

AiM IHT Service

TRUST APPLICATION FORM



Application Form

This form is to be used for all applicants. Supplementary forms will be required for any transfers.

Definitions

Stellar Asset Management Limited - Manager

Third Platform Services Limited - Custodian and Administrator

Application checklist

Please ensure that the required information in each section is fully completed.

Trust and Trustee details to be completed by the Trustees and power of attorney where applicable

Bank details to be completed by the Trustees

Adviser details to be completed by the adviser

Adviser charges to be completed by both the Trustees and the adviser

Declaration to be signed by both the Trustees and the adviser

Confirmation of Verification of Identity (COVI) to be completed by the adviser.

If applicable:

A GIA transfer form

A Suitability Questionnaire - for direct or execution-only applications

Next steps

Send your completed Application Form and enclosures to:

Stellar AiM IHT Service

Stellar Asset Management Limited

20 Chapel Street

Liverpool L3 9AG

Please contact us on 020 3195 3500 if you have any questions relating to the completion of this Application Form.

Paying by cheque

- ★ Cheques should be made payable to "TPS Re Stellar Client Money".
- ★ Payment should be made by means of a cheque drawn on an account in the name of the Trust.

Paying by bank transfer

- ★ Bank transfers should be made payable to “TPS Re Stellar Client Money”.
- ★ To pay by bank transfer, you will need your client reference number which must be quoted as the reference on any transfer.
- ★ Your client reference number will be sent to you along with the bank details for the Custodian once we have received your application and set up the account.

Please note this Form contains interactive boxes, to help you fill in the Form online. You have the choice of either filling in this 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 Form.

Source of funds

Please provide a brief description of the source of funding for your application. e.g. savings, existing investments, proceeds from property sale.

Trust details

Name of Trust

Date of Settlement

Trust legal identifier (LEI) code

Shareholder ID

Registered Address

Postcode

Unique Tax Reference (UTR)

Country of Establishment

Contact Email

Tax District

Contact Name

Contact Number

Trustee details - *please provide details of all trustees*

Trustee 1

Trustee 2

Trustee 3

Trustee 4

Bank details

Please provide details of the bank account you would like any funds (e.g. withdrawals) which arise from your account to be credited to.

Trust

Trust self-certification

Tax regulations require us to collect information about your Trust's and Trustee's tax residency and tax classifications. If the Trust has more than one country of tax residency, please complete one self-certification form for each country. Notes are set out on page 12.

Which country is your Trust resident in?

What is your Trust's tax indication number (TIN)?

What is your organisation's classification under FATCA? Please tick ONE.

UK Financial Institution or a Partner Jurisdiction Financial Institution²

Participating Foreign Financial Institution²

Non-Participating Foreign Financial Institution²

Financial Institution resident in the US or a US territory²

Deemed Compliant Foreign Financial Institution (besides those listed above)²

Exempt Beneficial Owner³

Active Non-Financial Entity⁴

Passive Non-Financial Entity⁵

What is your organisation's classification under CRS? Please tick ONE.

1. Financial institution²

2. A professionally managed Investment Entity outside of a CRS Participating Jurisdiction⁸

3. Active Non-Financial Entity⁴ which is regularly traded on an established securities market or affiliated thereto, a Government Entity or an International Organisation

4. Active Non-Financial Entity (other than those listed above)

5. Passive Non-Financial Entity⁵

If your organisation is a financial institution, is it an Investment Entity^{6?}

Yes

No

If you have ticked 2, 4 or 5, or answered "yes" to being an Investment Entity, you are required to submit individual tax residence self certifications for each of the Controlling Persons⁷ below.

Controlling person self certification

Trustee 1

Do you pay tax in the UK?	Yes	No	UK TIN	
Do you also pay tax in another country?	Yes	No	Country	TIN

Trustee 2

Do you pay tax in the UK?	Yes	No	UK TIN	
Do you also pay tax in another country?	Yes	No	Country	TIN

Trustee 3

Do you pay tax in the UK?	Yes	No	UK TIN	
Do you also pay tax in another country?	Yes	No	Country	TIN

Trustee 4

Do you pay tax in the UK?	Yes	No	UK TIN	
Do you also pay tax in another country?	Yes	No	Country	TIN

Subscription

Please let us know how you would like to invest in Stellar AiM IHT Service by ticking the relevant boxes below (you may complete more than one).

1. Initial GIA or GIA top-up subscription

I/we would like to invest (Minimum Investment £40,000)

Please see page 2 of this Application Form for payment details.

Are new funds coming from the Trust's bank account?

2. GIA Transfer

I wish to make a transfer from an existing GIA(s) of approximately £

Please complete a GIA Transfer Form for each GIA you hold with a different manager.

Total investment (1+2) £

Adviser details

Financial Adviser

Paraplanner

Title

Forename(s)

Surname

Role

Address (if different)

FCA individual reference no.

Postcode

Telephone no.

Email address

Adviser firm details

Registered name

FCA Firm reference no.

Registered address

Postcode

Telephone no.

Authorisation

FCA

PRA

Appointed Representative

Appointed Representative details (if applicable):

Principal Firm name

Principal Firm FCA reference no.

Network details (if applicable):

Network name (if different from Principal)

Network Firm FCA reference no.

Administrator or network details

Name	Role
Address (if different)	
Postcode	Telephone no.
Email	

Please select primary contact for correspondence

Financial Adviser

Paraplanner

Administrator or network

We will provide copies of, or access to, all correspondence and information provided to you regarding your investment, primarily in electronic format, via our portal, which is accessible through our website www.stellar-am.com. Please provide an email address, to allow us to register you for our portal service.

Email

Please provide the bank account details for adviser charges

Account name

Bank sort code

Account number

Stellar reserves the right to withhold adviser/intermediary charges if we are not fully satisfied that you are authorised under the Financial Services and Markets Act 2000 or exempt from authorisation.

Adviser charges

This is an advised investment Yes

Initial adviser charge (fixed amount):

£

Or

%

Ongoing adviser charge:

£

Or

%

The initial adviser charge is taken from your investment and paid to your adviser which reduces the funds to be invested. The ongoing adviser charge amount or percentage stated (whichever is relevant) is an annual amount accrued on a daily basis. If you choose to pay on a percentage basis, this will be calculated on the value of your portfolio. We will pay your adviser quarterly and may sell holdings from your portfolio to facilitate this charge.

This is an execution-only investment Yes

I have not been advised but my intermediary is permitted to receive commission as stated in section 4 in compliance with COBS 2.3A of the FCA Handbook (e.g. execution-only with enhanced services provided). Please provide a reason below.

I agree to these charges

Applicant signature (or power of attorney)

First Trustee Signature

Second Trustee Signature

Third Trustee Signature

Fourth Trustee Signature

Adviser signature

Declaration

By the Applicants

By signing this form, we hereby declare that:

- a) All monies invested or to be invested in the Service, belong to the trust named in section A (the 'Trust');
- b) To the best of our knowledge and belief the information in this Application Form is correct, and we will inform Stellar immediately of any change that may affect this information;
- c) We agree, on behalf of the Trust, to all of the provisions of the Service Agreement (including the terms and conditions, fees and any other schedules contained in the Terms and Service Agreement and the Brochure dated April 2026 as amended from time to time (together the 'Terms and Conditions'), which we have fully understood and we understand that by signing and completing this Application Form, the Trust shall be deemed to have entered into and shall be bound by the Terms and Conditions;
- d) We have read and understood the terms and the key risks set out in the Terms and Conditions;
- e) We understand that you will rely on our confirmation that we have read the Terms and Conditions and that you will, accordingly, rely on its terms as the basis of the relationship between us;
- f) We agree to the provisions of the Terms and Conditions and the privacy policy of the Custodian, a copy of which is available on request;
- g) We agree to the adviser charges as set out in this Form.
- h) We agree to Stellar and/or the Custodian verifying our details by undertaking an electronic search against a public or private database and understand that Stellar may use my details in future to meet regulatory obligations;
- i) We confirm that none of the Trustees are US persons for the purposes of US Federal Income Tax and that we are not acting for, or on behalf of a US person. We understand that a false statement or misrepresentation of tax status by a US person could lead to penalties under US law. We agree that if one of the Trustee's tax status changes or a Trustee becomes a US citizen or a US resident, we will notify you within 30 days;
- j) We undertake to advise Stellar within 30 days of any change in circumstances which affect the Trust's or any of the Trustee's tax residency status or causes the information contained herein to become incorrect or incomplete;
- k) We acknowledge that the information contained in this Application Form and information about me may be provided to HMRC and exchanged with the tax authorities of another country or countries in which the applicant may be tax resident pursuant to inter-governmental agreements to exchange financial account information;
- l) We authorise Stellar to arrange safe-keeping of my cash investments, interest, dividends and any other rights or proceeds from those investments and any other cash; and
- m) We authorise Stellar to manage the Trust's investments in the Service in accordance with the Service Agreement;
- n) We consent to personal information obtained in relation to the Trust and the Trustees portfolio being handled by Stellar and its delegates, agents or associates in accordance with this application and data protection legislation in force in the United Kingdom from time to time. Information in relation to the Trust and the Trustees will be held, used, disclosed and processed for the purposes of
 - i) managing and administering the Portfolio and any related account on an on-going basis;
 - ii) for any other specific purpose where I have given specific consent to do so;
 - iii) to carry out statistical analysis and market research;
 - iv) to comply with any applicable legal or regulatory obligations including company law obligations and anti-money laundering legislation and rules; and
 - v) for other legitimate business interests of my Portfolio.

First Trustee Signature

Forename(s)

Surname

Date

Second Trustee Signature

Forename(s)

Surname

Date

Third Trustee Signature

Forename(s)

Surname

Date

Fourth Trustee Signature

Forename(s)

Surname

Date

Declaration (continued)

By the Financial Adviser or Intermediary

By signing this form, I agree that:

- a) I am authorised and regulated by The Financial Conduct Authority (or the equivalent body in an EU member state) to advise on and transact in investments in the UK or the EU;
- b) I consent to Stellar and the Custodian placing reliance on me in carrying out verification checks in line with the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2019 and JMLSC Guidance ('Money Laundering Regulations'), as amended;
- c) I have complied with the requirements of the Money Laundering Regulations currently in force and have duly completed the attached Confirmation of Verification of Identity (COVI) after carrying out the identification and verification checks to establish the identity of the applicant;
- d) In respect of advised applications, I have made a personal recommendation and certify that I have undertaken an assessment of the applicant's expertise and circumstances and confirm that this investment is appropriate for the applicant complying with COBS 9 suitability;
- e) In respect of advised applications, I consent to Stellar relying on my assessment and understand that Stellar reserve the right to request suitability reports;
- f) I have read and understood the Stellar Terms of Business for Intermediaries;
- g) I agree to be bound by these Terms of Business; and
- h) As an Appointed Representative, I warrant and represent that my principal also accepts the Terms of Business for Intermediaries.

Adviser name

Adviser signature

Date

Notes

In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with HMRC. Please complete all sections above in the Trust Self Certification as directed. If you have any questions about your organisation's classifications, please contact your tax advisor. Please see the notes below for key definitions. If any information provided changes in the future, please ensure you advise Stellar of the changes promptly. Please be advised that we may ask for further information dependent on your response to these questions and on an ongoing basis.

- 1) **Tax Regulations** The term "Tax Regulations" refers to regulations created to enable automatic exchange of information and include FATCA (which refers to the Foreign Account Compliance provisions contained in the US Hire Act 2010), various Agreements to Improve International Tax Compliance entered into between the UK and its Crown Dependencies and its Overseas Territories and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information.
- 2) **Financial Institution** The term "Financial Institution" means a Custodial Institution, a Depository Institution, an Investment Entity⁶, or a Specified Insurance Company as defined for the purposes of FATCA. The same definitions apply to the UK's Agreements to Improve International Tax Compliance. Please see the relevant Tax Regulations for the classification definitions that apply to Financial Institutions.
- 3) **Exempt Beneficial Owner** The term "Exempt Beneficial Owner" means:
 - (i) a Governmental Entity;
 - (ii) an International Organisation (examples of which include The International Monetary Fund, The World Bank, The International Bank for Reconstruction and Development and The European Community — for a full list please see the relevant guidance issued by HMRC, or the IRS);
 - (iii) a Central Bank; or
 - (iv) a UK registered pension scheme, or non-UK pension scheme falling within the definition of Exempt Beneficial Owner for the purpose of FATCA.
- 4) **Active Non-Financial Entity (NFE)** A NFE is any entity that is not a Financial Institution. An Active NFE is any NFE that meets one of the following criteria:
 - (i) Less than 50 per cent of the NFE's gross income for the preceding calendar year or other appropriate reporting period is passive income (such as dividends, interest, royalties, annuities and rent) and less than 50 per cent of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
 - (ii) The stock of the NFE is regularly traded on an established securities market or the NFE is a related entity of an entity, the stock of which is traded on an established securities market;
 - (iii) The NFE is a government, a political subdivision of such government, or a public body performing a function of such government or a political subdivision thereof, or an entity wholly owned by one or more of the foregoing;
 - (iv) Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution. However the entity will not qualify as an Active NFE if it functions (or holds itself out to be) an investment fund, such as a Private Equity Fund, Venture Capital Fund, Leveraged Buyout Fund or any Investment Vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes. In these circumstances the entity will be a passive NFE;
 - (v) The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution; provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE;
 - (vi) The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets, or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;
 - (vii) The NFE primarily engages in financing and hedging transactions with or for "Related Entities" that are not Financial Institutions, and does not provide financing or hedging services to any entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution; or
 - (viii) The entity is a Non-Profit Organisation. The term "Non-Profit Organisation" means an entity that meets all of the following criteria:
 - a. It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;
 - b. It is exempt from income tax in its country of residence;
 - c. It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
 - d. The applicable laws of the entity's country of residence or the entity's formation documents do not permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or noncharitable entity other than pursuant to the conduct of the entity's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the entity has purchased; and
 - e. The applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organisation, or escheat to the government of the entity's country of residence or any political subdivision thereof.

Notes (continued)

- 5) **Passive Non-Financial Entity (PNFE)** A Passive NFE is any NFE that is not an Active NFE.
- 6) **Investment Entity** The term "Investment Entity" means any entity:
- (i) that primarily conducts as a business one or more of the following activities or operations for or on behalf of a customer:
 - a. trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.), foreign exchange, interest rate and index instruments, transferable securities, or commodity futures trading.
 - b. individual and collective portfolio management, or
 - c. otherwise investing, administering or managing Financial Assets or money on behalf of other persons, or
 - (ii) the gross income of which is primarily attributable to investing, reinvesting or trading in Financial Assets, if the entity is managed by another entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company or an Investment Entity described in (i) above. An entity is treated as primarily conducting as a business one or more of the activities described in (a), or an entity's gross income is primarily attributable to investing, reinvesting, or trading in Financial Assets for the purposes of (b) if the entity's gross income attributable to the relevant activities equals or exceeds 50 per cent of the entity's gross income during the shorter of: (i) the three-year period ending on 31 December of the year preceding the year in which the determination is made or (ii) the period during which the Entity has been in existence. The term "Investment Entity" does not include an entity that is an Active NFE because it meets as of the criteria in (iv) to (vii) in the definition of Active NFE above.
- 7) **Controlling Persons** The term "Controlling Persons" means the natural persons who exercise control over an entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" must be interpreted in a manner consistent with the Financial Action Task Force Recommendations.
- 8) **Participating Jurisdiction** The term "Participating Jurisdiction" means a jurisdiction which has an agreement in place to exchange information in accordance with the OECD Common Reporting Standard.

Confirmation of verification of identity (COVI)

1. The first Trustee's details (see notes below)

Trustee 1	
Current address	
Postcode	
Previous address (if changed in the last three years)	
Postcode	Date of birth

2. Confirmation

I/we confirm that:

- i. The information in section 1, above, was obtained by me/us in relation to the trustee;
- ii. The Trustee named in section 1 is acting on his or her own behalf;
- iii. The Trustee is
 - a. not a PEP (Politically Exposed Person) or a person known to be a close associate of a PEP;
 - b. a PEP or a person known to be a close associate of a PEP;
- iv. There are procedures in place to monitor the activities of the Trustee and we will report any suspicious activities to the appropriate authorities, and where appropriate to Stellar and the Custodian; **and**
- v. The evidence I/we have obtained to verify the identity of the Trustee:
 - a. meets the guidance for standard evidence required by the FCA, the current guidance issued by JMLSG and the Money Laundering Regulations; **OR**
 - b. exceeds the standard evidence required by the FCA, the current guidance issued by JMLSG and the Money Laundering Regulations (written details of the further verification evidence taken are attached to this confirmation).
- vi. I/We agree to Stellar and the Custodian placing reliance on me to carry out the appropriate level of due diligence on the Trustee.
- vii. I/We will provide immediately on request from Stellar and/or the Custodian (or at the latest within two working days) copies of any identification and verification data and any other relevant documentation on the identity of the Trustee or, where applicable, the beneficial owner;
- viii. I/We will retain copies of the data and documents referred to above for six years beginning on the date of this certificate;
- ix. I am/We are not subject to any disciplinary action or enquiry from the FCA or any other regulator nor do we know of any reason for the institution of such enquiry.

Additional confirmation of verification of identity (COVI)

1. The second Trustee's details (see notes below)

Trustee 2	
Current address	
Postcode	
Previous address (if changed in the last three years)	
Postcode	Date of birth

2. Confirmation

I/we confirm that:

- i. The information in section 1, above, was obtained by me/us in relation to the trustee;
- ii. The Trustee named in section 1 is acting on his or her own behalf;
- iii. The Trustee is
 - a. not a PEP (Politically Exposed Person) or a person known to be a close associate of a PEP;
 - b. a PEP or a person known to be a close associate of a PEP;
- iv. There are procedures in place to monitor the activities of the Trustee and we will report any suspicious activities to the appropriate authorities, and where appropriate to Stellar and the Custodian; **and**
- v. The evidence I/we have obtained to verify the identity of the Trustee:
 - a. meets the guidance for standard evidence required by the FCA, the current guidance issued by JMLSG and the Money Laundering Regulations; **OR**
 - b. exceeds the standard evidence required by the FCA, the current guidance issued by JMLSG and the Money Laundering Regulations (written details of the further verification evidence taken are attached to this confirmation).
- vi. I/We agree to Stellar and the Custodian placing reliance on me to carry out the appropriate level of due diligence on the Trustee.
- vii. I/We will provide immediately on request from Stellar and/or the Custodian (or at the latest within two working days) copies of any identification and verification data and any other relevant documentation on the identity of the Trustee or, where applicable, the beneficial owner;
- viii. I/We will retain copies of the data and documents referred to above for six years beginning on the date of this certificate;
- ix. I am/We are not subject to any disciplinary action or enquiry from the FCA or any other regulator nor do we know of any reason for the institution of such enquiry.

Additional confirmation of verification of identity (COVI)

1. The third Trustee's details (see notes below)

Trustee 3	
Current address	
Postcode	
Previous address (if changed in the last three years)	
Postcode	Date of birth

2. Confirmation

I/we confirm that:

- i. The information in section 1, above, was obtained by me/us in relation to the trustee;
- ii. The Trustee named in section 1 is acting on his or her own behalf;
- iii. The Trustee is
 - a. not a PEP (Politically Exposed Person) or a person known to be a close associate of a PEP;
 - b. a PEP or a person known to be a close associate of a PEP;
- iv. There are procedures in place to monitor the activities of the Trustee and we will report any suspicious activities to the appropriate authorities, and where appropriate to Stellar and the Custodian; **and**
- v. The evidence I/we have obtained to verify the identity of the Trustee:
 - a. meets the guidance for standard evidence required by the FCA, the current guidance issued by JMLSG and the Money Laundering Regulations; **OR**
 - b. exceeds the standard evidence required by the FCA, the current guidance issued by JMLSG and the Money Laundering Regulations (written details of the further verification evidence taken are attached to this confirmation).
- vi. I/We agree to Stellar and the Custodian placing reliance on me to carry out the appropriate level of due diligence on the Trustee.
- vii. I/We will provide immediately on request from Stellar and/or the Custodian (or at the latest within two working days) copies of any identification and verification data and any other relevant documentation on the identity of the Trustee or, where applicable, the beneficial owner;
- viii. I/We will retain copies of the data and documents referred to above for six years beginning on the date of this certificate;
- ix. I am/We are not subject to any disciplinary action or enquiry from the FCA or any other regulator nor do we know of any reason for the institution of such enquiry.

Additional confirmation of verification of identity (COVI)

1. The fourth Trustee's details (see notes below)

Trustee 4	
Current address	
Postcode	
Previous address (if changed in the last three years)	
Postcode	Date of birth

2. Confirmation

I/we confirm that:

- i. The information in section 1, above, was obtained by me/us in relation to the trustee;
- ii. The Trustee named in section 1 is acting on his or her own behalf;
- iii. The Trustee is
 - a. not a PEP (Politically Exposed Person) or a person known to be a close associate of a PEP;
 - b. a PEP or a person known to be a close associate of a PEP;
- iv. There are procedures in place to monitor the activities of the Trustee and we will report any suspicious activities to the appropriate authorities, and where appropriate to Stellar and the Custodian; **and**
- v. The evidence I/we have obtained to verify the identity of the Trustee:
 - a. meets the guidance for standard evidence required by the FCA, the current guidance issued by JMLSG and the Money Laundering Regulations; **OR**
 - b. exceeds the standard evidence required by the FCA, the current guidance issued by JMLSG and the Money Laundering Regulations (written details of the further verification evidence taken are attached to this confirmation).
- vi. I/We agree to Stellar and the Custodian placing reliance on me to carry out the appropriate level of due diligence on the Trustee.
- vii. I/We will provide immediately on request from Stellar and/or the Custodian (or at the latest within two working days) copies of any identification and verification data and any other relevant documentation on the identity of the Trustee or, where applicable, the beneficial owner;
- viii. I/We will retain copies of the data and documents referred to above for six years beginning on the date of this certificate;
- ix. I am/We are not subject to any disciplinary action or enquiry from the FCA or any other regulator nor do we know of any reason for the institution of such enquiry.

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

Stellar Asset Management Limited
20 Chapel Street,
Liverpool,
L3 9AG

Registered in England and Wales No. 06381679. Stellar Asset Management Limited is authorised and regulated by the Financial Conduct Authority.

AIM-TA-0426