HILBERT
Investment Solutions

Income Series : Conditional Quarterly Autocall - Issue 16

March 2023

Pension Schemes

This form is to be completed if you are intending to invest in the Income Series: Conditional Quarterly Autocall 16 - March 2023.

Can we help you?

If your financial adviser needs help completing the form, please contact our Administrator and Custodian on:
Telephone: 0203 808 7138 or by E-mail: hilbert@hilbert-is.com Telephone calls may be recorded.

Please note, Hilbert is unable to provide investment advice or to assess the suitability of this investment. This is the responsibility of your financial adviser.

Return your completed form and documents to your financial adviser, who will then send it to:

Hilbert Investment Solutions, St Clements House, 27-28 Clements Lane, London, EC4N 7AE.

We cannot accept your application unless you have either received financial advice or had the appropriateness of this investment assessed by an FCA regulated financial adviser and the Financial Adviser Section of this application form has been completed.

Please use BLACK INK and complete the form in BLOCK CAPITALS.

NAME OF YOUR FINANCIAL ADVISER AND FIRM

Financial adviser name:

Financial adviser firm:

INVESTMENT DETAILS

Minimum investment is £5,000 and maximum £2,000,000

A: Conditional Quarterly Autocall 16 - March 2023 Amount £

B: Please indicate the method of payment:

Enclosed cheque ☐ If you are paying by cheque please make it payable to:
HILBERT INVESTMENT SOLUTIONS LTD
Your application will be rejected if payment is not made from an account held in your name. Application Forms with post-dated cheques will not be accepted.

Electronic payment ☐ Bank transfers should be sent to:
HILBERT INVESTMENT SOLUTIONS LTD
Bank: Clydesdale Bank
Sort Code: 82-11-07, Account Number: 30069315
You must quote your name in the reference.

Please confirm the date that you expect to send the funds to us.

Date: DDMMYYYY

SECTION 1 – CLIENT DETAILS

Name:
Address:
Date of birth:
Nationality:
Domicile:
National Insurance number (NINO):
Passport/National Identity Card number:

SECTION 2 – SCHEME DETAILS

Name of Scheme/Designation:
Name of Trustees/Administrators:
Country of incorporation/establishment:
Permanent address:
Building name/number:
Street name:
District:
City/Town:
County:
Postcode:
Country:
Contact name:
Contact telephone number:

Type of pension scheme:
☐ An occupational scheme which is not a small self-administered scheme
☐ A small self-administered scheme (SSAS)
☐ A personal pension scheme
☐ A self-invested personal pension scheme (SIPP)

Inland Revenue scheme reference number:
Legal Entity Identifier (LEI)

SECTION 3 – YOUR EMAIL ADDRESS

Please provide a valid email address below. If you do not provide a valid email address, you will not be able to access your account through the Hilbert Investment Solutions web portal.

E-mail address:

SECTION 4 – INVESTMENT AMOUNT

The minimum investment amount is £5,000

How much money are you sending with this application? **£**

SECTION 5 – ADVISER FEES

You may incur fees for the service provided by your financial adviser. We can facilitate the adviser fees from the money you are sending.

Would you like us to facilitate your adviser fees? ☐ Yes ☐ No

Adviser Charge: £ or %

SECTION 6 – ACCOUNT DETAILS FOR INCOME PAYMENTS (IF APPLICABLE)

Bank/Building Society:

Account name:

Reference or Roll number:

Sort code: – –

Account number:

SECTION 7 – TRUSTEES/AUTHORISED SIGNATORIES

The instruction to invest in the Plan and the exercise of any options under the Terms and Conditions of the Plan must be authorised by the requisite number of authorised signatories set out in the Scheme or, where a number is not stipulated, by at least one authorised signatory.

Please provide a list of authorised signatories (or a certified true copy of a copy of the list) and their signing authority. If no list is available, please complete the section below. If there are more than four authorised signatories, please continue on a separate sheet of paper.

Where there is a change to the authorised signatories, please notify Hilbert Investment Solutions in writing giving the date of the change. Notice should be sent to Hilbert Investment Solutions, St Clements House, 27-28 Clements Lane, EC4N 7AE. Hilbert Investment Solutions will be entitled to rely on any previous list until receipt of notice of a change or a replacement list.

Name:		
Capacity:		
Signature:		
Date:	D D M M Y Y Y Y	D D M M Y Y Y Y
Name:		
Capacity:		
Signature:		
Date:	D D M M Y Y Y Y	D D M M Y Y Y Y
Signing authority:		
Any one:		
Any two:		
Other: (please specify)		

HILBERT Investment Solutions

SECTION 8 – DATA PROTECTION

You authorise us to hold and process the information supplied on the application form as a data controller for the purposes of the The EU General Data Protection Regulation ("GDPR") and the Data Protection Act 2018 (DPA 2018). We will hold and process information for the administration of this and any future application, for the operation of your investment, for statistical analysis and for marketing goods and services. You also authorise us to transfer information you provide on your application form (or subsequently) to Hilbert. They will only use such data for purposes ancillary to their role as Plan Manager, including but not limited to hedge management, dealing with queries, fulfilling their regulatory obligations, statistical analysis and marketing on the Plan's maturity. Your data will be used for no other purposes. You authorise the disclosure of your information concerning your investment to a financial adviser acting on your behalf. You are entitled to request details of any of your personal data we may hold and to require us to correct any inaccuracies.

DECLARATION AND AUTHORITY

I/We, the trustees/authorised signatories, request Hilbert Investment Solutions to arrange for the purchase of the Plan(s) on our behalf.

We declare that:

- 1. We have full power to invest in the Plan and have taken all necessary action to authorise the making of this application. The person(s) signing this application are authorised to do so on behalf of the Scheme.
- 2. The Trust/Scheme is a registered pension scheme under Part 4 of the Finance Act 2004 (or an application has been made) and we undertake to advise Hilbert Investment Solutions immediately if it ceases to be a registered pension scheme or if its application for registration is withdrawn or refused.
- 3. We authorise the Board of the HMRC to tell Hilbert Investment Solutions if the Scheme is not granted exempt approval or if that approval is withdrawn.
- 4. We authorise Hilbert Investment Solutions to hold the cash subscription, investments, interest, dividends and other rights or proceeds in respect of those investments and any cash or other proceeds.
- 5. We have read and understood the information contained within the brochure and Key Information Document (KID) which refers to Counterparty Risk and understand that should the Counterparty fail to meet its obligations to pay us the amount due from our investment, we may not receive back our investment and may not be entitled to any compensation.
- 6. We have read and understood "Is this investment suitable for you?" and "Risks" and confirm that the terms set out within the brochure and Key Information Document (KID) are acceptable to us as the investor.
- 7. We understand that market prices can go down as well as up and we may get back less than our original investment. Past performance is not a guide to future performance.
- 8. We understand that the extent and value of any tax advantages or benefits arising from the use of tax-advantaged services such as ISAs and SIPPs will vary according to our circumstances. The levels and bases of taxation may also change.
- 9. We understand that in compliance with the FCA rules, telephone calls will be recorded.
- 10. We understand that early encashment is likely to lead to some loss of capital.
- 11. We are not acting on behalf of a resident of the United States or a U.S. Person (as defined under the Internal Revenue Code of 1986, as amended) and we will not assist any person who is resident in the United States or a U.S. Person to acquire an interest in the Trust/Bond. We agree to inform you immediately should we believe anyone connected with the trust becomes a resident of the United States or a U.S. Person.
- 12. We are not acting on behalf of a person who is in the United States or who is a U.S. Person (as defined in Regulation S under the U.S. Securities Act of 1933, as amended).
- 13. We undertake to advise Hilbert Investment Solutions immediately in writing of any changes in the information contained in this application form including any changes to the Trustees/ authorised signatories.

DECLARATION AND AUTHORITY (continued):

We have read and understood the relevant Plan brochure, Key Information Document (KID) and Terms & Conditions and accept the terms under which the Investment will be managed. We are not prohibited under the provisions or the terms of the Trust/Scheme from investing in this Plan. We declare that this application form has been completed to the best of our knowledge and belief. We understand that the producers of this brochure and Key Information Document (KID) have not provided investment advice and confirm that we are making this application through a financial adviser (and have taken taxation advice if appropriate) and we wish to make this investment.

I acknowledge and agree to the terms under which my subscription will be made and my investments will be managed.

Signed for and on behalf of the Trustees of the Scheme:

1st Authorised Signatory:		2nd Authorised Signatory:	
Print name:		Print name:	
Date:	D D M M Y Y Y Y	***Date:***	D D M M Y Y Y Y

CHECKLIST:

Before returning this application form to your financial adviser or intermediary, please check that:

- ☐ You have completed all relevant sections of the form
- ☐ Your payment amount matches the amount documented on the application form
- ☐ You have advised us of any fees that you wish us to pay a financial adviser or intermediary on your behalf
- ☐ The relevant authorised signatories have signed the application form

SECTION 9: FOR FINANCIAL ADVISER/INTERMEDIARY USE ONLY:

Please ensure you have completed, signed and returned a Hilbert Terms of Business. A copy can be downloaded from our website at www.hilbert-is.com or by contacting our sales team on 0203 808 7138. **If a Hilbert Terms of Business Form has not been completed and approved, we will be unable to process any applications.**

Name of adviser:		
Company address:		
Phone number:		
Email address:		
Are you a member of a network?	☐ YES	☐ NO
If No are you:	☐ DIRECTLY AUTHORISED	☐ OR AN AUTHORISED REPRESENTATIVE
Name of network:		
FCA number (or equivalent) registration number:		

You must verify the identity of all investors and are confirming to the following:

Suitability (For Advised applications only):

- You have provided a copy of this Plan's brochure and Key Information Document (KID) and disclosed the associated risks of this Investment and that you have conducted the required suitability assessment and that you consider this product to be suitable for your client.

YES ☐ NO ☐

Verification of identity:

- Please confirm that you have carried out the appropriate identity and anti-money laundering checks (including but not limited to obtaining certified copies of bank statements, passport/ driving licence) and that copies of documentary evidence of this are available on request. You confirm that you have seen the original documents where required and any that require a signature have been signed.

YES ☐ NO ☐

Verification of Source of Wealth and Funds:

- Please confirm that:
  1 You have obtained documentary evidence to verify the source of the wealth and funds being invested.
  2 You do not suspect that the source of wealth and funds are connected to any criminal activity
  3 Copies of documentary evidence are available immediately on request.
  4 You have seen the original documents and any that require a signature had been signed.
  5 You will retain copies of the data and documents referred to above for at least five years, beginning on the date on which the application is accepted by the Administrator and Custodian.

YES ☐ NO ☐

Appropriateness (For Execution Only applications):

- You have provided a copy of this Plan's brochure and Key Information Document (KID) and confirmed the appropriateness of this investment and that you consider this product to be appropriate for your client.

YES ☐ NO ☐

Financial Adviser/Intermediary signature:

Date: D D M M Y Y Y Y

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Hilbert Investment Solutions is authorised and regulated by the Financial Conduct Authority, No. 698380.
Hilbert Investment Solution do not offer investment advice or make any recommendations regarding this Plan.