteris Treasury Portfolio Managers Ltd has in place for providing best execution. Charteris Treasury Portfolio Managers Ltd shall have full discretion to choose a relevant vehicle for executing any order or order, taking into account all relevant factors in order to achieve the best possible result.

I hereby authorise you to transfer the above account(s) to Charteris Treasury Portfolio Managers Limited in cash/specie upon receipt of their instruction to do so. I declare that this application form has been completed to the best of my knowledge and belief.

I confirm that I have read and agree to the Terms and Conditions of Business and the Investment Management Agreement.

Signature	Date:

(Client signature(s))

Signature:	Date:

(For and behalf of Charteris Treasury Portfolio Managers Ltd) Authorised and regulated by the Financial Conduct Authority