PATRONUS
PARTNERS LTD

Account Opening and Suitability Assessment

Trusts

Name of Trust

Bristol Pad Pension Scheme

3 Fitzhardinge Street
London W1H 6EF

t: +44 (0)20 3818 5300
e: info@patronuspartners.com
w: www.patronuspartners.com

Overview

This account opening and suitability assessment form, together with our terms and conditions and our rate card(s) sets out the basis on which we will conduct our business with the trust and for the trust.

If anything in this form is not clear please do not hesitate to contact us for an explanation.

Section	Description
A	**Trust details** In this section, we require basic information about the trust.
B	**Individual trustees** In this section, we require information about trustees who are individuals.
C	**Corporate trustees** In this section, we require information about trustees who are companies.
D	**Beneficiaries** In this section, we require information about the benficiaries of the trust.
E	**Investment objectives** This section summarises the trust's investment objectives.
F	**Client categorisation** In this section, we require information to allow us to categorise the trust correctly, in respect of our FCA obligations.
G	**Financial situation of the trust** In this section, we require information about the financial situation of the trust.
H	**Knowledge and experience of decision makers** In this section, we seek ot gather information about the knowledge and experience of the decision makers.
I	**Risk assessment of the trust** In this section, we seek to gather information about the trust's ability to bear risk and capacity for loss.
J	**Our services** In this section, you will be able to choose which of our services the trust would like to use.
K	**Overall risk assessment** This section summarises the risk assessment and confirms your and your personal Broker's understanding.

A

Trust details

Individual trustees should complete Section B

Corporate trusteees should complete Section C

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A1 Name of the trust

BristolPad Pension Scheme

A2 Type of trust: SSAS Pension

A3 Country in which formed: UK

A4 Nature and purpose of trust: Pension Scheme

A5 LEI: 213800LU6SNJ20ASSI64

A6 Please supply a copy of the trust deed. Trust deed must show details of the settlor and of the trustees. In the event of any changes to the trust deed, including changes in trustees please provide full details.

Received? Yes ☑ No ☐

A7 To whom should correspondence be sent?

Name & Address

Professor Ian Day
44 North Road
St Andrews
BRISTOL BS6 5AF

Email: ian@bristolpad.co.uk

If a copy is required to whom?

Name & Address

Email

A8 Preferred communcation method with Patronus: Email ☑ Post ☐ Phone ☐ Mobile ☐

A9 Primary Bank/Building Society Details

Bank Name	Metro Bank	Branch	One Southampton Row LONDON WC1B 5HA
Account Name	BristolPad Pension Scheme	Sort Code	23-05-80
Account Number	44564769	Building Society roll no *if applicable*	
Currency* GBP, EUR, USD other - *specify*	GBP	SWIFT *if applicable*	
		IBAN *required for Euro payments*	

Additional routing instructions
if applicable e.g. intermediary bank details

These bank details must be in the exact same name as the Trust Account.

These will be the primary bank details on your account.

Would you like to subscribe to our Morning Note email? Yes ☑ No ☑

B

Individual trustees

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B1 Number of trustees: 1

Please provide their details below

Trustee 1

Name: Ian Day

Usual residential address:
44 North Road
St Andrews
BRISTOL BS6 5AF

Date of Birth: 14-Jan-1960

Nationality: British

NI Number: WK 39 49 84 C

Tax ID Number: 82180 39571

Tax Domicile: UK

Contact phone number: 07833 637940

Email address: ian@bristolpad.co.uk

Address for correspondence:
44 North Road
St Andrews
BRISTOL BS6 5AF

Is this person able to issue dealing instructions on the account?

Yes ☑ No ☐

Single or dual authority? Single

Please complete additional sheets as required.

B1 Number of trustees: —

Please provide their details below

Trustee 2

Name:

Usual residential address:

Date of Birth:

Nationality:

NI Number:

Tax ID Number:

Tax Domicile:

Contact phone number:

Email address:

Address for correspondence:

Is this person able to issue dealing instructions on the account?

Yes ☐ No ☐

Single or dual authority?

Please complete additional sheets as required.

Corporate trustees

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C1 Name of corporate trustee

— None Scheme Administrator: Retirement Capital

C2 Company number or equivalent: 12409200

C3 Country of incorporation: United Kingdom

C4 Address of registered office:
RC Administration Ltd
1a Park Lane
Poynton
Stockport
SK12 1RD

C5 Business address if different:

C6 Phone number: 0330 311 0088

C7 Email address: georginam@retirement.capital, info@rcadministration.com

C8 LEI: Tax ID No.:

C9 Is the company quoted on a recognised stock exchange? Yes ☐ No ☐

If yes, please give details

C10 Is the company regulated by a financial services regulator? Yes ☐ No ☐

If yes, please give details

C11 Please provide a list of directors

Provided? ☐

Corporate trustees

C12 Authorised signatory 1

Name

Usual residential address

Date of Birth

Nationality

NI Number

Contact phone number

Email address

Address for correspondence

Is this person able to issue dealing instructions on the account?

Yes ☐ No ☐

Single or dual authority?

Authorised signatory 2

Name

Usual residential address

Date of Birth

Nationality

NI Number

Contact phone number

Email address

Address for correspondence

Is this person able to issue dealing instructions on the account?

Yes ☐ No ☐

Single or dual authority?

Please complete additional sheets as required.

D

Beneficiaries

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D1 Beneficial Owner 1

Beneficial interest

100%

Name

Ian Day

Usual residential address

44 North Road
St Andrews
BRISTOL BS6 5AF

Date of birth: 14-Jan-1960

Nationality: British

NI Number: WK 39 49 84 C

Marital Status

- [ ] Single
- [x] Married/Civil Partnership
- [ ] Divorced
- [ ] Widowed

Is this person able to issue dealing instructions on the account? Yes [x] No [ ]

Single or dual authority? Single

Beneficial Owner 2

Beneficial interest

Name

Usual residential address

Date of birth

Nationality

NI Number

Marital Status

- [ ] Single
- [ ] Married/Civil Partnership
- [ ] Divorced
- [ ] Widowed

Is this person able to issue dealing instructions on the account? Yes [ ] No [ ]

Single or dual authority?

Please complete additional sheets as required.

Please complete additional sheets as required.

E

Investment objectives

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E1 What is the main reason for opening this account?

Disposal of Quantum shares

Any secondary reasons?

Experience in, and possible second and further deals in unlisted companies

E2 Investment horizon
Please provide any details of any constraints.

2-10 years

E3 Do you have a target rate of return?

In general, on average, 10-40% p.a across a much wider portfolio

E4 Are you likely to need income from this account and if so, how much?

No

E5 Are you likely to need any capital withdrawn from the account? If so, please indicate how much and when it will be needed.

Amount ~£40,000

Date required Once the shares sold, ?later 2024

E6 Other assets of the trust
Please give details of the other assets of the trust in investment headings, without such information our advice may be compromised.

Property	0
Shares	~ 270,000
Unreglated collectives	
UCITS funds	
Cash and cash equivalents	~ 360,000
Other	

E7 Other advisers
Details of other advisers

—

E

Investment objectives

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E8 Please provide us with details of any other information that you think might be relevant to your investment objective.

This is my first experience investing (for the SSAS of my company, BostelPad Ltd) in unlisted shares.

E9 Broker notes

Client categorisation

Initial client categorisation

F1 Assets (now or within previous 2 years) of > EUR 10m? Yes ☐ No ☑

Where the trust satisfies the criteria set out in F1 above we will categorise the trust as a professional client in accordance with the FCA Rules. For all other clients we will normally categorise the trust as a retail client. However, depending on your knowledge and experience we may offer to categorise it as a professional client. Where you indicate below that you would like us to treat the trust as a professional client and where we agree to do so, we will confirm this to you in writing. Please note that the Terms and Conditions contain details of the protections and rights to compensation that you may lose as a professional client and also details of your right to request recategorisation at a later stage.

Are you happy to be treated as a per se professional client? Yes ☐ No ☑

If so, please proceed to section J

If you, the trustee, do not satisfy the conditions above, you may wish to be treated as an elective professional. If this is the case, please answer questions below.

F2 Have you carried out transactions, of significant size, in markets comparable to those that will be traded under this agreement at an average frequency of 10 per quarter over the previous four quarters? Yes ☑ No ☐

F3 Does the trust hold an investment portfolio which is presently valued in excess of € 500,000? Yes ☑ No ☐

F4 Do you currently work (or have you worked) in the financial sector for at least one year in a professional position which requires knowledge of the transactions or services envisaged? Yes ☐ No ☑

F5 If the answer to at least two of questions F2-F4 are yes, do you wish the trust to be treated as a professional client, taking into consideration the protection and rights to compensation that the trust may lose and as set out in the Terms & Conditions? Yes ☑ No ☐

G

Financial situation of the trust

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G1 What is the source of wealth of the trust?
Please describe the economic activity which generated the wealth of the trust and who generated it. If there is more than one source of wealth, please state the extent of each source

Mostly the 30 year working life pension accruals of Professor Ian Day. The rest is capital gains of the investments held by the Trust.

G2 Current value of the portfolio?

~ 700,000

G3 Other assets

SSAS ~700,000
Company (property and cash) ~ 400,000
Ian Day (properties and cash) ~ 1,000,000

G4 Regular income

Regular income	When received?
—	

G5 Regular outgoings

Regular outgoings	When needed?
—	

G6 Liabilities

None

G7 If liabilities exist have you considered paying them off before embarking on your investment strategy?

Please note Patronus Partners does not give debt advice and is not authorised to do so.

G8 Any future large expenditure planned?

No

G9 Please provide us with details of any other information that you think might be relevant to the financial position of the trust

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Knowledge and experience of trustees

Please provide details for all those able to issue instructions as identified earlier in the form.

H1 Name

Professor Ian Day

H2 Educational background/business experience

MA MB BChir, PhD, FRCPath.

30 years experience in data science 1985-2015

2010-present (main business, property investor) Property business owner. Ten HMOs in Bristol. Also done new builds. Run several SPVs. Work with other investors. NRLA accredited.

2018-present
Have invested and traded stocks, ETFs, FX, crypto privately in company and in SSAS (managing total portfolio >£1m)
Took CFA IMC exams and passed 2021.
Also ACSI.
2024 - invited to trade for an FCA regulated FX trading fund.

H3 Have you used any of these services previously and for how long?

	Service	How long
Discretionary	☑	5 years
Advisory	☑	10 years
Execution only	☑	5 years

H4 Financial awareness

How often do you follow financial developments?

Intra-day	☑	Weekly	☐
Daily	☐	Once twice a month	☐
2-3 times a week	☐	Rarely	☐

H5 Investment experience by product

Please give details here of your investment experience - we need to differentiate between your experience where you have control of the account from your experience when someone else has been managing money for you.

Only complete details for instruments you have had control over

Product		Have you traded this? (Y/N)	Average trade size (Size)	Trading frequency per month (f/m)	No of years experience (y)
CDOs/CBOs/CLOs		N			
Collective Investments (OEICS/Unit Trusts/ Investment Trusts)	ETFs	Y	50-100K	0-1	5
Commodities					
Contracts for Difference		Y	0-1K	0-1	5
Equities (UK)		Y	5-20K	0-2	5
Equities (overseas)		Y	5-20K	1-10	5
Financial Spread Bets		Y	1 lot	100	5
Fixed Income		N			
Foreign Exchange		N			
Futures		N			
Hedge Funds		N			
Listed Options/Warrants		Y	1-10 options	1	3
Money Market Funds		Y	30K	0	3
Other OTC Derivatives		N			
OTC FX Options		N			
Private Equity Funds		N			
Private Investment		N			
Real Estate		Y	400K	10 HMOs in 10y	12
Property Funds		N			
Structured Products		N			
Other		N			

H6 Broker notes

Legal information

PATRONUS
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Our Agreement with you consists of the following documents, which together set out the basis on which we provide our services to you:

1. The Account Opening and Suitability Assessment Form;
2. The Terms and Conditions; and
3. The Rate Card.

BY SIGNING THIS APPLICATION FORM YOU CONFIRM AND AGREE TO THE FOLLOWING:

1. that you have received and read a copy of our Terms and Conditions, and Rate Card and agree to be bound by them, as amended or updated from time to time;
2. that by signing the Terms and Conditions you acknowledge that you are appointing Global Prime Partners Ltd (GPP) as an Administration Services Provider and that in so doing you will become a client of GPP and you expressly agree to be bound by the terms of the GPP Agreement, as summarised in Appendix 4 of the Terms and Conditions;
3. that we are entitled to rely on the information provided by you in this Application Form and that you will notify us promptly if there is any material change to the information you have provided us with (including, but not limited to, a change in trustee/beneficiary or their country of residence or nationality);
4. to provide us with all information or documentation that we may reasonably request from time to time to enable us to comply with our legal, regulatory and contractual obligations in connection with or relating to the Terms and Conditions;
5. that this Application Form has been completed accurately to the best of your knowledge and belief;
6. that we may process personal data in accordance with the Terms and Conditions; and
7. that we (including our representatives and employees) may, under the Terms and Conditions, contact you by post, telephone or email or visit you in person, to discuss investments and services in relation to your Investments and/or Portfolio(s).

Trustee 1
Signature

Print Name
IAN N M DAY

Position
Trustee (sole), Sole Director of Bristol Road Ltd. Sole Beneficiary

Date 16-Jun-2024

Trustee 2
Signature

Print Name

Position

Date

Trustee 3
Signature

Print Name

Position

Date

Trustee 4
Signature

Print Name

Position

Date

Please complete additional sheets as required.

Legal information

Document Checklist

- [x] 1. This form fully completed and signed
- [x] 2. Certified copy of the Trustee Deed
- [x] 3. Two pieces of certified identification for each Trustee (and for Bare Trusts, each Beneficiary too):
  Choose two out of the following three documents:
    - i. Passport
    - ii. Driving licence
    - iii. Utility bill at your home address - less than three months old (cannot be a mobile phone bill)
- [ ] 4. Completed W-8BEN form
- [x] 5. A bank statement showing confirmation of the Trust's bank account details.

G

Financial situation of the trust

G10 Tax position

Please use the box below to provide details of the trust's applicable tax rates

SSAS.

No tax.

G11 Broker notes