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## Non Advisory Execution Only Investment Declaration

To make an investment through SSI and obtain an initial charge discount, you must complete and return this form with your application.

### Please Complete and Return with your Application Forms

As your investment is to be transacted on a non-advised 'Execution Only' sale basis where no advice or recommendations have been given as to its suitability, it is important that you understand the terms and conditions of the investment you are making. Please read the Key Investor Information Documents carefully to ensure that you understand your investment; if in any doubt as to its suitability, tax implications etc. you should seek expert financial advice or not invest.

#### Investor's Details

Full Name:

Postcode:

Personal Account Number:

Telephone Number:

Email:

#### Investment Details

Investment Company:

Investment Fund or Name:

Investment Type : *i.e. ISA, Unit Trust, Bond*

Investment Amount:

£

Cofunds

FundsNetwork

Non-Platform

*Please Tick Relevant Box*

I confirm that I have neither sought nor received financial advice from **Seymour Sinclair Investments Limited (SSI)** in connection with any financial products. By proceeding with this investment, I acknowledge that my application will be processed on a non-advised Execution Only basis and I will receive a discount off the normal initial investment charges. Furthermore, I 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.

I confirm that I have read SSI's Terms of Business sent to me and agree for SSI to be remunerated by way of charges or commissions payable by the fund manager or fund platform and taken into account in the charging structure of the investment for which I have applied. Investors will not pay anything directly to SSI unless agreed to prior to an investment being made. The only charge payable to SSI will be the normal Annual Management Charge (AMC) or annual charges if investing through a platform.

**Platform (PF) investments only.** SSI has reduced their adviser charges by 60% p.a. for investments using a PF. I agree that the PF pay SSI the adviser charge of 0.20% p.a. and in accordance with the PF Client Terms. For the purposes of paying these charges I authorise and instruct the PF to sell units/shares from my largest holding (unless instructed otherwise) or deduct money from my applicable Cash Account. I understand that the PF will receive the money from such sale, deduction or redemption as agent for SSI, and that such money will become irrevocably due and payable to SSI on receipt by the PF, to satisfy adviser charges. The PF will hold this money in a PF corporate account as agent of SSI until payment is made. I understand that my liability to SSI in relation to this charge will discharge on receipt of the charge money by the PF as my adviser's agent. Please accept this agreement to move my PF investments onto an adviser charge structure with a 60% reduction off the normal charges. Please note that by signing this agreement all your accounts with the PF will go onto this new lower annual charging structure.

Signature:

Date:

**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 FINANCIAL ADVICE. CONTACT US IF YOU REQUIRE FURTHER COPIES OF OUR TERMS OF BUSINESS.**

Authorised and Regulated by the Financial Conduct Authority. No: 177616. Registered Office: Silvene House, 37 Warren Street, London W1P 5PD. No. 3092534  
Member of The Association for Independent Discount and Non-Advisory Brokers - **AIDB**

**PLEASE TURN OVER FOR INVESTMENT INSTRUCTIONS**

## Instructions to make an investment through Seymour Sinclair Investments

**TO MAKE INVESTMENTS ONLINE WITH NO INITIAL CHARGES OR FEES  
VISIT OUR WEBSITE [WWW.SEYMOURSINCLAIR.CO.UK](http://WWW.SEYMOURSINCLAIR.CO.UK)**

To receive a discount off the initial investment charges both initially and with a Platform annually, please complete our **Non-Advisory Execution Only Investment Declaration** 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 and you have read and will comply with our Terms of Business. (Copies available on request)

### Investing Direct

- Simply complete the relevant investment application form and return it to us with this Non-Advisory Execution Only Investment Declaration form using our Freepost address. Please also enclose your cheque made payable to the investment company.
- You may prefer to send your application direct to the investment company concerned. If so, just send us the Non-Advisory Execution Only Investment Declaration 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 FCA No: 177616. Also write 'Execution Only - 100% discount to investor, 0% initial commission to Agent'.
- Making a unit trust/ICVC or OEIC investment is even simpler. You just complete the Non-Advisory Execution Only Investment Declaration 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. There may be circumstances whereby an investment company will not accept this form. If this is the case, we will inform you.
- Always make your cheque payable to the investment company with whom you wish to make the 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.

### Platform Investments – Cofunds & FundsNetwork

- Follow the instructions as above and complete the relevant application form and Non-Advisory Execution Only Investment Declaration Form.
- Make your cheque payable to the Platform ie Cofunds Limited or Fidelity (who own the FundsNetwork Platform).
- For Platform investments we are paid annual fees rather than commissions, these are taken from selling units in your largest holding. If you wish our fees to be paid from a different fund, please contact us to request this.

**Please do not make your cheque payable to Seymour Sinclair Investments as we will have to return it to you.  
This would cause a delay in an investment being made.**

- We take no initial commission on most investments or any initial fees. However, there may be occasions where a fee has to be made payable to us. If this is the case, it will be agreed with you first and your cheque should be made payable to 'Seymour Sinclair Investments Limited'
- Contract notes, certificates, policy documents and any other correspondence sent to us by an investment company will be forwarded to you immediately upon receipt.

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**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**

**TO MAKE INVESTMENTS ONLINE WITH NO INITIAL CHARGES OR FEES VISIT OUR WEBSITE [WWW.SEYMOURSINCLAIR.CO.UK](http://WWW.SEYMOURSINCLAIR.CO.UK)**

Seymour Sinclair Investments Limited is authorised and regulated by the Financial Conduct Authority (FCA). 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 FCA. 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 a 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.

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**PLEASE READ OUR TERMS OF BUSINESS BEFORE MAKING AN INVESTMENT.  
DO NOT MAKE YOUR CHEQUES PAYABLE TO OURSELVES.**

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