



**Income Series :**  
**Conditional Quarterly Autocall - Issue 16**  
March 2023  
UK Trustees and Corporate Investors

**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 – PERSONAL DETAILS**

Name of Trust/Company: \_\_\_\_\_  
Date of Trust/Company: \_\_\_\_\_  
Registration number: \_\_\_\_\_  
Country of incorporation/  
establishment: \_\_\_\_\_  
Legal Entity Identifier (LEI): \_\_\_\_\_  
Permanent address:  
Building name/number: \_\_\_\_\_  
Street name: \_\_\_\_\_  
District: \_\_\_\_\_  
City/Town: \_\_\_\_\_  
County: \_\_\_\_\_  
Postcode: \_\_\_\_\_  
Country: \_\_\_\_\_  
Registered address:  
Postcode: \_\_\_\_\_  
Contact name: \_\_\_\_\_  
Contact telephone number: \_\_\_\_\_

**Ownership: Beneficiary of Trust/Shareholder of Company**

*Please provide details of all interests in excess of 25%; if more than one please provide details of each on a separate list or on a photocopy of this page.*

Name (in full): \_\_\_\_\_  
Address: \_\_\_\_\_  
Postcode: \_\_\_\_\_  
Date of birth: **DDMMYYYY**  
Country of residence: \_\_\_\_\_  
Nationality:  UK  Non-UK  Multiple

*If non-UK or multiple, please name the country and supply your Passport or National Identity Card number for each nationality.*

Country: \_\_\_\_\_  
Passport/National Identity  
Card number: \_\_\_\_\_

**For Trusts only: Settler details**

Name (in full): \_\_\_\_\_  
Address: \_\_\_\_\_  
Postcode: \_\_\_\_\_  
Country of residence: \_\_\_\_\_  
Date of birth: **DDMMYYYY**

---

## SOURCE OF FUNDS

The source which has created / is generating the funds which you are using to open this plan.

- Savings
- Pension
- Salary
- Maturing Investments or Encashment Claim
- Gift
- Property Sale
- Company Profits
- Divorce Settlement
- Loan
- Inheritance
- Share/Asset Sale
- Other

## SOURCE OF WEALTH

Source(s) which originally created your wealth and significantly contributed to your wealth since. (This may be the same as the source of funds.)

- Savings
- Pension
- Salary
- Maturing Investments or Encashment Claim
- Gift
- Property Sale
- Company Profits
- Divorce Settlement
- Loan
- Inheritance
- Share/Asset Sale
- Other

## SECTION 2 - 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 3 – INVESTMENT AMOUNT

The minimum investment amount is £5,000

How much money are you sending with this application?  £

## SECTION 4 – 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.

If you would like us to do this, please tick the box and fill in the amount below.

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

Adviser Charge: £  or  %



## SECTION 7 – 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, the trustees/authorised signatories, request Hilbert Investment Solutions to arrange for the purchase of the Plan(s) on our behalf.
- ✦ 2. 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.
- ✦ 3. 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..
- ✦ 4. 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.
- ✦ 5. 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.
- ✦ 6. We understand that the levels and bases of taxation may change.
- ✦ 7. We understand that in compliance with the FCA rules, telephone calls will be recorded.
- ✦ 8. We understand that early encashment is likely to lead to some loss of capital.
- ✦ 9. 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.
- ✦ 10. 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).
- ✦ 11. 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.

**SECTION 7: 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 terms of the trust deed or the company's constitution 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.

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

1st Authorised  
Signature:

Print name:

Date:     D D M M Y Y Y Y    

2nd Authorised  
Signature:

Print name:

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 8: 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](http://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 enclose supporting documents):

- ✦ Please confirm that you have carried out the appropriate identity and anti-money laundering checks on the directors/trustees and beneficial owners of the company/trust (including but not limited to obtaining certified copies of bank statements, passport/driving licence) and have enclosed copies of this documentary evidence with this application. 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:**

DDMMYYYY



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