

AiM IHT Service

SUITABILITY QUESTIONNAIRE



Suitability Questionnaire

Please note this Application Form contains interactive boxes, to help you fill in the Form online. You have the choice of either filling in this Application Form online or on hard copy. In order to use this functionality please download and open the form in the latest version of Adobe Acrobat. You must print and sign a hard copy of this Application Form.

If you are a direct or execution-only applicant and have not been advised on your application, we need to ensure the suitability of this investment for you. Please complete this form and return it alongside your application by email to enquiries@stellar-am.com or by post to Stellar Asset Management Limited, 20 Chapel Street, Liverpool, L3 9AG. We always recommend that you seek specialist independent tax and financial advice before investing. Please note Stellar does not offer tax or investment advice.

Investment Objective

The Stellar AiM IHT Service is designed to provide investors with access to a portfolio of investments in AiM companies, which qualify for IHT benefits and have the potential for capital appreciation. The investment is designed to be held for the medium to long term because investments in AiM companies must be held for at least two years (and at death) in order to benefit relief from IHT. Investments in AiM companies are higher risk than shares quoted on the main market of the London Stock Exchange.

Applicant details

Title	
Forename(s)	
Surname	
Date of birth	National insurance no.

IHT tax relief

The service may not be an appropriate investment if you cannot take advantage of relief from IHT.

Do you have a chargeable estate greater than £325,000? Yes No

Are you seeking to benefit from inheritance tax relief?
(after two years from the date of the underlying investments) Yes No

Are you aware that we cannot guarantee this investment will qualify for IHT relief and that tax legislation could change in the future, which may cause this investment to no longer qualify for the relevant reliefs? Yes No

Knowledge and understanding

Have you invested in the Stellar AiM IHT Service before? Yes No

Have you received any specific investment advice?
(e.g. from a regulated intermediary/tax specialist). Yes No

Excluding this application, please confirm which of the following investments you've made within the last five years.

Tax products (e.g. VCTs, EISs, Business Relief)

Investment in an unquoted company directly or through a network or syndicate

AiM listed or other smaller quoted companies

On average, how much do you invest in these types of investments each year?

Less than £5,000 £5,001 - £25,000 £25,001 - £50,000

£50,001 - £100,000 More than £100,000

Do you hold a professional financial qualification?
(e.g. ACA, ACCA, or equivalent) Yes No

Do you, or have you ever, had a professional role in financial
services? (e.g. finance director, financial adviser, accountant
or investment manager) Yes No

Financial situation

It is important that you have sufficient cash reserves or liquid assets to maintain your standard of living should the value of the investment fall. IHT investments are designed to be held for the medium to long term.

Please indicate the approximate value of your net investable assets (this should not include the value of your home or pension and you should deduct the value of any outstanding loans):

Less than £150,000 £150,001 - £250,000 £250,001 - £500,000

£500,001 - £1 million £1,000,001 - £2 million More than £2 million

Do you have any significant capital commitments which
cannot be funded from your annual disposable income or
liquid savings? Yes No

If you answered 'yes' to this question, please confirm how this commitment will be funded below.

Do you anticipate any significant changes to your financial
situation over the investment period that might affect your
decision to invest? Yes No

If you answered 'yes' to this question, please provide further details below.

If you were to lose the entire amount you propose to invest
in the Stellar AiM IHT Service would your ability to meet your
regular financial commitments be impeded? Yes No

Do you have sufficient assets and/or income to afford for this
investment to be tied up for the medium to long term (more
than five years)? Yes No

Risk tolerance and capital loss

Please read the information below and rate how strongly you agree with the following statements.

This investment will be made into a portfolio of AiM-quoted companies. AiM companies are higher risk than shares quoted on the main market of the London Stock Exchange and investors should understand that they might fall or rise in value more sharply than those listed on the main market of the London Stock Exchange. As such, this investment would not be expected to appeal to cautious investors who would prefer to take less risk with their wealth.

I would describe myself as a cautious investor.

Strongly disagree

Disagree

Neither agree nor disagree

Agree

Strongly agree

I am willing to accept the risk of significant falls in value.

Strongly disagree

Disagree

Neither agree nor disagree

Agree

Strongly agree

I am happy to accept a high level of risk to my capital, knowing that this investment seeks to qualify for IHT tax reliefs.

Strongly disagree

Disagree

Neither agree nor disagree

Agree

Strongly agree

Confirmations

Please tick the following boxes to confirm that you:

Understand the high-risk investment objectives of the service (including the risk factors detailed in the Service literature) and that these are consistent with your personal financial objectives.

Will not need income from, or access to, the capital invested as the nature of the investment requires you to hold the assets for a minimum of two years and at death to benefit from the IHT relief.

Wish to take advantage of IHT reliefs.

Applicant declaration

By signing below you confirm that you have provided full and accurate information on your personal and financial circumstances as at the date of the signature below and agree to notify us in writing immediately if this changes.

Applicant signature

Forename(s) *(Please print)*

Surname *(Please print)*

Date

or Power of attorney signature (if applicable)

Forename(s) *(Please print)*

Surname *(Please print)*

Date

Get in touch

We're here to help

Investors

We recommend you speak to a Financial Adviser in the first instance, as we cannot offer investment or tax advice.

If you have any other questions please contact us on 020 3195 3500 or email us at enquiries@stellar-am.com

For further information, please visit www.stellar-am.com

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