

The Stellar ITS

TRUST APPLICATION FORM



Advised Application Form

Don't invest unless you're prepared to lose all the money you invest. This is a high-risk investment. Take 2 minutes to learn more. Please refer to the Risk Summary on page 11 of the Brochure.

Application checklist

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

- A) Trust and Trustee details to be completed by the Trustees
- B) Subscription and regular withdrawals to be completed by the Trustees
- C) Bank details to be completed by the Trustees
- D) Trust Self-Certification to be completed by the Trustees
- E) Adviser details to be completed by the adviser
- F) Adviser charges to be completed by both the Trustees and the adviser
- G) Payment details to be completed by the Trustees
- H) Declaration to be signed by both the Trustees and the adviser
- I) Confirmation of Verification of Identity (COVI) to be completed by the adviser for each Trustee

Next steps

Send your completed Application Form and enclosures to:

**The Stellar ITS
Stellar Asset Management Limited,
Woodside Corporate Services Limited, First Floor,
12-14 Mason's Avenue, London, EC2V 5BT**

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

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.

A) Trust details

Name of Trust	
Date of Settlement	(DD/MM/YY)
Trust legal identifier (LEI) code	
Shareholder ID	
Registered Address	
Postcode	Tax District
Tax Reference	Contact Name
Country of Establishment	Contact Number
Contact Email	

Trustee details - *please provide details of all trustees*

Trustee 1

Address		
Title		Postcode
Forename		Surname

Trustee 2

Address		
Title		Postcode
Forename		Surname

Trustee 3

Address		
Title		Postcode
Forename		Surname

Trustee 4

Address		
Title		Postcode
Forename		Surname

B) Subscription and regular withdrawals

Investment amount: £

Regular withdrawals

Please select one of the following options with regards to any returns generated. Any regular withdrawals will be credited to the bank account in section C.

Capital growth - any returns generated will remain in the service **OR**

Receive regular withdrawals - You would like to receive withdrawals at the following intervals

Quarterly

Six-monthly

Annually

Required percentage withdrawal

%

Please provide your required withdrawal amount as an annual percentage of the subscription amount above. Please note that if the withdrawal amount is higher than the returns generated, the value of your investment will reduce.

C) Bank details

Please provide details of the bank account that you would like any funds (e.g. Regular Withdrawals) which arise following your application to be credited to.

Trust

Bank name

Account name

Account no.

Bank sort code

Building Society reference

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

D) Trust self-certification

Tax regulations require us to collect information about your Trust's and Trustees 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 provided from page 9.

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^{6,7}

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 Persons below

Controlling person self certification

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

E) About the adviser

Company

Title

Forename

Surname

Address

Postcode

FCA No.

Telephone no.

Email address

Are you part of a network/service provider? Yes No

Please detail network/
service provider name
and address

About the administrator to the adviser

Company	
Title	
Forename	
Surname	
Address	
Postcode	Telephone no.
Email address	

Please provide the email address for adviser charging statements

Email address

Please provide the bank account details for Stellar to pay your adviser charges by BACS

Account name
Bank sort code
Account no.

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

F) 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 six monthly and may sell holdings from your portfolio to facilitate this charge.

G) Payment

By Cheque

Cheques should be made payable to 'WCSL Stellar ITS Client Account'.

Payment should be made by means of a cheque drawn on an account in the name of the Trust.

If this is not practicable, and a cheque is a building society cheque or a bankers' draft, the Trust's name, address and date of settlement should be written on the back of the cheque or bankers' draft and the building society or bank must also endorse on the cheque or draft the name and account number of the person whose account is being debited.

By Bank Transfer

To pay by bank transfer, please transfer the money to Woodside Corporate Services Limited (WCSL).

Account name: WCSL Stellar ITS Client Account

Bank: Bank of Scotland plc

Sort code: 80-20-00

Account number: 10410965

Reference: Trust name

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.

H) Declaration

By the Adviser/Intermediary

By signing this form, I agree that:

- 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;
- 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 JMLSG Guidance ('Money Laundering Regulations'), as amended;
- 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 Trustees;
- I have made a personal recommendation and certify that I have undertaken an assessment of the Trustees expertise and circumstances and confirm that this investment is appropriate for the Trust complying with COBS 9 suitability;
- I consent to Stellar relying on my assessment and understand that Stellar reserve the right to request suitability reports;
- I have read and understood the Stellar Terms of Business for Intermediaries;
- I agree to be bound by these Terms of Business; and
- As an Appointed Representative, I warrant and represent that my principal also accepts the Terms of Business for Intermediaries.

Adviser name

Adviser signature

Date

By the Trustees

By signing this form, we hereby declare that:

- a) All monies invested or to be invested in the Stellar ITS, 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 2025 (together the 'Terms and Conditions'), which I have fully understood and I 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 my confirmation that I have read the Terms and Conditions and that you will, accordingly, rely on these terms as the basis of the relationship between the Manager and the Trust;
- f) We agree to the provisions of the terms and conditions and the privacy policy of the Administrator. I have read and understood them.
- g) We agree to adviser charges as set out in Section E;
- h) We undertake to advise the Custodian within 30 days of any change in circumstances which affects the Trust's or any of the Trustee's tax residency status or causes the information contained herein to become incorrect or incomplete;
- i) We acknowledge that the information contained in this application form and information about me may be provided to HMRC and exchanged with tax authorities of another country or countries in which the Trust or Trustees may be tax resident pursuant to inter-governmental agreements to exchange financial account information;
- j) We consent that in order to satisfy the requirements of the Money Laundering Regulations the Manager and the Administrator may undertake electronic checks to verify any trustees identity and understand that these checks may reference a credit or mutual reference agency which may record the search;
- k) We authorise the Custodian to hold cash prior to its subscription;
- l) We authorise Stellar to manage my investments in the Stellar ITS in accordance with the Terms and Service Agreement; and
- m) We consent to personal information obtained in relation to the investment being handled by Stellar and their 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 me 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 we 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 the IHT Companies.
- n) I confirm that I am not a US person for the purposes of US Federal Income Tax and that I am not acting for, or on behalf of a US person. I understand that a false statement or misrepresentation of tax status by a US person could lead to penalties under US law. I agree that if my tax status changes or I become a US citizen or a US resident, I will notify you within 30 days;

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

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.

I) Confirmation of verification of identity (COVI)

1. The applicant's details (see notes below)

Applicant full name	
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 applicant;
- ii. The applicant named in section 1 is acting on his or her own behalf;
- iii. The applicant 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 applicant and we will report any suspicious activities to the appropriate authorities, and where appropriate to Woodside Corporate Services Limited or Stellar Asset Management Limited; **and**
- v. The evidence I/we have obtained to verify the identity of the applicant:
 - 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 provide copies of documents obtained to verify identity if requested.

3. Details of introducing firm (or sole trader)

Full name of regulated firm/sole trader

FCA reference number (FRN)

Signed

Name

Position

Date

1. A separate confirmation is to be completed for each applicant (e.g. joint holders or trustees). Where a third party is involved, e.g. a payer of contributions who is different from the applicant, the identity of that person must also be verified, and a confirmation provided.
2. This form cannot be used to verify the identity of any applicant that falls into one of the following categories:
 - ★ Those exempt from verification as being an existing client of the introducing firm prior to the introduction of the requirement for such verification;
 - ★ Those whose identity has not been verified by virtue of the application of a permitted exemption under the Money Laundering Regulations;
 - ★ Those who have been subject to Simplified Due Diligence under the Money Laundering Regulations; or
 - ★ Those whose identity has been verified using the source of funds as evidence.
3. This must be an original signature or electronic equivalent and should be signed by an FCA Approved Person such as a Director and/or Money Laundering Reporting Officer (MLRO).

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

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