

## Customer Agreement

Gallium Fund Solutions Limited will provide you, the customer, with services in respect of the launch and operation of unregulated collective investment schemes and investment in such schemes. Gallium Fund Solutions Limited is not permitted by law to provide these services unless Gallium Fund Solutions Limited is satisfied that such an investment would be suitable for you. Gallium Fund Solutions Limited will not provide investment advice in respect of these unregulated collective investment schemes. Therefore, you should consult a person authorised under FSMA and qualified to advise on the investment.

**Regulator:** Gallium Fund Solutions Limited is a limited company authorised and regulated by the Financial Services Authority.

**Fees:** The fees payable to Gallium Fund Solutions Limited will be met by the relevant unregulated collective investment scheme ("Fund") in which you invest. The fees payable will be fully disclosed in the Fund documentation.

There will be no fee payable directly by you to Gallium Fund Solutions Limited. You will incur your appropriate proportion of the fee as an investor in a Fund that you do proceed to invest in. Otherwise, no fee will be payable to Gallium Fund Solutions Limited by you in respect of the launch and operation of a Fund.

**Commencement:** This Agreement will enter into force once the signed agreement is returned and received by Gallium Fund Solutions Limited together with completed Suitability Questionnaire which, on review by Gallium Fund Solutions Limited together with any additional information you may supply, leads Gallium Fund Solutions Limited to believe that an investment by you in a Fund would be suitable for you.

**Instructions:** Arrangements for giving instructions to Gallium Fund Solutions Limited are contained in the Fund documentation. Otherwise, all instructions should be in writing and sent to Gallium Fund Solutions Limited at 5<sup>th</sup> Floor, South Tower, Tubs Hill House, London Road, Sevenoaks, Kent, TN13 1BL. If you wish to discuss any matter please telephone 01732 400 180 and ask to speak to a Director.

**Accounting:** Should you decide to proceed with an investment in a Fund then you will receive regular reports (at least annually) as set out in the Fund Agreements.

**Termination:** This Agreement may be terminated by you at any time without prejudice to the completion of any transaction already initiated. Notice of termination:

- should be in writing;
- should be sent to the address above; and
- will be effective upon receipt.

This Agreement may be terminated by Gallium Fund Solutions Limited at any time by giving one month's notice to the customer.

**Agreement:** I agree the above terms and conditions

**Signature:**

**Date:**



## Suitability Questionnaire

### 1. INTRODUCTION

In order for us to assess which products are suitable for you, we require you to complete the questions below in full prior to us distributing the relevant Information Memoranda. In order to assess the suitability of investments for you we need to consider:

- your knowledge and experience of investing.
- your financial situation so that we can assess whether you are able financially to bear the risk of investments; and
- your investment objectives so that we can assess which Funds meet these objectives.

In addition, we want to satisfy ourselves that you will be able to understand the investment products and the risks associated with them. We therefore request that you answer the following questions. If you do not answer these additional questions we will not be able to determine which investments are suitable for you, which may result in us not providing you with a password to access our website that permits you to receive a copy of the relevant Fund Information Memorandums. You must ensure that any information which you give us about your circumstances must be accurate and not misleading in any material respect and you must notify Gallium Fund Solutions Limited (GFS) immediately if there is any material change in the information which you have provided to GFS.

### 2. KNOWLEDGE AND EXPERIENCE

2.1 Have you in the previous 12 months signed a statement certifying to the effect that you fall into one of the following categories of investor?

- |   |        |
|---|--------|
| A certified high net worth individual   | Yes/No |
| A certified sophisticated investor      | Yes/No |
| A self-certified sophisticated investor | Yes/No |

2.2 During the last 5 years in which of the following investments have you invested?

- |  |        |
|--|--------|
| Shares listed on a recognised stock exchange     | Yes/No |
| Shares not listed on a recognised stock exchange | Yes/No |
| Unit Trust/Investment Funds                      | Yes/No |
| Collective Investment Scheme                     | Yes/No |
| Commercial, Residential, Industrial property     | Yes/No |
| Buy to let scheme                                | Yes/No |



2.3 Are you employed in the financial services industry?

Yes/No

If yes, in what capacity and for how long?

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2.4 Do you understand the following?

Our Funds are Collective Investment Schemes.

Yes/No

The investor's agreement can be terminated by you at anytime but you are responsible for trying to sell the investments and to find a buyer.

Yes/No

No partial withdrawals are permitted from our Schemes.

Yes/No

Any comment in relation to tax advantages set out in Taxation of the Fund section found in the Information Memorandum available from the website is only a generic summary. You should obtain any tax advice from your own professional advisers in respect of your own personal situation.

Yes/No

The risks attaching to investments into our Schemes will be set out in the Risk Factors Section of the Information Memorandums which also includes any tax risk.

Yes/No

The costs attaching to investments into our Schemes are set out in the Costs to the Fund Section of the Information Memoranda.

Yes/No

**3. FINANCIAL SITUATION**

What is your current annual income?

<£50,000

>£50,000, < £100,000

>£100,000+

What is your net worth?

<£500,000

>£500,000, <£1,000,000

>£1,000,000



4. **INVESTMENT OBJECTIVES**

Please advise the length of time you wish to hold investments

- Less than 3 years Yes/No
- 3 to 5 years Yes/No
- 6 to 7 years Yes/No
- 7 years + Yes/No

Are you aware that the higher the projected returns of an investment is, the riskier the investment is likely to be? Yes/No

Please advise your risk preference

- Low Risk Yes/No
- Medium Risk Yes/No
- High Risk Yes/No

What is the purpose of your investments?

- Income provision and Capital growth Yes/No
- Income provision only Yes/No
- Capital growth only Yes/No

What type of Asset Class are you interested in?

- Property Yes/No
- Land Yes/No
- Mezzanine Finance Yes/No
- Bonds/Gilts Yes/No
- Energy Yes/No
- Films Yes/No
- Other, *please state* Yes/No

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**Please sign below:**

I declare that I have truthfully answered this questionnaire and will carefully consider all sections of the Information Memoranda before applying to the relevant fund.

Sign: .....

Print Name: .....

Date: .....

In order to receive your password for our website, please fill in below the e-mail address where you wish to receive password:

E-Mail address: .....

**FOR OFFICE USE ONLY**

**Assessment**

**Actions**

**Signed By:**

**Date:**

