



# APPLICATION FORM

Secret Hills (IOM) Limited

"the Company"

Application to subscribe for Class A Shares

PLEASE USE BLOCK CAPITALS WHEN COMPLETING THIS FORM

## Section 1: Investment Details

Investment amount in GBP (minimum £35,000): £63,000

## Section 2: Investor(s) – Natural Persons

### (a) Individual(s) / Joint Applicant

Title: Mr / Mrs / Miss / Ms / Dr

Surname:

Forename(s):

Former name(s):

Marital Status: Single / Married / Divorced / other

If "Other" please specify

Date of Birth:

Sex: Male / Female

Occupation

Name and address of employer:  
(or business if self employed)

Country of Birth:

Nationality:

Residential Address:

Post Code:

Mailing Address (if different):

Post Code:

Telephone number (incl. Dialling Codes):

Mobile number (incl. Dialling Codes):

Fax number (incl. Dialling Codes):

E-Mail address (for the purpose of receiving  
accounts and notices):

<b>(b) Individual(s) / Joint Applicant</b>	
Title:	Mr / Mrs / Miss / Ms / Dr
Surname:	
Forename(s):	
Former name(s):	
Marital Status:	Single / Married / Divorced / other If "Other" please specify:
Date of Birth:	
Sex:	Male / Female
Occupation	
Name and address of employer: (or business if self employed)	
Country of Birth:	
Nationality:	
Residential Address:	
	Post Code:
Mailing Address (if different):	
	Post Code:
Telephone number (incl. Dialling Codes):	
Mobile number (incl. Dialling Codes):	
Fax number (incl. Dialling Codes):	
E-Mail address ( for the purpose of receiving accounts and notices):	

### Section 3: Investor(s) – Entities/Trustees

Trust / Company / Close Corporation / Unincorporated Entity

Entity Name:	<i>Halt Penny &amp; Spendloft Ltd Executive Pension Scheme</i>
Registration Number:	
Name of Corporate Trustee (if applicable):	

Important: Applications from entities/trustees must clearly identify the settlors or beneficial owners of the structure and provide the appropriate details. Please refer to Annexure 1 regarding the documentation that will be required.

Physical Address:	
	Post Code:
Registered Address:	
	Post Code:
Nature of business:	<i>Pension Scheme</i>
Source of wealth (Earnings, investments, etc): (documentary evidence of source of funds may be requested)	<i>Pension Assets</i>
Is the entity regulated by the FSA (in the United Kingdom) / the FSC (in the Isle of Man) or an equivalent authority in any jurisdiction?	Yes <input checked="" type="radio"/> No (If yes then please provide supporting documentation)
<b>Contact Details for Entity/Trustee</b>	
Position within entity (director, authorised signatory, etc)	<i>Trustee &amp; Beneficiary</i>
Title:	<input checked="" type="radio"/> Mr / Mrs / Miss / Ms / Dr
Surname:	<i>Hatzer</i>
Forename(s):	<i>Keith Scott</i>
Telephone number (incl. Dialling Codes):	<i>07775 965696</i>
Fax number (incl. Dialling Codes):	
E-Mail address 1 ( for the purpose of receiving accounts and notices):	
E-Mail address 2 ( for the purpose of receiving accounts and notices):	
<b>Section 4: Distributors Only</b>	
Distributor (Insert full legal name):	<i>Lucesco Ltd</i>
Consultant Name:	<i>Dawn Hutchings</i>
Mailing Address:	<i>14 Furzeland Way</i>
	<i>Jayers Common</i>
	Post Code: <i>BN6 9JB</i>
Telephone number (incl. Dialling Codes):	<i>0845 073 0497</i>



## Section 5: Investor(s) Bank Account Details (NB: All fields MUST be completed)

Account Name:	Halfpenny & Spendlove Ltd - Executive Pension Scheme
Account Number:	17976664
Bank Name:	metrobank 23-05-80
Bank Address:	1 Southampton Row London
	Post Code: WC1B 5HA
Country:	UK
IBAN Swift Code:	GB21MYMB23058017976664
Number / BAC Code:	
Currency:	GBP / ZAR / Other (specify)

The Registered Agent will not be responsible for any delays or errors arising as a result of this section not being fully or correctly completed.

## Section 6: Terms and Conditions

### 1. Words and phrases

Words and phrases used in this Application Form shall have the same meaning ascribed to them as in the Information Memorandum.

### 2. Offer period

This subscription is open for a fixed offer period only. This period runs until 12h00 GMT on the Closing Date. Only fully completed Applications received by this date with cleared GBP funds in the Company's nominated account will be acceptable for investment.

The required documentation listed in Annexure 1 hereto must be received by the Company before the closing date of the offer period referred to above.

### 3. Incomplete Application Forms

If money is received in the Company's account but the Application Form is incomplete either from a regulatory or legal standpoint, the Company will be unable to proceed with the investment until all satisfactory information is received prior to the offer deadline detailed in clause 2 above.

### 4. Transfer of funds

The Company accepts no responsibility for the transfer of investors' funds to the Company's nominated bank account. It is the investor's responsibility to ensure that the funds are received by the Company in its nominated account prior to the offer deadline detailed above.

### 5. Refusal of Applications

The Company reserves the right to refuse Applications for investment in this subscription at their discretion.

### 6. Abandonment of offering

The Company reserves the right to abandon the subscription offering without reason and the Company accepts no liability in this eventuality. The Company will return funds, without interest, as soon as practicable less any bank transaction charges. The Company accepts no liability for loss or opportunity loss arising.

### 7. Receipt of instructions

Email and faxed instructions cannot be acted upon. All instructions must be received in original, signed written form.

### 8. Remittances


Applications will only be accepted with the appropriate remittance in GBP and that meet the minimum investment criteria. The Company accepts no responsibility for returning funds received in currencies other than GBP and/or that do not meet the minimum investment criteria.



## Section 7: Declaration (all types of investors to sign this declaration)

1. I/We irrevocably offer to take the number of Class A Shares specified in the Application Form to the value of the Investment Amount detailed in Section 1 above, on the terms of, and subject to, the conditions set out in the Information Memorandum and this Application Form, including these terms and conditions and subject to the Memorandum and Articles of Association of the Company
2. I/We warrant that all the information given in this application, and in all documents which have been or will be signed by me/us in connection with the proposed investment, whether in my/our handwriting or not, is true and complete.
3. I/We accept that my/our application may be declined by the Company for any reason whatsoever, with no requirement for the Company to inform me/us of such reasons.
4. I/We agree that all the statements in this Application Form and the documents stated above shall be the basis of the proposed contract, that any misstatement or omission made by myself/ourselves therein may lead to any contract made being declared void by the Company and the Company shall be entitled to deduct all costs and expenses incurred by the Company in connection with any misstatement or omission made by myself/ourselves, from all monies paid by myself/ourselves.
5. I/We agree that no statement, whether made by myself/ourselves or by the person canvassing for or handling this Application or by any other person, shall be binding upon the Company unless the same be reduced to writing, submitted to the Company and made part of the contract.
6. I/We agree that should this Application be accepted by the Company it will be conditional upon there having been no material alteration to the facts on which the acceptance was based.
7. I/We have read and understood the Information Memorandum and acquainted myself/ourselves with the charges of the Property Consultant (where applicable) and the Company.
8. I/We have read and understood and accept the risks outlined in the Information Memorandum.
9. I am/We are not resident in the United States of America and its territories or resident in any jurisdiction where investments in the Company would be unlawful or otherwise not permitted.
10. I am/We are aware that taxation consequences might be relevant to the acquisition, holding or disposal of Class A Shares and that I/we will take appropriate tax advice in this regard and ensure that I/we comply with all laws applicable to my country of residence. I/We agree that the Company cannot be held responsible for any tax liability that arises as a result of investing in the Company.
11. I/We agree that the Distributor acts as my/our agent and not as agent of the Company.
12. I/We have read and understood all the terms and conditions outlined in Information Memorandum and above and agree to be bound thereby and warrant the terms thereof.
13. I/We acknowledge that the accounts and notices of the Company may be sent electronically and will be sent to the email address provided in this Application Form.
14. \*I/We confirm we and/or the trustee(s) and/or the beneficial owner(s) have not been convicted of any offence involving fraud, or other dishonesty, or any other offence such as an economic offence or money laundering or been subject to penalties for tax evasion relating to companies carrying out financial services business.
15. \*Where the Applicant is a Corporate entity, I/we confirm:
  - a. the entity has not been:
    - i. disciplined, suspended or fined by any regulatory body in any jurisdiction;
    - ii. investigated for professional negligence or malpractice;
    - iii. found guilty of any criminal offence;
  - b. no director, officer or partner of the entity has been convicted of any criminal offence, penalized, sanctioned or investigated for professional negligence or malpractice; and
  - c. there have been and currently are no other trading names.

16. I/We the undersigned confirm that I/we have read and understood this declaration and understand its implications.

Signature (Applicant)	Date	Place
	25-1-16	Halifax
Signature (Applicant)	Date	Place

\* In the event these confirmations cannot be given, full details must be supplied to the Distributor or the Company to establish the need for further documentation.

**\* Important \***

**This Application Form must be supported by relevant due diligence, as detailed in Annexure 1.**

## Secret Hills (IOM) Limited Bank Account Details

Bank Name:	Royal Bank of Scotland International
Bank Address:	Royal Bank House 2, Victoria Street Douglas Isle of Man IM99 1NJ
Bank Account Number:	58609703
Bank Account Name:	Secret Hills (IOM) Limited
IBAN Number / BAC Code:	GB28RBOS16588058609703
Sort Code:	16-58-80
Reference:	[Investor's name]



## Annexure 1

### Due Diligence Documents

All Applications must be supported by original or certified documentation as more specifically set out below according to the type of Applicant. Joint applications (either as individuals, joint trustees of a trust, joint beneficial owners of a legal entity, etc) require due diligence documents for all the individuals concerned.

To satisfy its legal obligations, the Company reserves the right to request further supporting documentation from the Applicant or the certifier at its discretion, particularly where documents originate in a country perceived to represent a high risk or from unregulated financial entities in any jurisdiction.

Should an Applicant's specific situation not be catered for below or if an Applicant is unable to supply any of the documentation described, confirmation should be obtained from the Company of the exact due diligence requirements that will apply to that Applicant.

### Certification

Where certified documents are required, certification must be made by a suitable person, such as a:

- lawyer or advocate who is a member of a recognised professional body;
- accountant who is a member of a recognised professional body;
- director or manager of an authorised credit or financial institution;
- director of a regulated financial institution;
- company secretary or manager of a licensed Corporate Service Provider;
- notary public;
- member of the judiciary;
- senior civil servant;
- consular official at a British Embassy or Consulate; or
- serving police officer (only for UK and Europe).

### ID Certification Wording: (to be written on the copy of the ID document)

"Having seen the individual and the photographic identification document at the same time, I certify this as a true copy of the original."

Signature:

Name:

Position:

Professional Qualification:

Place of certification:

Date:

### Proof of Address Certification Wording: (to be written on the copy of the document)

I certify this as a true copy of the original:

Signature:

Name:

Position:

Professional Qualification:

Place of certification:

Date:

## Documentation

The exact documentation required will depend on the legal identity of the Applicant. Please refer to the relevant section/s as below, to ensure the following due diligence documentation accompanies the Application Form:

### Section A: Individual Applicant

#### (a) Identification Document

Proof of the Applicant's identity must be given either in the form of an original certified copy, which should be **pre-signed** and bear a **clear photograph** of the Applicant.

Examples of acceptable identification documents are:

- (i) Current valid "full" passport;
- (ii) Driving Licence (both parts 1 and 2)
- (iii) Armed Forces ID card;
- (iv) Known employer ID card bearing the photograph and signature of the Applicant; or
- (v) Government issued National Identity Card bearing the photograph and signature of the Applicant.

#### (b) Documentation for Proof of Residency

Evidence of an Applicant's residential address must be given in either original or certified form, **not more than three months old**. Documents featuring a "care of", temporary or PO Box address and non-Bank credit cards (eg: store cards) are unacceptable.

Examples of acceptable evidence are:

- (i) a utility, rates, council tax or equivalent bill. Mobile telephone bills are not acceptable as evidence of address;
- (ii) an entry in the local telephone directory;
- (iii) an extract from the official register of electors;
- (iv) a state pension, benefit book or other government produced document showing benefit entitlement;
- (v) a tax assessment document;
- (vi) a bank account or credit card statement; or
- (vii) proof of ownership or rental of the residential address.

### Section B: Trustee Applicant

#### (a) All Trustee Applicants

The following certified documents are required:

- (i) Copies of the pages of the Trust Deed showing the name of Trust, the parties to the Trust and the signature pages;
- (ii) Identification Documents **and** Documentation for Proof of Residency for the beneficiary, settlor and protector (if any) as per Section A above.

#### (b) Trustee Applicants with Individual Trustees

The following additional certified documents are required:

- (i) Identification Documents and Documentation for Proof of Residency for the trustees as per Section A above.

#### (c) Trustee Applicants with Corporate Trustees

The following additional certified documents are required:

- (i) Certificate of Incorporation and Certificate of Name Change (if applicable);
- (ii) Memorandum & Articles of Association;
- (iii) Regulatory licence, if any;
- (iv) List of authorised persons from whom instructions will be received; and

Identification Documents **and** Documentation for Proof of Residency for four directors or the majority of directors whichever is the lower number.

### Section C: Corporate Applicant

#### (a) All Corporate Applicants

The following certified documents are required:

- (i) Certificate of Incorporation and Certificate of Name Change (if applicable);
- (ii) Memorandum & Articles of Association;
- (iii) Regulatory licence, if any;
- (iv) Register of directors;
- (v) Details of beneficial owner(s);
- (vi) Identification Documents **and** Documentation for Proof of Residency **for each** beneficial owner **and** four directors **or** a majority of directors whichever is the lower number.