



2 Blade Mews, London SW15 2NF

Telephone: 020 8870 7072 Facsimile: 020 8875 1911 Email: info@seymoursinclair.co.uk

Execution Only & Direct Offer Investment Confirmation Form

IF YOU WISH TO MAKE AN INVESTMENT THROUGH OURSELVES, PLEASE COMPLETE AND RETURN THIS EXECUTION ONLY & DIRECT OFFER FORM. THIS FORM IS FOR MOST TYPES OF INVESTMENTS. THIS IS NOT AN INVESTMENT APPLICATION FORM.

Full Name:	Date:
<input type="text"/>	<input type="text"/> 20
Address:	Telephone Number: (No salesman will call)
<input type="text"/>	<input type="text"/>
Postcode:	Email Address:
<input type="text"/>	<input type="text"/>
	Your Seymour Sinclair Personal Account No: (Please Quote If Known)
	<input type="text"/>

Dear Sirs,

This is to confirm that I wish to make or have made an investment on either an 'Execution Only or Direct Offer' basis using Seymour Sinclair Investments Limited as my agent for the investments noted below and in accordance with the terms laid out in the Terms of Business. I understand that I will receive a cash-back rebate or enhancement / discount bonus from the initial commission payable on my investment. (See Investment instructions for commission rebate or enhancement terms). This gross commission will be rebated immediately it has been received by Seymour Sinclair Investments Ltd, or be used to either reduce the investment charges or increase the investment allocation. If no commission is payable on an investment, no bonus can be given.

I confirm that I have not received any investment advice or recommendations regarding the investment I am making and nothing I have received from Seymour Sinclair Investments Ltd has been construed as constituting advice or a recommendation. I also confirm that I fully understand the risks involved with the investment I am making and the terms and basis under which it is being made.

First Investment I CONFIRM THAT I WISH TO MAKE OR HAVE MADE AN INVESTMENT DIRECT INTO:

Investor's Name:	Type of Investment:
<input type="text"/>	<input type="text"/>
Investment Company:	Investment Amount:
<input type="text"/>	£ <input type="text"/>
Investment Fund:	I would like the Cash-Back Bonus to be: (please tick one box only)
<input type="text"/>	Paid to me by cheque <input type="checkbox"/> or Reinvested into my fund (Discount) <input type="checkbox"/>
FundsNetwork Fund Code: (Please Quote If Known)	I have sent my application direct to the investment company:
<input type="text"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>

Second Investment I CONFIRM THAT I WISH TO MAKE OR HAVE MADE AN INVESTMENT DIRECT INTO:

Investor's Name:	Type of Investment:
<input type="text"/>	<input type="text"/>
Investment Company:	Investment Amount:
<input type="text"/>	£ <input type="text"/>
Investment Fund:	I would like the Cash-Back Bonus to be: (please tick one box only)
<input type="text"/>	Paid to me by cheque <input type="checkbox"/> or Reinvested into my fund (Discount) <input type="checkbox"/>
FundsNetwork Fund Code: (Please Quote If Known)	I have sent my application direct to the investment company:
<input type="text"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>

Yours faithfully

Signature of First Investor:

Signature of Second Investor:

If you wish the cash-back bonus to be used to reduce the investment charges (if applicable) or increase the investment allocation, please send your application to ourselves and indicate this on the form, otherwise the rebate will take the form of a cheque, payable to the investor unless terms are already noted on the application form. On monthly contributions the discount will be given by way of an investment discount rather than a cash-back bonus.

If you have the relevant investment application form, please ensure that our name and address is noted down as the agent along with our FSA number and either return it to ourselves along with this form and your investment cheque made payable to your chosen company and crossed 'account payee only', or send the application and cheque to the investment company and this form to ourselves as confirmation.

THE VALUE OF YOUR INVESTMENTS AND ANY INCOME THAT IT MAY PRODUCE CAN GO DOWN AS WELL AS UP. IF YOU ARE UNSURE ABOUT AN INVESTMENT YOU SHOULD SEEK EXPERT ADVICE. DO NOT MAKE YOUR CHEQUES PAYABLE TO OURSELVES.

Authorised and regulated by the Financial Services Authority - No: 177616

PLEASE TURN OVER FOR INVESTMENT INSTRUCTIONS

How to make an investment

- To receive a cash-back bonus for rebate by cheque or reinvestment to enhance the value of your investment, please complete our **Execution Only & Direct Offer Investment Confirmation Form**. This will identify your personal details and which investment you wish to make. It also confirms that we will act as your agent for the investment on an execution only basis. This means that the choice of investment is yours and that we have not given any financial advice or recommendation.
- Then, simply complete the relevant investment application form and return it to us with the Execution Only & Direct Offer Investment Confirmation Form using our **Freepost** address. Please also enclose your cheque **made payable to the investment company**. If you require an application form for an investment you wish to make, please contact us and we will send it out to you.
- You may prefer to send your application direct to the investment company concerned. If so, just send us the Execution Only & Direct Offer Investment Confirmation Form, confirming the investment you have made. **Please make sure that you include our name and address in the 'Financial Adviser box' on the application form** and include our **FSA No: 177616**. In this situation, your cash-back bonus can only be rebated by cheque.
- Making a unit trust investment is even simpler. You just complete the Execution Only & Direct Offer Investment Confirmation Form and return it to us together with your **cheque made payable to the relevant company**. You should note on our form the investment company and fund - and indicate if you require income or accumulation units. The investment will then be forwarded that day and contract notes sent to you upon receipt.
- **Please always make your cheque payable to the investment company with whom you wish to make an investment.** Occasionally the cheque should be made payable to a specific bank or special code used. Please check the investment application for instructions. If you are using a building society cheque, please ensure that the society add **'reference (your name)'** after the payee.
- **Please do not make your cheque payable to Seymour Sinclair Investments as we will have to return it to you, which will cause a delay in an investment being made.**
- Commission is usually paid to us by the investment company concerned 4 to 6 weeks after receiving your application. We will confirm the full amount paid, and if you have **not** requested that your cash-back bonus be reinvested to enhance the value of your investment, we will send your rebate cheque as soon as possible after the commission has been received.
- **If you wish to send your application direct to the investment company and require a discount rather than cash-back please ensure that the appropriate discount is noted on the application form. Please telephone us to confirm the correct wording.**
- **If an application has the discount instruction printed or written on it, the discount will be reinvested. If a cash-back is required, the discount instructions will need to be removed. If no instructions are given to us or the investment company a cash-back bonus will apply.**
- Contract notes, certificates, policy documents and any other correspondence sent to us by an investment company will be forwarded to you immediately upon receipt.

IF THERE IS ANYTHING THAT YOU ARE NOT SURE ABOUT, PLEASE CONTACT US BEFORE MAKING AN INVESTMENT.

You can send us your investment using our FREEPOST service. (2nd class service) FREEPOST LON17950, LONDON SW15 2GZ.

Seymour Sinclair Investments Limited is authorised and regulated by the Financial Services Authority (FSA). This means that you have their protection to insure that we will make the full initial commission rebate as advertised. Should any tax liability occur from a commission rebate, this would solely be the responsibility of the final receiver of the commission and that we accept no liability to any tax that may occur from a commission rebate. Any renewal commission paid on an investment will be retained in full by Seymour Sinclair Investments Ltd. We hold Professional Indemnity Insurance in accordance to the rules laid down by the FSA. Seymour Sinclair Investments Ltd is not offering investment advice regarding the investment of your choice. Nothing in the information we provide should be construed as constituting advice or recommendation. If you are unsure as to the suitability of an investment, you should seek expert financial advice. Please do not invest unless you are absolutely sure about the investment you are making. The discounts given are usually in addition to those offered by the investment companies. This is the norm but the rules on this can vary between companies. Please contact us should you have any questions you would like answering.

E&OE.