



**CARLTONJAMES**

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## Small Self-Administered Scheme

# SSAS

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### Investment Instruction

Correspondence Address:

Lime Kiln House  
Lime Kiln  
Royal Wootton Bassett  
SN4 7HF

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## Confirmation of Investment

Please check the information detailed below to ensure we hold the correct data. Any incorrect information could result in the delay of trade and/or investment instructions, additionally, it could also limit our ability to communicate with you. Please contact us at your earliest convenience if any of the below details to be corrected by calling 0800 233 5626; alternatively, you can email us at [info@cartlonjames.co.uk](mailto:info@cartlonjames.co.uk).



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### Confirmation of Investment Instruction for

MIX3 Limited

Account Registration Address:

If different, Correspondence Address:

Data Capture

V & P Property Pension Fund,  
Office 12, Venture Wales  
Building, Pentrebach, Merthyr  
Tydfil, CF48 4DR

Olive House, 175 Chaney Manor  
Road, Swindon, SN2 2NY

Account Contact Number:

0773 8510371

Account Email:

[mikepocock@btinternet.com](mailto:mikepocock@btinternet.com)

Medium of Exchange:

GBP £

Date:

05/12/2019

Account Name

: V & P Property Pension Fund

Account Type

:

Growth

Investment Value

: GBP £

8,627.28

I declare that I have sufficient knowledge and experience or have received sufficient guide and to assess the benefits and risks of the complex financial instruction I am implementing. I confirm I understand the risks associated with the above investment and instruct Carlton James Private & Commercial Ltd to generate applications on my behalf and implement my investment instructions detailed above

Name: Michael Pocock

Signature:

Date:

16/01/2020

Carlton James Private & Commercial Ltd - Lime Kiln House, Lime Kiln, Royal Wootton Bassett, SN4 7HF  
T - +44 (0) 800 233 5626 F - +44 (0) 1793 858102 E - [info@cartlonjames.co.uk](mailto:info@cartlonjames.co.uk) W - [www.cartlonjames.co.uk](http://www.cartlonjames.co.uk)

Carlton James Private & Commercial Ltd, Registered in England & Wales No. 09074495.  
Registered office: Lime Kiln House, Lime Kiln, Royal Wootton Bassett, SN4 7HF

## **Appropriateness Questionnaire**

You have provided us with an expression of interest in an investment that we have determined to be a complex financial instrument. Before we are able to accept this investment instruction and generate applications, we have to confirm your instruction and ensure the investment appropriate for you.

Your instruction will not be implemented until this form is returned, should this form be signed and returned we will generate applications for you to implement your proposed investment strategy, by returning the application we undertake the instruction as your decision to proceed.

### **Guide**

The appropriateness test is required when you have directly requested to invest in a complex financial instrument. Assessing appropriateness is not the same as advising you on whether an investment is suitable for you. Carlton James Private & Commercial Ltd does not provide financial advice, you may wish to consider taking financial advice before investing in any complex financial instruments.

Based on the responses you provide in the questionnaire, we will determine whether you as a Trustee understand the risks associated with proposed investment. It allows us to determine, along with your expression of interest, your investor class and whether you have appropriate knowledge and experience to understand the risks associated with your proposed investment. If you fail to answer some or all of these questions, we will not be able to proceed with your investment instruction.

### **Definitions**

What is a complex financial instrument?

a complex financial instrument is one that requires you to have a greater knowledge and experience of investments to fully understand the risks involved, below we have detailed examples of what we consider complex financial instruments:

- Exchange traded products
- Unregulated Collective Investment Schemes
- Structured Products
- Investments containing a derivative
- Units in a tax-exempt unauthorised unit trust

Non-complex financial instruments are:

- Shares
- Regulated Collective Investment Scheme
- Bonds


Appropriateness Questionnaire

**Assessment Questions**

	Y	N
Do you fully understand and accept the risks of the investment you want to invest in?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Do you understand that the past investment performance of this investment is not a guide to potential future performance?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Do you acknowledge that although higher risks could mean higher returns, there is no guarantee of the returns, investment can go up as well as down?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Do you fully understand the investment opportunity you're instructing?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Have you understood the investment/investment provider terms?	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Do you understand that given the nature of the investment, we may not be able to regularly value the investment or valuations may be out of date?	<input checked="" type="checkbox"/>	<input type="checkbox"/>

**Investor Declaration**

I/We declare that I/we fully understand the questions on this form and that the answers given are true to the best of my/our knowledge. I/we declare that I/we have sufficient knowledge and experience or have received sufficient guide and to assess the benefits and risks of the complex financial instruction I am implementing. I/we declare that the investments are compatible given /our investment

Signature: 

Date: 16/01/2020

Name: Michael Pocock



CARLTON JAMES

Contact Number	Fax Number	Website	Email
0800 233 5626	01793 858102	<a href="http://www.carltonjames.co.uk">www.carltonjames.co.uk</a>	<a href="mailto:Info@carltonjames.co.uk">Info@carltonjames.co.uk</a>

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