



I N V E S T M E N T S

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## INVESTOR APPROPRIATENESS ASSESSMENT

Investor Name: \_\_\_\_\_

Email Address: \_\_\_\_\_

Investment Plan: \_\_\_\_\_

Seymour Sinclair Account Number (*if known*) \_\_\_\_\_

The following questions are designed to ensure that you fully understand the investment product you are applying for. Plans won't be suitable for everyone and they have been designed to achieve different objectives and carry different risks.

Please answer the questions below along with your application. If you are unsure about the suitability of the product or if you are not sure how the product works then we recommend you speak to a financial adviser or do not apply for the investment.

Please select **one** of the following categories that apply to your investing experience. (*circle to confirm*)

**Basic Investor** ~ **Yes**

- Basic knowledge of relevant financial instruments - a basic investor can make an informed investment decision based on the regulated and authorised documentation or with the help of basic information provided.
- No financial industry experience i.e. suited to a first time investor.

**Informed Investor** ~ **Yes**

- Average knowledge of relevant financial products - an informed investor can make an informed investment decision based on the regulated and authorised documentation, together with knowledge and understanding of the specific factors/risks highlighted within them only
- Some financial industry experience.

**Advanced Investor** ~ **Yes**

- A good knowledge of relevant financial products and transactions.
- Financial industry experience or accompanied by professional investment advice or included in a discretionary portfolio service

Have you, in the last five years, held any of the following investments? (*circle to confirm*)

Shares **Yes**

Stocks and Shares ISA **Yes**

Investment Funds (Unit Trusts) **Yes**

Index Tracker Funds **Yes**

Cash ISA **Yes**

Structured Products **Yes**

Number of years you have been investing? \_\_\_\_ \_\_\_\_ Years

**Do you understand and confirm you agree with the following statements?** *(Circle to confirm)*

1. I confirm that I have not received advice or recommendation from Seymour Sinclair. **Yes**
2. I understand that I should keep my money invested in the product for the whole term. **Yes**
3. I understand that if I cancel my plan early I may get back significantly less than originally invested. **Yes**
4. Products may include investments with a number of financial institutions; if any of these were to fail you could lose some or all of your original investment and most Structured Investment Products do not have protection from the Financial Services Compensation Scheme (FSCS). **Yes**
5. The potential return on this type of product is often dependant on the performance of one or more indices e.g. FTSE 100 Index or investment funds, and in some cases stockmarket shares. **Yes**
6. I understand that the value of my investment and the income it pays can go down as well as rise and that I may not get back the full amount that I originally invested. **Yes**
7. I understand that the plan should form part of a diversified portfolio. **Yes**
8. I understand the personal tax implications of the investment. **Yes**

If you cannot answer **Yes** to any of the **8** statements above, this product may not be right for you and we suggest you seek financial advice.

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## Declaration

I confirm and understand that any business placed through Seymour Sinclair Investments is on a non-advised Execution Only basis and that I have not received investment advice and agree to the fees.

I have read the Plan brochure, including any applicable Terms and Conditions and accept the terms under which the Plan will be managed.

I have read the Key Information Document and fully understand the risks, costs and potential gains and losses of the product.

**I agree to Seymour Sinclair Fees in arranging this product of 0.40%** of the investment amount. This can be paid to us by cheque payable to Seymour Sinclair Investments Limited or by bank transfer to: Seymour Sinclair Investments Limited, Sort Code 12-11-03 Account No: 00918819. If preferred, some companies will allow the fees to be added to, or deducted from, the investment product, please confirm on the application.

Customer Signature: \_\_\_\_\_

Date: \_\_\_\_\_