

New City Investment Managers (NCIM) Investment Plan Application Form

SECTION 1

Personal Details

Surname _____ Mr/Mrs/Miss/Ms/Title _____

Full Forename(s) _____

Permanent Residential Address (incl. house no) _____

_____ Postcode _____

Time at current address _____ years _____ months. *If less than three years, please give details of your previous Residential address*

_____ Postcode _____

Daytime Telephone No. (incl. area code) _____ E-mail _____

Account Code (for existing investors) D00 _____

Occupation _____

Security Questions:

Mother's Maiden Name _____ First Job/Employer _____

Father's Initials _____

Joint Application (if applicable)

Surname _____ Mr/Mrs/Miss/Ms/Title _____

Full Forename(s) _____

Permanent Residential Address (incl. house no) _____

_____ Postcode _____

Time at current address _____ years _____ months. *If less than three years, please give details of your previous Residential address*

_____ Postcode _____

Daytime Telephone No. (incl. area code) _____ E-mail _____

Account Code (for existing investors) D00 _____

Occupation _____

Security Questions:

Mother's Maiden Name _____ First Job/Employer _____

Father's Initials _____

Investment Split (must total 100%):

City Natural Resources (CYN) _____ % New City High Yield (NCHF) _____ %

Income Handling Option:

Re-invest into Source Stock Pay to my nominated bank account

Please note:

1. Dividends will be reinvested in your Investment Plan or paid to your nominated bank account as applicable.
2. This Application shall be rejected and returned to you, if it is not fully completed.

SECTION 2

Payment

Single Investments

Application Forms should be accompanied by a cheque made payable to NCIM Investment Plan for the amount to be invested (minimum £1,000).

I/We wish to invest £ _____

Monthly Savings

I/We wish to invest £ _____ per month. (Minimum investment £100 per month) and have completed the Direct Debit instruction.

SECTION 3

Declaration and Signature

To: **HSDL Nominees Limited**

This declaration records the terms of the declaration made by the applicants named below. Any amendments/deletions to the declaration will invalidate the verification.

- (a) I/We agree to the NCIM investment Plan Terms and Conditions. I/We confirm that the information provided on this form is true and correct to the best of my/our knowledge and belief. I/We agree to be an execution only client and will not seek investment advice from Halifax Share Dealing Limited (HSDL). I/We understand that I/We will be categorised as a retail client.
- (b) I/We acknowledge that this application is subject to the Terms and Conditions of the NCIM Investment Plan. I/We acknowledge that I/we have read the Key Features as set out in the accompanying documentation.
- (c) I/We direct you to invest my/our payment in the purchase of ordinary shares in either CYN and/or NCHF and undertake that if any subscription is made by cheque, the cheque will be met on first presentation and declare that this subscription is made using my/our own funds.
- (d) I/We appoint HSDL Nominees Limited to hold CYN and/or NCHF purchased on my/our behalf and to my/our order.
I/We direct HSDL Nominees Limited that in the event that I/we have not given instructions in writing to vote or not vote on my/our behalf any CYN and/or NCHF shares held by them on my/our behalf at any meeting of shareholders five days before the time of the relevant meeting, HSDL Nominees Limited will refrain from exercising any voting rights attaching to such shares.
- (e) I/We agree to accept CYN and/or NCHF shares up to the value applied for less the costs specified or provided for in the Terms and Conditions.
- (f) I/We acknowledge that all telephone conversations connected with investment may be recorded.

Your information and how we use it

NCIM delegates the administration of the NCIM ISA and Investment Plan to HSDL. In assessing your application and confirming your identity, we'll use credit reference agency files and fraud prevention agency records. It's important to read about how we handle your personal data which is detailed in our Terms and Conditions booklet which is enclosed.

If false or inaccurate information is provided and fraud is identified, details will be passed to fraud prevention agencies to prevent fraud and money laundering.

Any information you provide will be held by HSDL and will not be passed on to any other product or service companies. We'll use it mainly to look after your account or to provide services for you. Your details may be used by NCIM Investment Managers Limited to send you information on other products and services they offer. If you would prefer not to receive such information, please contact NCIM Investment Managers Limited in writing at:

CQS Cayman Limited Partnership, 5th Floor, 33 Grosvenor Place, London, SW1X 7HY.

By signing your application, you agree that we can use your information in the ways described.

Contractual relationship – I/We understand and agree that all instructions given by me via the internet have the effect of creating a contractual relationship which has legal consequences.

First Applicant

Signature: _____ Date: _____

Name: _____

Joint Applicant

(if applicable)

Signature: _____ Date: _____

Name: _____

Issued by NCIM Investment Managers Limited plc which is Authorised and regulated by the Financial Services Authority.

Checklist

Have you enclosed?

1. Your completed and signed NCIM Investment Plan Application Form?
2. Your personal cheque for the lump sum, payable to NCIM Investment Plan?
3. A Direct Debit instruction (if applicable)?

All of these should be returned to:

NCIM Investment Plan, Halifax Share Dealing Limited, Lovell Park Road, Leeds, LS1 1NS

New City Investment Plan

Please fill in the whole form using a ball point pen and send it to:
NCIM Investment Plan, Halifax Share Dealing Limited, Lovell Park Road, Leeds LS1 1NS

Name(s) of Account Holder(s) _____

Bank/Building Society Account Number

Branch Sort Code — —

Name and full postal address of your Bank or Building Society

To: **The Manager Bank/Building Society**

Address _____

_____ Postcode _____

Originator's Identification Number **728798**

Instruction to your Bank or Building Society to pay by Direct Debit

Instruction to your Bank or Building Society

Please pay NCIM Direct Debits from the account detailed on this instruction subject to the safeguards assured by the Direct Debit Guarantee.

I understand that this instruction may remain with NCIM and if so, details may be passed electronically to my Bank/Building Society.

Signature: _____ Date: _____

Banks and Building Societies may not accept Direct Debit Instructions for some types of account



This guarantee should be detached and retained by the Payer.

The Direct Debit Guarantee

This guarantee is offered by all Banks and Building Societies that take part in the Direct Debit Scheme. The efficiency and security of the Scheme is monitored and protected by your own Bank or Building Society.

If the amounts to be paid or payment dates change, HSDL will notify you three working days in advance of your account being debited or as otherwise agreed.

If an error is made by HSDL or your Bank or Building Society, you are guaranteed a full and immediate refund from your branch of the amount paid.

You can cancel a Direct Debit at any time by writing to your Bank or Building Society. Please also send a copy of your letter to HSDL.