

**SUMITOMO MITSUI TRUST (UK) LIMITED**

1st Floor, 155 Bishopsgate, London EC2M 3XU.  
Tel: 020 7826 4200 Fax: 020 7826 4299  
www.sumitrustgas.com



Pension Practitioner,  
Daws House ,  
33-35 Daws Lane,  
London  
NW7 4SD

RECEIVED  
22 JAN 2018

Date: 16th December 2017

Dear Client,

**Confirmation of Client Categorisation**

**Winterthur Pension Scheme**

Sumitomo Mitsui Trust (UK) Limited is required by the Financial Conduct Authority ("FCA") Conduct of Business Rules ("COBS"), implementing Directive 2014/65/EU and Regulation 600/2014/EU (together "MiFID II") to categorise all clients with whom it conducts MiFID business and provide certain regulatory information.

We are required to notify you, as a new client of your categorisation, your right to request a different categorisation and any limits on the protections afforded to you.

In accordance with COBS the client categorisations are as follows:

- Retail Client
- Professional Client
- Eligible Counterparty.

Based on the information made available to us, we confirm that we have categorised you as a **Per se Professional Client**.

**Right to request a different Client Categorisation**

In line with COBS, you are entitled to request a different categorisation. Should you wish to be treated under a different categorisation, you should make this request in writing and indicate clearly which categorisation you wish to be treated under. However, Sumitomo Mitsui Trust (UK) Limited only provide

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services to clients that either qualify automatically as Per se Professional Clients or have the necessary expertise, experience and knowledge to be categorised as an Elective Professional Client or Eligible Counterparty. Therefore, if you wish to be treated as a Retail Client we regret that we would not be able to undertake services for you on that basis.

Furthermore, if you request to be treated as an Eligible Counterparty, you will lose certain regulatory protections afforded to you as a Professional Client.

Should you have any questions please contact your client services representative at:  
[ClientServices@sumitrustgas.com](mailto:ClientServices@sumitrustgas.com) or Relationship Manager at: [CRM@sumitrustgas.com](mailto:CRM@sumitrustgas.com)

**Complaints**

As a Professional Client or Eligible Counterparty you do not have a right of access to the Financial Ombudsman Service. Should you have any complaints about the service provided by Sumitomo Mitsui Trust (UK) Limited which cannot be resolved with your Client Relationship Manager you may contact the Complaints Manager at: [Paul.Reed@sumitrustgas.com](mailto:Paul.Reed@sumitrustgas.com).

Yours faithfully,

A handwritten signature in blue ink, appearing to read 'J. Stone'.

J. Stone  
Head of Transition and Integration  
Global Custody Services

A handwritten signature in blue ink, appearing to read 'P. Reed'.

P. Reed  
Senior Manager Oversight and Compliance  
Global Custody Services