

Private Client Financial Profile and Instructions

THE DIVERSIFIED PORTFOLIO SERVICE

CAM Reference

Client Name

Client Name

The information and instructions you supply in this document are essential for us to provide you with a portfolio that meets your needs – please complete all spaces.

Please note that all information provided will be dealt with in strict confidence.

1 Your Personal Details

PLEASE COMPLETE **ALL** SPACES

Client 1

Title: Mr/Mrs/Miss/Other: _____

Full Name _____

Date of Birth _____

National Insurance No. _____

Occupation _____

Address _____

Town/City _____

Post Code _____

Email Address _____

Telephone Numbers (Please tick preferred)

Home _____

Business _____

Mobile _____

Fax _____

Client 2

Title: Mr/Mrs/Miss/Other: _____

Full Name _____

Date of Birth _____

National Insurance No. _____

Occupation _____

Address _____

Town/City _____

Post Code _____

Email Address _____

Telephone Numbers (Please tick preferred)

Home _____

Business _____

Mobile _____

Fax _____

We may contact you from time to time regarding our other products and services which we consider to be of specific interest to you. However, if you would prefer not to receive this information, please tick this box

2 Your Time Horizon

Please tick this box if you anticipate utilising all (or a significant part) of your capital within the next five years.

If YES, please provide details

3 Your Investment Objectives and Risk Tolerance

The table below illustrates the investment objective and risk tolerance associated with each of the Cornelian Diversified Portfolios. Please select which Portfolio suits your desired investment objective and risk tolerance. If the Diversified Portfolio Service does not match either your investment objective or risk tolerance, please contact your Financial Adviser for independent advice.

PORTFOLIO	INVESTMENT OBJECTIVE	RISK TOLERANCE	BENCHMARK	Please tick ONE box to indicate your selection
The Cornelian Diversified Balanced Portfolio	This will produce a portfolio that is a blend of income and growth strategies.	LOW/MEDIUM The portfolio will be constructed using assets in our low, medium and high risk categories. We would expect to hold approximately 40% in low risk, 50% in medium risk and up to 10% in high risk assets. We would expect this combination of assets to fluctuate less than stock markets.	IMA Cautious Managed Sector	<input type="checkbox"/>
The Cornelian Diversified Growth Portfolio	This will result in a portfolio with the focus on generating capital growth.	MEDIUM The portfolio will be constructed using assets in our low, medium and high risk categories. We would expect to hold approximately 25% in low risk, 60% in medium risk and up to 15% in high risk assets. We would expect this combination of assets to fluctuate less than stock markets but more than a low/medium portfolio.	IMA Balanced Managed Sector	<input type="checkbox"/>

Risk Rating of Assets

In order to ensure that we include the appropriate assets in your portfolio we apply a risk rating to each asset in which we invest. Some types of assets fall into a single risk category. For example we regard all UK Government Stocks as Low Risk and all investments in unlisted private companies as high risk. When we invest in shares or funds we assess the risk of that particular share or fund. For example, although we regard the majority of FTSE 100 stocks as low risk some may fall into the medium or, in extreme cases, high risk category. Our risk assessment of all holdings is monitored on a monthly basis. Please note that if we change our risk rating we will re-assess that security but this will not necessarily lead us to sell that security.

Our broad risk classification by asset class is outlined as follows:

LOW RISK ASSETS

Eg: Cash, UK Government bonds, UK equities or managed funds assessed as low risk

MEDIUM RISK ASSETS

Eg: Some UK equities, overseas equities, property

HIGH RISK ASSETS

Eg: Equities in companies we classify as high risk, non investment grade bonds, some derivatives, geared products

4 The Staged Investment Option

The Staged Investment Option is available to clients who have at least £25,000 invested in the underlying Growth or Balanced Fund at the outset. This facility enables the client to hold cash in the portfolio which will be automatically invested in equal monthly instalments (the last working day of each month) over any time period up to one year.

Do you wish to use the Staged Investment Option? YES NO

If you have answered YES, please state the following:

(a) Total investment (minimum £75,000) £ _____

(b) Amount to be invested in Fund at outset (minimum £25,000) £ _____

(c) Remaining amount to be invested via the Staged Investment Option £ _____

(d) How many months (maximum 12 months) would you like your instalments to be invested over? _____ months

(Please note a one-off administration fee of £150 plus VAT is payable at the outset for this service).

5 Bank Account Details

Client 1

Bank Name _____

Bank Address _____

Sort Code _____

Account Name _____

Account Number _____

Client 2

Bank Name _____

Bank Address _____

Sort Code _____

Account Name _____

Account Number _____

6 Share Class

The CF Cornelian Balanced Fund and the CF Cornelian Growth Fund offer accumulation and income shares. Your income instruction will determine which type of shares will be bought for you as detailed in the following table. Please note your selection will apply to both discretionary and ISA portfolios if applicable.

Please read the descriptions of each income treatment and tick your preference.

	DESCRIPTION	Please tick ONE box
Income Paid Out	Any dividends and interest received on cash balances will be paid out to you by BACS to the bank account specified in section 5 on or around the 14th of January, April, July and October. If you choose this option, you will invest in the income shares of your chosen Fund.	<input type="checkbox"/>
Income Reinvested	Any dividends and interest received on cash balances will automatically be reinvested in the Fund on a monthly basis. If you choose this option, you will invest in the accumulation shares of your chosen Fund.	<input type="checkbox"/>

8 Instructions to us for Operating your Account

We are able to link client portfolios for reporting, investment management and investment performance. If you have more than one portfolio and you wish to link these please tick the box and detail below the portfolios to be linked (e.g. husband and wife).

NOTE: You can only link to a Diversified Portfolio that invests in the same Fund.

ADDRESS Please provide the primary address for correspondence (If different from address in section 1)

Client 1

Client 2

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REPORTING

You will receive a copy of the information provided by contract notes with your periodic report from Cornelian.

If in **addition** to this, you wish to receive contract notes on a transaction by transaction basis please tick this box

Reports will be sent to you automatically every six months. If you wish to receive quarterly reports please tick this box

(Quarterly reports incur an additional charge of £200 per annum plus VAT chargeable quarterly for portfolios under £1million in value annually, as at 5 April)

ON-LINE VALUATION SERVICE

Do you wish to use the on-line valuation service?

Client 1

YES NO

Client 2

YES NO

If YES, we will send your password confirmation and set-up instructions via email. Please provide your email address

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DETAILS OF YOUR PROFESSIONAL ADVISERS/THIRD PARTIES

Please complete below the details of your professional advisers and your instructions regarding reporting to them.

Please tick which of the following you wish us to provide to your professional advisers or other third party:

Client 1

Financial Adviser

Accountant

Other

Client 2

Financial Adviser

Accountant

Other

Duplicate valuations

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Year-end tax information (If you tick this section information will only be sent to your adviser unless otherwise specified)

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Do you want the third party to access your on-line valuation?

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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NAMES AND ADDRESSES OF PROFESSIONAL ADVISERS/THIRD PARTIES

Name

Name

Address

Address

Telephone No

Telephone No

Professional capacity

Professional capacity

9 Further Information

Please provide any further information which you believe may be relevant to Cornelian Asset Managers in connection with the provision of our professional services:

Client 1

Client 2

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10 Anti-Money Laundering Requirements

When you open an account with Cornelian Asset Managers Limited, we are required by law to check your identity. In order to verify the information you provide we may make searches about you with a credit reference or fraud prevention agency; this will include information from the Electoral Roll. The agencies will record the details of the search whether or not your application proceeds. We may ask you to supply at least one original document of confirmation of your identity, address or both which we will use along with any checks we may perform. Any documents provided to us will be recorded and copied for audit purposes as part of our anti-money laundering requirements. Acceptance of these terms and conditions represents your permission for the Investment Manager to access this information.

11 Confirmation

I understand that current information is essential and confirm that the above information is correct and complete to the best of my knowledge. I also confirm that I will be responsible for advising Cornelian Asset Managers of any material change to my circumstances as described above as this may affect Cornelian Asset Managers' advice and recommendations.

Client Name (Please print)

Client Name (Please print)

SIGNED BY CLIENT

SIGNED BY CLIENT

DATE

DATE

FOR USE BY CORNELIAN ASSET MANAGERS ONLY

Reviewed by Fund Manager:

Action required YES/NO

Signed

Summary of action

Date

Compliance check:

Initials

Date

Evidence of the identity of the above client(s) has been obtained and we have identified the client:

Admin Check

MLRO

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