
UNICORN AIM IHT & ISA PORTFOLIO SERVICE

TRUSTEE APPLICATION FORM



To be completed by the adviser/intermediary.
This application should be completed in BLACK ink and returned
to Reyker Securities Plc, 17 Moorgate, London, EC2R 6AR.

Part One – Trustees' Information

Please provide details of all trustees

Trustee	1	2
Title		
Surname		
First Name		

Trustee	3	4
Title		
Surname		
First Name		

Trustee	5	6
Title		
Surname		
First Name		

Part Two – Trust Information

Trust Details

Trust Name	
Registered Address	
Correspondence Address	
Primary Telephone	
Email Address	
Registration number (if any)	
Domicile	

Nature of Activities

Please provide in the box below the nature of the activities and objectives of the trust.

Principal Beneficiaries

Please provide details below of all principle beneficial owners (>25%)

Name					
Address					

Protector or Controllers

Please also provide the names of any protector or controllers below

Name			
Address			
Name			
Address			

Bank Details

Please give us details of the bank account you would like any future proceeds and/or income to be paid into.

Account Name	
Bank/Building Society Name	
Branch Address (Including postcode)	
Account Number	
Sort Code	

Part Two – Details of Your Investments

Investment Amount

I wish to invest into (Please tick the relevant box)

- **Income Portfolio**
- **Growth Portfolio**

The minimum investment into the Income Portfolio option is £50,000

The minimum investment into the Growth Portfolio option is £50,000

Please provide total details of the amount that you would like to invest into the Unicorn AIM IHT & ISA Portfolio Service.

Amount to be invested	£
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Payment Details

Your deposit should be made by one of the following methods:

Cheque/Banker's Draft – please enclose a cheque from the trust bank made payable to Reyker Client A/C Re Unicorn. We do not accept cheques from business accounts, third parties or post-dated cheques.

Bank Transfer – Please transfer the investment to the following account after first sending in the completed application form:

Account Name: REYKER CLIENT A/C RE UNICORN

Account Number: 45751773

Sort Code: 600001

Payments should be sent with the trust name as a reference.

Part Four – About the Adviser/Intermediary

(To be completed by the adviser/intermediary)

Company	
Title	
Name	
Telephone	
Address	
Postcode	
Email	
FCA Number	
Bank Account Details (for commission payments / facilitation fees)	Sort Code: Account Number: Account Name:
Are you part of a network/service provider?	<input type="text" value="Y / N"/>
If yes, please provide the network/service provider name:	

Part Five – Intermediary Fees

Advised Fees

Please indicate the level of initial adviser charges and/or ongoing adviser charges agreed. If you have not agreed that payments should be made from your portfolio to your adviser then please indicate 'Nil'. Any initial charge agreed with your adviser is taken from your payment(s) and paid to your adviser before your funds are invested.

Initial adviser charge (Tick one box only)	<input type="checkbox"/>	Fixed Amount (£)	<input type="text"/>
	<input type="checkbox"/>	Percentage (%)	<input type="text"/>
Ongoing adviser charge (Tick one box only)	<input type="checkbox"/>	Fixed Amount (£)	<input type="text"/>
	<input type="checkbox"/>	Percentage (%)	<input type="text"/>

The 'Ongoing adviser charge' fixed amount or percentage stated above (whichever is relevant) is an annual amount, accrued each day. If you choose to pay on a percentage basis, this will be calculated on the value of your portfolio. We will pay your adviser monthly by selling assets from your portfolio.

Execution Only Commission

Please indicate how much commission should be paid to the intermediary and how much reinvested back into the portfolio for the benefit of the client.

Intermediary Initial Commission up to 2.5%	<input type="checkbox"/>	Taken By Intermediary (%)	<input type="text"/>
	<input type="checkbox"/>	Reinvested into portfolio (%)	<input type="text"/>
Intermediary Renewal Commission up to 0.5%	<input type="checkbox"/>	Taken By Intermediary (%)	<input type="text"/>
	<input type="checkbox"/>	Reinvested into portfolio (%)	<input type="text"/>

Part Six – Risk Warnings and Information about Investment Risk

- Share prices, and the prices of other investment instruments and products, can go down as well as up. This means that you may get back less than you originally invested in the Unicorn AIM IHT Tax & ISA Portfolio Service. In the case of equities generally, not only will their price and value vary but dividend payments may also fluctuate in line with the fluctuating trading performance of the issuing company.
 - Stock markets are volatile, which means that prices can move up and down sharply in the short term and can vary significantly depending on trading volumes in the market. If you instruct us to sell your investments during a down turn, you may be exposed to a greater risk of loss than you would if you waited for markets to recover. For this and other reasons, equity investments should usually be looked at as a medium to long term investment; generally that means investing for a period of 5 years and above to benefit from positive movements in the equity markets.
 - An investment in the Unicorn AIM IHT & ISA Portfolio Service should not be considered as a short term investment and may not be suitable for you if you consider it likely that you will have a short term need for a substantial proportion of the money you have invested.
 - Although markets and commentators typically track historical data and may use it when considering investment decisions, past performance is not a guide to future performance.
 - The extent and value of any tax advantages or benefits arising from the use of tax-advantaged services will vary according to individual circumstances and government legislation. The levels and bases of taxation may also change. You are recommended to seek advice from an FCA authorised person or an appropriately qualified tax adviser regarding the tax implications of any investment through the Unicorn AIM IHT & ISA Portfolio Service.
 - Investing in AIM listed, smaller capitalised companies is high risk and may expose you to a significant risk of losing your investment.
 - It may be difficult to obtain accurate information in order to determine the current value of your investment through the Unicorn AIM IHT & ISA Portfolio Service.
 - Many smaller quoted companies have small management teams and are highly dependent on the skill and commitment of a small number of individuals. The performance of these companies may therefore be adversely affected by the departure or unavailability of certain key personnel.
 - Smaller, AIM quoted companies commonly experience significant change and carry higher risk than is the case in larger or longer established quoted companies.
 - Force majeure events, which are events beyond the control of any party, including fire, flood, earthquake and other acts of God, terrorist attacks and war may affect a party's ability to perform its contractual obligations or may lead to the underperformance of an investee company.
 - WM Capital Management will use its best endeavours to invest in companies
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Risk Warnings and Information about Investment Risk (Cont.)

quoted on AIM which qualify under the Business Property Relief rules. However, WM Capital Management cannot guarantee that all investments will qualify for such relief and therefore accepts no liability in this regard.

- Following the admission of a company to the main market of the London Stock Exchange, Business Property Relief for Inheritance Tax purposes will cease.
- The levels and bases of reliefs from taxation may change or such reliefs may be withdrawn. The tax reliefs referred to in this Document are those currently available in accordance with current legislation and their value depends on your individual circumstances at the point of investment.
- An investment in an Income portfolio could result in additional capital gains relative to a Growth portfolio, which could result in a capital tax liability, as a result of selling shares to raise cash to pay fees, unless the investment is held in an ISA.
- An investment in an Income portfolio is likely to result in additional trading fees relative to the Growth portfolio as a result of selling shares to raise cash to pay fees.
- An investment in a Growth portfolio may result in a growing cash position if the level of dividends received exceeds the level of fees on the portfolio. Such cash will be reinvested into shares as appropriate but, until such time that it is reinvested, it will not qualify for Business Property Relief.
- Shares in AIM companies are illiquid and it may take some time to invest and disinvest your portfolio.
- Market makers may not be prepared to deal in all AIM quoted securities.
- While funds remain un-invested they will not be subject to market movements (either up or down). However, the two year holding period required for business property relief only starts from the date of investment in qualifying shares. WM Capital will use their best endeavours, subject to market conditions, to invest client's funds within 4 weeks of receipt of application.
- However, when we consider trading conditions to be unfavourable (i.e. periods of sustained market volatility), WM Capital will use their discretion to act in the best interest of the client and ensure a policy of best execution. As a result, at times it may take longer than the anticipated 4 weeks to fully invest the client's monies.

This list is not intended to be exhaustive and you should discuss the element of risk affecting your investments with your financial adviser.

Please provide a certified copy of the trustee deed and certified signatory list

Part Seven – Declarations

Trustee Declaration

By signing this form we declare that we:

1. have received, read and understood the Unicorn AIM IHT & ISA Portfolio Service brochure, including the risk factors explained within it.
2. have read and understood the Terms and Conditions of the Unicorn AIM IHT & ISA Portfolio Service and that this application is made on the terms therein.
3. have read and understood Reyker Securities Plc's Terms and Conditions and we understand and that this application is made on the terms therein.
4. have provided answers to all questions in full and to the best of our knowledge.
5. authorise Reyker Securities plc to hold the trust's investments, interest, dividends and other rights or proceeds in respect of these investments, and to hold any other cash until it is distributed or invested.
6. authorise Reyker Securities plc and WM Capital Management Ltd to provide information to our adviser/intermediary until notified otherwise.
7. authorise Reyker Securities plc and WM Capital Management Ltd to provide information about the trust portfolio to LightTower Partners so they can update my advisor/ intermediary.
8. have not received any advice as to the suitability or otherwise of the Unicorn AIM IHT & ISA Portfolio Service to the trusts financial situation from LightTower Partners, Unicorn Asset Management Limited, WM Capital Management Ltd or Reyker Securities plc.
9. authorise Reyker Securities plc to facilitate the adviser's fees and charges as set out in Part Five.
10. are the Trustees and Administrator acting on behalf of the trust named in Part Two of this application and that we have read and understood and agree to be bound by the Terms & Conditions of the Unicorn AIM IHT & ISA Portfolio Service.

Trustee Signature	
Trustee Name	
Date Signed	

Trustee Signature	
Trustee Name	
Date Signed	

Please provide a certified copy of the trustee deed and certified signatory list

Intermediary Declaration

Advised Sales

I declare that I:

1. am authorised to provide the necessary advice to retail clients.
2. have read and understood the Reyker Terms & Conditions for Intermediaries.
3. have read and understood WM Capital Management's terms and conditions for intermediaries.
4. have provided advice to my client and understood that responsibility for the suitability of this investment for my client lies with me.
5. have explained to my client the fees I will be paid in respect of this investment and the services that I will provide in return.
6. have carried out Anti Money Laundering checks on the applicant in accordance with the Terms of Business for Intermediaries.

Adviser Signature	
Adviser Name	
Date Signed	

Non-Advised Sales

I declare that:

1. I have read and understood the Reyker Terms & Conditions for Intermediaries.
2. I am authorised to receive commission in respect of this investment and I have explained to my client the commission that I will be paid in respect of this investment and any services that I will provide in return.
3. have carried out Anti Money Laundering checks on the applicant in accordance with the Terms of Business for Intermediaries.

Intermediary Signature	
Intermediary Name	
Date Signed	

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Important Information

Your capital is at risk and you may not get back the full amount invested and the tax treatment of your investments depend on your personal circumstances and may be subject to change. Past performance is not a reliable indicator of future results.

The availability of tax reliefs depends on investee companies maintaining their qualifying status.

Investments quoted on AIM are likely to have higher volatility and liquidity risk than securities on the London Stock Exchange Official List.

We recommend that you seek independent investment and tax advice before investing in our products.

WM Capital Management Ltd is authorised and regulated by the Financial Conduct Authority and recorded in the Register under reference no 601025.

Contact Details

This product is not suitable for all investors and potential investors should consult an FCA authorised person or an appropriately qualified tax adviser before making an application and if they have any questions.

FCA authorised advisers/brokers should contact LightTower Partners on the details below if they have any questions. Please be aware, however, that LightTower Partners is not authorised to provide financial advice.

020 7071 3940 | investor-relations@lighttowerpartners.co.uk
