

Alternative Investments Form

Form reference H113

Complete this form if you want to purchase a non-standard investment other than a commercial property or unlisted security.

You must complete sections 1 to 5.

Your financial adviser must complete section 6.

Transactions involving alternative investments are subject to an evaluation charge. We may reject your request, in which case the evaluation charge cannot be recovered. The evaluation charge applies to each transaction.

Conditions apply to the investments we will permit. Refer to H113G Alternative Investments Form guidance for details.

If the proposed investment is a non-mainstream pooled investment (NMPI) we will only be able to process your request if you are a certified sophisticated investor. For all other investments, you must have received advice from your financial adviser or be a certified sophisticated investor.

Quick actions:

1. Member details

Forename(s)

Hornbuckle plan number

Surname

Email

Date of birth

D D M M Y Y

2. Operator details

Firm name

Contact name

Address

Tel no

Email

Postcode

Regulator name

Regulator reference

3. Investment details

Name

Domicile

Regulator name

Regulator reference

Asset class

Unregulated collective investment scheme (UCIS)

Qualified investor scheme (QIS)

Special purpose vehicle (SPV)

Other (please specify)

Asset description

Units in exempt unit trust

Units in exempt property unit trust (EPUT)

Shares in special purpose vehicle

Shares in limited partnership (LP)

Other (please specify)

Special conditions

Cutoff / closing date

Lock-in period

D D M M Y Y

Purchase details

Quantity of shares / units

Price per share / unit

£

Please note that all amounts paid from your Hornbuckle plan will be paid in Sterling. Any charges incurred to convert the payment to another currency will be payable from your plan.

Total consideration

£

What percentage of the vehicle's total assets does your investment represent?

%

What percentage of the vehicle's total assets is already owned by you and anyone connected to you?

%

Are you now, or have you ever been a director of the vehicle or any company involved in its operation?

Yes

No

Are you now, or have you ever been an employee of the vehicle or any company involved in its operation?

Yes

No

Do you have any other connection with the vehicle except that of an arm's length investor?

Yes

No

If "yes", please provide details

4. Transaction details

How will your plan acquire the investment?

Purchase from
the operator

Purchase from you or a
connected person

Purchase from an
unconnected person

In specie contribution

In specie transfer

If you will be making an in specie contribution you will also need to complete the relevant contribution form.

If you will be making an in specie transfer you will also need to complete H105 Transfer Form.

5. Member declarations

Please accept this as my instruction to purchase the investment on the terms I have outlined in sections 3 and 4 of this form.

I acknowledge and accept that neither Embark Services Limited nor Hornbuckle Mitchell Trustees Limited have provided me with any advice as to the suitability of the investment for my financial needs and circumstances, and that I am solely responsible for the choice of the investment.

I agree to indemnify and hold blameless Embark Services Limited and Hornbuckle Mitchell Trustees Limited with respect to any losses to my Hornbuckle SIPP plan and to me personally as a result of my decision to place the investment.

I acknowledge that Embark Services Limited may refuse to place the investment according to my request if my request contravenes the terms of the Permitted Investment Schedule, or for any other reason at your absolute discretion.

I acknowledge that my instruction will not be executed until Embark Services Limited has been able to obtain and review all documents and information relating to the investment to your complete satisfaction, and agree to indemnify and hold blameless Embark Services Limited and Hornbuckle Mitchell Trustees Limited with respect to any losses to my Hornbuckle SIPP plan and to me personally resulting from any delays in executing my instruction.

Member signature

Print name

Date

D D M M Y Y

6. Adviser details

Adviser name Firm name Firm FCA reference

Do you or your firm have any connection with the operator or manager of the investment to which this form relates?

Yes

No

If "yes", please provide details

Have you provided a personal recommendation to the plan member in relation to their investment?

Yes

No

Have you established that the plan member is a "certified sophisticated investor" as defined in COBS 4.12.7R?

Yes

No

If "yes", please attach a copy of H119 Member Certification Form.

If you have not established that the member is a certified sophisticated investor we will be unable to process the investment request.

Have you agreed with the plan member that we should pay you a fee from the SIPP plan in relation to this transfer?

Yes

No

If "yes", please make sure that you and the plan member have completed H108 Adviser Charging Form.

Adviser signature

Date

D D M M Y Y

Checklist

Before submitting this form please make sure:

You have completed all of the relevant sections of the form.

You have read and understood the guidance on completing the form contained in H113G Alternative Investments Form guidance.

You have attached copies of any additional documents required, as set out in appendix I of H113G Alternative Investments Form guidance.

You have attached copies of any application / subscription forms required in order to effect the purchase or transfer of the investment.

You have attached a completed H119 Member Certification Form, where your adviser has confirmed that you are a certified sophisticated investor.

Your financial adviser has completed section 6 of the form.

Where to send

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Get in touch

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