



Client Financial Information Form
Incorporating Terms Of Business Agreement
for Retail Clients

Thank you for your recent enquiry. If you wish to receive information on an investment proposal in an Unregulated Collective Investment Scheme (UCIS), you must first complete this form. **If you are in any doubt as to whether an investment of this type is the most suitable kind of investment for you, you are strongly advised to contact your professional adviser regulated by the Financial Services Authority to advise on investments of this type, prior to submitting this form.**

Rules made under the Financial Services and Markets Act 2000 require that before we may send you relevant documentation, we must first ascertain your suitability as an investor in such schemes. It is also a requirement that our Terms of Business are approved and signed by you, the Investor.

The information you give us in this form will be used by us to determine whether any particular investment may be of interest to you.

We undertake transactions on an "execution only" basis which means that in relation to any particular transaction no advice will be given by us, and you should not rely upon us to advise you on, or exercise any judgement on your behalf, about the merits of or the suitability for you of that transaction.

The completed form should be returned to:-

FIM SERVICES LIMITED
Glebe Barn
Great Barrington
Burford
Oxon, OX18 4US

Tel: 01451 844655

Fax: 01451 844509

Email: fim@fimltd.co.uk

FIM Services Limited is authorised and regulated by the Financial Services Authority.

An additional copy of the form is enclosed for your retention.

For Office Use Only

Name:

Renewal

Authorisation:

Client Number:

Date:

Please complete sections A, C and D
or
If you wish your financial
adviser to also receive info, please complete section B

Any information you give on this form will be treated as strictly confidential

Section A - "The Client"

Surname:	<input type="text"/>	Title:	<input type="text"/>
Full Forenames:	<input type="text"/>		
Address:	<input type="text"/>		
	<input type="text"/>		
Postcode:	<input type="text"/>		
Daytime Telephone:	<input type="text"/>		
Email:	<input type="text"/>		

Section B (if applicable)

If you wish us to send information to your financial adviser please fill in their contact details in the spaces below.

Name of Firm:	<input type="text"/>
Contact Name:	<input type="text"/>
Address:	<input type="text"/>
	<input type="text"/>
Postcode:	<input type="text"/>
Daytime Telephone:	<input type="text"/>
Email:	<input type="text"/>

Section C

Date of Birth: Occupation:

For the following questions please tick the appropriate box.

1. Please indicate the estimated value of your current investments:-

£250,000 - £500,000 £501,000 - £1m £1m+

2. Please indicate your anticipated income for the current financial year:-

£25,001 - £50,000 £50,001-£100,000 £100,001-£150,000 £150,001+

3. Please indicate the number of deals you have conducted in the last two years in unlisted securities or unregulated collective investment schemes:-

None 1-5 6-10 11+

4. Are you normally a higher rate UK taxpayer? YES NO

5. Do you normally pay Capital Gains Tax? YES NO

6. Should you invest in an FIM product do you understand that it is likely to be of a long term nature and it may be difficult to realise the investment made or to establish an accurate value for it? YES NO

7. Are you aware that there may be a very limited market for shares/units in FIM investments during their lifespan? YES NO

8. Are you prepared to invest where there is unlikely to be any annual dividend/distribution for a number of years? YES NO

If you wish to provide any further information, please do so on a separate piece of paper.

Section D: DECLARATION

I acknowledge that by signing this Client Financial Information Form I am also agreeing to the terms given in your Terms of Business Agreement overleaf, enabling you, under the Financial Services and Markets Act 2000 and Financial Services and Markets Act 2000 (Promotion of Collective Investment Schemes) (Exemptions) Order 2001, to send me details of any investment product for which you consider me suitable and to effect transactions in connection therewith on my behalf.

I understand that I will be classified as a Retail Client and you will undertake transactions for me on an "execution only" basis. I confirm that I will not be relying on you for advice on, or to exercise any judgement on my behalf about the merits of or the suitability for me of, any particular transaction.

I am aware that by signing this form I am under no obligation to invest in any product or investment.

Signature:

Name: (Block Capitals)

Date:

FIM SERVICES LIMITED
Terms Of Business Agreement
For Retail Clients
(Execution Only Basis)

1. This agreement is made between FIM Services Limited (FIM) and the Retail Client ("Client") and will become effective and remain effective upon receipt by FIM of a signed copy of this Agreement.
2. FIM is authorised and regulated by the Financial Services Authority (FSA). FIM's registered office is at Glebe Barn, Great Barrington, Burford, Oxon OX18 4US. The FSA's registered office is at 25 The North Colonnade, London E14 5HS.
3. The Client and FIM can communicate together in writing, by email, or orally. Communications will be in English and all documents and information from FIM will be in English.
4. FIM will act as Operator of Unregulated Collective Investment Schemes in which you as a Client will be entitled to invest subject to the marketing restrictions imposed under the Financial Services and Markets Act 2000.
5. The Client should be aware that for many of the investments which FIM promote, no established market will exist and proper information for determining the value of the investment at any time may not be available. In some instances, investments may be long-term and not readily saleable.
6. The Client may give instructions to FIM to undertake particular transactions on his behalf by completing the appropriate form supplied by FIM. All such instructions must be in writing and will not be effective until received by FIM. FIM will duly acknowledge instructions received.
7. FIM does not own any of the products or investments which it may suggest to the Client. FIM undertakes not to transact for the Client any business in which it or its Directors have a personal interest, unless the interest has previously been disclosed in writing to the investor.
8. Fees shall be payable to FIM in the event that the Client instructs FIM to undertake a transaction on his behalf. In such circumstances the fees which will be payable and the method of payment will be clearly stated in the documentation sent to the Client by FIM relating to the product or investment in question. There are no other fees.
9. FIM does not send Contract Notes to the Client in respect of transactions undertaken on the Client's behalf. Documents of title for any product or investment acquired by the Client will be registered in the name of the Client and will be forwarded to the Client as soon as possible after completion of a transaction.
10. FIM IS NOT AUTHORISED TO HOLD CLIENT'S MONEY. All sums are paid directly into a relevant bank account or directly on acquisition of the investment to the vendor thereof.
11. FIM does not enter into soft commission agreements.
12. FIM will from time to time arrange and effect collective investments in the form of trusts, partnerships or companies in a number of areas, including forestry and renewable energy. FIM does not provide investment advice in relation to the execution of units in such unregulated collective investment schemes.
13. FIM will from time to time arrange deals between vendors and purchasers for units in investments promoted and/or operated by them.
14. Conflicts of interest may arise, where more than one investor in an unregulated collective investment scheme operated by FIM instructs FIM to source buyers for the investors' interests in that unregulated collective investment scheme or where more than one investor wishes to purchase other investors' interests in that unregulated collective investment scheme. FIM manages conflicts by implementing its order aggregation and allocation policy to ensure fair treatment of Clients – Clients can request further details of FIM's Conflict of Interests Policy at any time.
15. FIM keeps records of all business transacted for five years. Clients' records are treated as confidential and FIM is registered under the Data Protection Act. A Client's own records are only available for inspection by the Client.
16. FIM maintains professional indemnity insurance to protect Clients' interests.
17. The Client agrees that FIM shall have the authority to make calls upon the Client otherwise than at his express invitation where FIM considers it in the Client's interest to do so. Such calls will not be made at unsocial hours. The Client should be aware that in relation to investment agreements entered into in the course of, or in consequence of such a call, the Client may forfeit rights which he may otherwise have to treat the investment agreement as unenforceable.
18. FIM will acknowledge complaints received from eligible complainants within five business days of receiving the complaint and provide the Client with a copy of FIM's Complaints Handling Policy. FIM will review the complaint and ensure that the subject-matter of the complaint is addressed. FIM will endeavour to resolve the complaint within four weeks of receiving the complaint. If FIM is unable to resolve the complaint within four weeks, then FIM will endeavour to resolve the complaint within eight weeks of receiving the complaint. The Client retains the right to refer the complaint, if unsatisfied with FIM's resolution of the matter, to the Financial Ombudsman Service.
19. Should FIM be unable or it is likely that it will be unable to meet its liabilities due to financial circumstances, eligible complainants (i.e. private individuals or small businesses conducting designated investment business with FIM) may apply for compensation to the Financial Services Compensation Scheme (FSCS). The FSCS may pay a maximum of £50,000 (100% of the first £50,000) per person.
20. This Agreement between the Client and FIM may be terminated at any time, without penalty and without prejudice to the completion of transactions already initiated on behalf of the Client, by either party giving notice in writing to that effect to the other, such notice to be effective upon receipt by the other. Notices may be served on the Client at the address given in this Agreement or such other address as the Client may from time to time notify FIM in writing.
21. FIM shall send to the Client details of products or investments which it considers may be suitable for the Client. The Client acknowledges, that whilst FIM may take steps to discuss with the Client his overall financial position before sending to him details of any product or investment, FIM will undertake transactions for the Client as an execution only Customer. No advice will be given by FIM as to the merits of or suitability for the Client of any particular product or investment. **The Client is advised to consult with his financial adviser before entering into a particular transaction through FIM.**