

Client Services Questionnaire

Hambros

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Client Services Questionnaire

Please complete this questionnaire in **BLACK INK** and **BLOCK CAPITALS**.

Name of Company/Partnership	
Private Banker	

The Societe Generale Private Banking Hambros Group of Companies

Throughout this Client Services Questionnaire, all references to SGPB Hambros shall be construed as references to the SGPB Hambros entity that will provide you with the particular client service you have selected.

UK

SG Hambros Bank Limited
8 St James's Square
London SW1Y 4JU

Jersey

SG Hambros Bank (Channel Islands) Limited
PO Box 78, SG Hambros House
18 Esplanade, St Helier
Jersey JE4 8PR

Guernsey

SG Hambros Bank (Channel Islands) Limited
Guernsey Branch
PO Box 6, Hambro House
St Julian's Avenue, St Peter Port
Guernsey GY1 3AE

Gibraltar

SG Hambros Bank (Gibraltar) Limited
PO Box 375, Hambro House
32 Line Wall Road, Gibraltar

Company or Partnership Details

Name and Address	
Full name of the Company/Partnership (referred to throughout this questionnaire as the 'Company/Partnership')	
Registered address of the Company/Partnership	Trading address of the Company/Partnership
Postcode	Postcode
Telephone	
Email address	
Website address	
Registered Company no.	
Country of incorporation	
Date of incorporation	
Principal business of the Company/Partnership including products and services	
Geographic scope of the business	

Group Structure (including partnerships where applicable)

Please provide details of parent companies, subsidiaries, fellow subsidiaries, associated companies and trusts (a separate form may be used if necessary).

Director(s)/Partner(s)

Complete where applicable

N.B. Any further director(s) or partner(s) should be listed on a separate form.**Director/Partner 1**

Surname

Forename(s)

Former name: e.g. maiden name/former married name/any previous name(s)

Title (Mr/Mrs/Ms/Miss/Dr/Other)

Position

Permanent residential address

Postcode

Nationality

Place of birth

Date of birth

DD / MM / YYYY

Telephone

Facsimile

Email address

Director/Partner 2

Surname

Forename(s)

Former name: e.g. maiden name/former married name/any previous name(s)

Title (Mr/Mrs/Ms/Miss/Dr/Other)

Position

Permanent residential address

Postcode

Nationality

Place of birth

Date of birth

DD / MM / YYYY

Telephone

Facsimile

Email address

Director/Partner 3

Surname

Forename(s)

Former name: e.g. maiden name/former married name/any previous name(s)

Title (Mr/Mrs/Ms/Miss/Dr/Other)

Position

Permanent residential address

Postcode

Nationality

Place of birth

Date of birth

DD / MM / YYYY

Telephone

Facsimile

Email address

Director/Partner 4

Surname

Forename(s)

Former name: e.g. maiden name/former married name/any previous name(s)

Title (Mr/Mrs/Ms/Miss/Dr/Other)

Position

Permanent residential address

Postcode

Nationality

Place of birth

Date of birth

DD / MM / YYYY

Telephone

Facsimile

Email address

Underlying Beneficial Owner(s)

Complete where applicable

N.B. Any further underlying beneficial owner(s) should be listed on a separate form.

Underlying Beneficial Owner 1

Surname

Forename(s)

Former name: e.g. maiden name/former married name/any previous name(s)

Title (Mr/Mrs/Ms/Miss/Dr/Other)

Position

Shareholding

Permanent residential address

Postcode

Nationality

Place of birth

Date of birth **DD / MM / YYYY**

Telephone

Facsimile

Email address

Underlying Beneficial Owner 2

Surname

Forename(s)

Former name: e.g. maiden name/former married name/any previous name(s)

Title (Mr/Mrs/Ms/Miss/Dr/Other)

Position

Shareholding

Permanent residential address

Postcode

Nationality

Place of birth

Date of birth **DD / MM / YYYY**

Telephone

Facsimile

Email address

Underlying Beneficial Owner 3

Surname

Forename(s)

Former name: e.g. maiden name/former married name/any previous name(s)

Title (Mr/Mrs/Ms/Miss/Dr/Other)

Position

Shareholding

Permanent residential address

Postcode

Nationality

Place of birth

Date of birth **DD / MM / YYYY**

Telephone

Facsimile

Email address

Underlying Beneficial Owner 4

Surname

Forename(s)

Former name: e.g. maiden name/former married name/any previous name(s)

Title (Mr/Mrs/Ms/Miss/Dr/Other)

Position

Shareholding

Permanent residential address

Postcode

Nationality

Place of birth

Date of birth **DD / MM / YYYY**

Telephone

Facsimile

Email address

Corporate Director(s)

Complete where applicable

N.B. Any further corporate director(s) should be listed on a separate form.

Director 1

Company name

Registered address

Postcode

Company no.

Contact name(s)

Telephone

Facsimile

Email address

Director 2

Company name

Registered address

Postcode

Company no.

Contact name(s)

Telephone

Facsimile

Email address

Director 3

Company name

Registered address

Postcode

Company no.

Contact name(s)

Telephone

Facsimile

Email address

Director 4

Company name

Registered address

Postcode

Company no.

Contact name(s)

Telephone

Facsimile

Email address

The Company's/Partnership's Current Bank Account

Please give details of the main bank account of the Company/Partnership

Name of bank

Address of bank

Postcode

Account number

□ □ □ □ □ □ □ □ □ □

Roll number (if applicable)

□ □ □ □ □ □ □ □ □ □

Sort code or equivalent

□ □ □ - □ □ □ - □ □ □

Banking Services

Company/Partnership Account Details

Type of account required e.g. property a/c, bill a/c etc.	
Currency of account (multiple possible)	GBP <input type="checkbox"/> USD <input type="checkbox"/> EUR <input type="checkbox"/> CHF <input type="checkbox"/> Other <input type="checkbox"/> _____
Do you require segregated income and capital accounts?	Yes <input type="checkbox"/> No <input type="checkbox"/>

Bank Account Activity

Purpose of the account	
Estimated frequency of transactions	
Estimated value range of transactions	
Source of account opening funds	

Payments/Deposits

If the Company/Partnership is likely to require SGPB Hambros to make or receive any regular international payments, please provide details of the estimated frequency, source and destination countries and of the expected beneficiary or remitter. (Please do not include Direct Debits or Standing Orders)	Incoming	Outgoing

Banking Services (Additional Bank Account if required)**Company/Partnership Account Details**

Type of account required e.g. property a/c, bill a/c etc.	
Currency of account (multiple possible)	GBP <input type="checkbox"/> USD <input type="checkbox"/> EUR <input type="checkbox"/> CHF <input type="checkbox"/> Other <input type="checkbox"/> _____
Do you require segregated income and capital accounts?	Yes <input type="checkbox"/> No <input type="checkbox"/>

Bank Account Activity

Purpose of the account	
Estimated frequency of transactions	
Estimated value range of transactions	
Source of account opening funds	

Payments/Deposits

<p>If the Company/Partnership is likely to require SGPB Hambros to make or receive any regular international payments, please provide details of the estimated frequency, source and destination countries and of the expected beneficiary or remitter. (Please do not include Direct Debits or Standing Orders)</p>	Incoming	Outgoing

Investment Profile

This section is to define your investment profile in terms of knowledge, experience, investment aims and objectives, attitude to risk and return expectations.

Knowledge and Experience of Financial Investments

It is important that SGPB Hambros understands the Company or Partnership's level of knowledge regarding financial markets and investing. The following questions aim to provide us with a general understanding of the Company or Partnership's experience, objectives and attitude to risk.

Please select the option below that best describes the level of knowledge within the Company or Partnership:

There is little or no understanding of financial markets and investing

There is a general understanding of financial markets and investing

There is a very good understanding of financial markets and investing

On what basis do you typically invest? Discretionary Advisory Execution only Never previously invested

The following questions help us to assess your level of knowledge on different types of financial investment products and provide an indication of the types of investment products you would like to invest in:

Do you have a good knowledge of the following products, particularly of the returns and the level of risks that are associated with them?		Have you previously held these types of investment?			Are you interested in:
Bonds	Yes <input type="checkbox"/> No <input type="checkbox"/>	Never <input type="checkbox"/>	Rarely <input type="checkbox"/>	Frequently <input type="checkbox"/>	Yes <input type="checkbox"/>
Equities	Yes <input type="checkbox"/> No <input type="checkbox"/>	Never <input type="checkbox"/>	Rarely <input type="checkbox"/>	Frequently <input type="checkbox"/>	Yes <input type="checkbox"/>
Collective Investment Schemes					
- Mutual Funds/OEICs/Unit Trusts	Yes <input type="checkbox"/> No <input type="checkbox"/>	Never <input type="checkbox"/>	Rarely <input type="checkbox"/>	Frequently <input type="checkbox"/>	Yes <input type="checkbox"/>
- ETFs	Yes <input type="checkbox"/> No <input type="checkbox"/>	Never <input type="checkbox"/>	Rarely <input type="checkbox"/>	Frequently <input type="checkbox"/>	Yes <input type="checkbox"/>
- Investment Trusts	Yes <input type="checkbox"/> No <input type="checkbox"/>	Never <input type="checkbox"/>	Rarely <input type="checkbox"/>	Frequently <input type="checkbox"/>	Yes <input type="checkbox"/>
- Property Funds/REITs	Yes <input type="checkbox"/> No <input type="checkbox"/>	Never <input type="checkbox"/>	Rarely <input type="checkbox"/>	Frequently <input type="checkbox"/>	Yes <input type="checkbox"/>
- Commodity Funds	Yes <input type="checkbox"/> No <input type="checkbox"/>	Never <input type="checkbox"/>	Rarely <input type="checkbox"/>	Frequently <input type="checkbox"/>	Yes <input type="checkbox"/>
- Private Equity Funds	Yes <input type="checkbox"/> No <input type="checkbox"/>	Never <input type="checkbox"/>	Rarely <input type="checkbox"/>	Frequently <input type="checkbox"/>	Yes <input type="checkbox"/>
- Hedge Funds	Yes <input type="checkbox"/> No <input type="checkbox"/>	Never <input type="checkbox"/>	Rarely <input type="checkbox"/>	Frequently <input type="checkbox"/>	Yes <input type="checkbox"/>
Structured Products	Yes <input type="checkbox"/> No <input type="checkbox"/>	Never <input type="checkbox"/>	Rarely <input type="checkbox"/>	Frequently <input type="checkbox"/>	Yes <input type="checkbox"/>
FX Trading	Yes <input type="checkbox"/> No <input type="checkbox"/>	Never <input type="checkbox"/>	Rarely <input type="checkbox"/>	Frequently <input type="checkbox"/>	Yes <input type="checkbox"/>
Options/Futures	Yes <input type="checkbox"/> No <input type="checkbox"/>	Never <input type="checkbox"/>	Rarely <input type="checkbox"/>	Frequently <input type="checkbox"/>	Yes <input type="checkbox"/>
Warrants	Yes <input type="checkbox"/> No <input type="checkbox"/>	Never <input type="checkbox"/>	Rarely <input type="checkbox"/>	Frequently <input type="checkbox"/>	Yes <input type="checkbox"/>

If you require further guidance regarding the above please contact your Private Banker.

Investment Profile continued

Investment Aims and Objectives

The following questions are designed to help us to better understand your investment aims and objectives:

How much do you want to initially invest?	
What percentage is this of your net assets?	_____ %
Over what time period are you seeking to invest?	Less than 3 years <input type="checkbox"/> 3 to 5 years <input type="checkbox"/> 5 years or greater <input type="checkbox"/> A specific time frame <input type="checkbox"/> _____
During the above time period, do you have a known capital requirement that we should take into consideration when providing you with investment advice?	Yes <input type="checkbox"/> No <input type="checkbox"/>
If Yes, please provide further details	
-Do you require your investments to produce a specific level of regular income?	Yes <input type="checkbox"/> No <input type="checkbox"/>
If Yes, please provide further details	
What frequency of contact would you like from SGPB Hambros in relation to your investments?	Quarterly <input type="checkbox"/> Annually <input type="checkbox"/> Other (Please specify) <input type="checkbox"/>

Investment Profile continued

Capacity to withstand losses

The object of this question is not to assess how much risk the Company/Partnership is willing to take but to focus on the overall level of loss the Company/Partnership can withstand before causing the Company/Partnership financial distress.

Investments can go up or down in value and may on occasion have long periods of sustained loss. Therefore thinking about both the Companies/Partnerships current and future financial situation, in a worst case scenario:

Of the monies the Company/Partnership intends to invest with SGPB Hambros, what level of overall loss could the Company/Partnership sustain without it having a significantly detrimental effect?

0% 5% 15% 30% >30%

Attitude to Risk

A portfolio is typically constructed by combining various asset classes (Money Market Instruments, Bonds, Equities, Alternative Investment Products, Emerging Market Equities etc). The value of each of these asset classes will vary over time. The amount that they vary in value each year is called the annual volatility. In any given year these changes can be either negative (losses) or positive (gains). Volatility, or market risk, is one of the measures that we use when considering risk. When we provide a product risk score, it is this measure of risk that is being shown. In general terms, assets which traditionally display the highest risk also produce the highest returns over the longer term. Conversely assets with the lowest risk generally produce lower levels of return over the longer term.

In normal market conditions, higher risk assets such as Equities, Private Equity, Property and Commodities can often exhibit volatility that is very large (i.e. more than 30%). Lower risk assets, such as Bonds, will also vary in value but typically the losses or gains will be lower (i.e. we expect them to be less than 10%). The lowest risk asset is cash. There is never absolute certainty as to how large or small gains or losses will be, and past performance is no indicator of future performance.





Investors should have regard to all risks associated with an investment before investing. Investments carry other risks that may not be included within the SGPB Hambros product risk score. Other risks may include liquidity risk, inflation risk or counterparty risk. Investors should be aware that individual investments may be subject to the performance or financial status of an individual company or fund manager. These may impact the performance of an investment irrespective of the volatility or market risks outlined above.

Your Investment Profile continued

Investment Risk Profile

The following sets out our risk categories. A description of the investment objectives is provided for each together with the types of investment that may typically be held and the range of returns that could reasonably be expected.

Please indicate which one best matches your requirements in respect of the funds to be managed by SGPB Hambros.

Risk Categories	Investments Typically Held ¹	Annual Loss or Gain Range ²	Tick Box
<p>Risk profile: 4</p> <p>Your primary objective is to maximise the performance of your portfolio by accepting to invest virtually all of it in higher risk assets. You are unlikely to need to liquidate the assets deposited in the account to meet current or future financial obligations. You accept that the value of your investments, whether measured individually or in composite, may be subject to very significant fluctuations.</p>	<p>Global Equities Emerging Equities Hedge Funds Private Equity Funds High Yield Bonds Commodity Funds Property Funds</p>	<p>Losses or gains could exceed: 30%</p> 	<p>Risk profile: 4</p> <p><input type="checkbox"/></p>
<p>Risk profile: 3</p> <p>You seek capital growth and/or higher income in the medium to long term. To achieve this, you are willing to invest a substantial part (typically over 50%) of your portfolio in higher risk assets. You accept that the value of your investments, whether measured individually or in composite, may be subject to strong fluctuations.</p>	<p>Global Equities Emerging Equities Structured Products Hedge Funds High Yield Bonds Commodity Funds Property Funds Bonds</p>	<p>Loss or gain could be between: -30% loss and +30% gain</p> 	<p>Risk profile: 3</p> <p><input type="checkbox"/></p>
<p>Risk profile: 2</p> <p>You are looking to combine income with some capital growth. To do so, you are willing to invest part of your portfolio in higher risk assets with the remainder invested in lower risk assets. Overall, although individual investments may vary substantially in value, you expect your portfolio of investments to achieve reasonable stable returns over the long term accepting that there may be periods of negative returns.</p>	<p>Bonds Global Equities Emerging Equities Hedge Funds High Yield Bonds Commodity Funds Property Funds Structured Products</p>	<p>Loss or gain could be between: -15% loss and +15% gain</p> 	<p>Risk profile: 2</p> <p><input type="checkbox"/></p>
<p>Risk profile: 1</p> <p>Your priority is the security of your portfolio capital. You expect to achieve reasonably stable returns and do not expect significant fluctuations in value of the overall portfolio. You may hold some higher risk assets, but these will represent, at most, a small part of the portfolio.</p>	<p>Bonds Structured Products (which aim to return all of your capital at maturity) Money Market Funds</p>	<p>Loss or gain could be between: -5% loss and +5% gain</p> 	<p>Risk profile: 1</p> <p><input type="checkbox"/></p>

Investments Typically Held¹ are illustrative. Actual portfolios may contain a variety of investments from different risk categories.

Annual Loss or Gain Range² We define this as meaning that in 95% of all 12 month periods (ie 19 out of every 20 years) we expect this type of investment or portfolio to make a loss or gain that is within the stated range. For example, an annual loss or gain range of 15% means that in loss-making years we expect the loss will not exceed -15%. This does not mean that losses can never exceed the stated range.

Investment Services

You will need to decide how involved you would like to be in the management of your investments. SGPB Hambros offers discretionary, advisory (both managed and non-managed) and execution only investment services. You may choose to use different services for different parts of your portfolio of investments. Separate accounts will need to be opened for each service selected.

Set out below is a summary of both our managed and non-managed investment services. For a full description of each service please refer to the Terms of Business.

Managed Investment Services

Discretionary Managed Service

Your portfolio will be actively managed and we can change the investments within your portfolio to reflect our current market views. You authorise us to exercise our absolute discretion in the management of your cash and investments to an agreed investment strategy, with power to enter into any investment transaction in relation to your account without further reference to you.

Under the discretionary mandate you will have the choice of a number of investment strategies to which your portfolio will be managed.

For more complex client requirements we also offer individually tailored solutions. We will work closely with you to design a bespoke strategy that can exclude certain markets or sectors or hold particular investments that do not usually fall within our core strategies.

Managed Advisory Service

Your portfolio will be actively managed by your investment adviser on an asset allocation, portfolio construction and product selection basis, which will be agreed with you on a regular basis. Recommendations and transactions will be entered into on your behalf based on this agreed approach only with your express consent. The account will be managed on an ongoing basis and we will regularly review your portfolio with you.

Under the managed advisory mandate you will have the choice of a number of investment strategies to which your portfolio will be managed, or you may agree on a bespoke strategy where you set your investment perimeter and your investment adviser will provide advice to you on this basis.

Non-Managed Investment Services

Non-Managed Advisory Services

This service may be suitable for you if you are seeking advice from time to time but wish to make your own investment decisions. Your portfolio will not be actively managed and will not be allocated an investment strategy. Recommendations will be made based on SGPB Hambros' views but without regard to the composition of your portfolio other than to ensure it is within your risk profile. We will not take any responsibility for the ongoing management of your portfolio under this service. We will contact you in relation to your account where there is a change in the SGPB Hambros' recommendation in respect of one or more of your holdings.

Execution-Only Service

We are able to act on an execution-only basis for you. We will only execute a transaction on your behalf once we have received specific instructions from you to do so. We will not provide any advice in respect of such transactions.

Any information provided to you will be for information purposes only and does not purport to be a recommendation or investment advice.

Investment Services continued

Service		Base/Valuation Currency				Which entity do you wish to provide this service?			
		GBP	EUR	USD	Other	UK	Guernsey	Jersey	Gibraltar
Discretionary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Managed Advisory	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Non-Managed Advisory	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Execution-Only	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Source of account opening funds	
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Special Instructions/Constraints/Notes (eg. investments you may not wish to hold, limits on the size of holdings within portfolios, notification of losses exceeding any pre-determined threshold etc.)

Declaration

Dates and Frequency of Valuations and Statements

Valuations and Statements will be sent quarterly unless otherwise requested below.

Frequency	
Day	

N.B. Channel Islands and Gibraltar clients only: Where there have been no transactions on an account during the agreed statement period, a statement will not normally be sent to you. However, you will always receive an annual statement for your account.

Copy Correspondence

Please provide details of where copy correspondence should be sent. Please also state the capacity in which the recipient will be receiving the copy correspondence (e.g. as the Company's/Partnership's lawyer/accountant) and tick the type of documentation to be provided.

Addressee 1		Copy Correspondence	
Name		Bank Account	<input type="checkbox"/>
Capacity		Statements	<input type="checkbox"/>
Address		Deposit advices	<input type="checkbox"/>
		Investment Account	<input type="checkbox"/>
		Contract notes	<input type="checkbox"/>
		Statements	<input type="checkbox"/>
	Postcode	Valuations	<input type="checkbox"/>

Addressee 2		Copy Correspondence	
Name		Bank Account	<input type="checkbox"/>
Capacity		Statements	<input type="checkbox"/>
Address		Deposit advices	<input type="checkbox"/>
		Investment Account	<input type="checkbox"/>
		Contract notes	<input type="checkbox"/>
		Statements	<input type="checkbox"/>
	Postcode	Valuations	<input type="checkbox"/>

Declaration continued

Copy Correspondence continued

Addressee 3		Copy Correspondence	
Name		Bank Account	<input type="checkbox"/>
Capacity		Statements	<input type="checkbox"/>
Address		Deposit advices	<input type="checkbox"/>
		Investment Account	<input type="checkbox"/>
		Contract notes	<input type="checkbox"/>
		Statements	<input type="checkbox"/>
		Valuations	<input type="checkbox"/>
	Postcode		

Requests for Information

You agree that SGPB Hambros may give the following people any information requested by them in writing in relation to the Company's/ Partnership's account(s) (tick where appropriate):

Accountant	Contact Details
Bank account(s) only <input type="checkbox"/>	
Investment account(s) only <input type="checkbox"/>	
Both <input type="checkbox"/>	

Solicitor	Contact Details
Bank account(s) only <input type="checkbox"/>	
Investment account(s) only <input type="checkbox"/>	
Both <input type="checkbox"/>	

Tax Adviser	Contact Details
Bank account(s) only <input type="checkbox"/>	
Investment account(s) only <input type="checkbox"/>	
Both	

Other	Contact Details
Bank account(s) only <input type="checkbox"/>	
Investment account(s) only <input type="checkbox"/>	
Both <input type="checkbox"/>	

Declaration continued

Mandate

We, the signatories, request SGPB Hambros to open a

Company Account

Partnership Account

Limited Partnership Account

I/We authorise SGPB Hambros to act on all instructions relating to such account(s) and to honour and debit to such account(s), whether in credit or overdrawn or becoming overdrawn or closed in consequence of such debit, all cheques, drafts or other orders or receipts for money signed, bills of exchange and promissory notes drawn, accepted or made on behalf of the Company/Partnership provided they are signed or accepted by:

Any authorised signatories acting alone; or*

All authorised signatories acting together; or*

A specified number of authorised signatories acting together*
Please specify number below:

Other instructions*
Please specify below:

*Only one of the above options must be completed. If not completed, SGPB Hambros will default to all authorised signatories acting together.

until SGPB Hambros receives notice in writing to the contrary signed in accordance with the above instructions.

Authorised Signatories

Name in full (BLOCK CAPITALS)	Official position	Signature

Alternatively, a separate list of authorised signatories may be provided.

Declaration continued

Mandate continued

Mandate by a Partnership only

The partners will jointly and severally be liable to SGPB Hambros for repayment and satisfaction of all moneys, obligations and liabilities at any time due, owing or incurred from or by the Partnership to SGPB Hambros together with interest, commission, charges and any expenses incurred by SGPB Hambros including all legal and other costs on a full indemnity basis.

It is understood that any balance which may now or hereafter stand to the credit of the account(s) and also any stocks, shares, bonds or securities or other documents, packages or items of any description now or hereafter held by SGPB Hambros for this/these account(s) shall belong to the survivor or survivors of the partners absolutely in the event of any/either of the partners dying while such account(s) continue(s).

Upon any partner ceasing to be a partner by death or otherwise, SGPB Hambros may, failing the receipt of written notice to the contrary from the Partnership, or any of the partners, or the legal personal representatives or trustees of any of the partners, treat the surviving or continuing partner or partners (or if different the partner or partners for the time being) as having full power to carry on the business of the Partnership and to deal with its assets as freely as if there had been no change in the Partnership.

This authority shall remain in force until revoked notwithstanding any change in the constitution or name of the Partnership and shall apply notwithstanding any change in the membership of the Partnership by death, bankruptcy, retirement or otherwise or the admission of any new partner or partners.

Mandate by a Company and Limited Partnership only

The Company/Partnership shall be fully liable to SGPB Hambros for repayment and satisfaction of all moneys, obligations and liabilities at any time due, owing or incurred in respect of any such dealings in the name of the Company/Partnership or jointly with any others together with interest, commission, charges and any expenses incurred by SGPB Hambros including but not limited to all legal and other costs on a full indemnity basis.

It has been further resolved by the Company/Partnership

That SGPB Hambros be furnished with (a) copies of any special or extraordinary resolutions that may from time to time be passed by the Company/Partnership and (b) any certificates of incorporation on change of name of the Company/Partnership. SGPB Hambros shall be notified immediately in writing signed by any director or the secretary of the Company/Partnership of any change in name or registered address which may from time to time take place.

Declaration continued

Mandate continued

Codeword

If a codeword is used and a request/instruction does not contain it, SGPB Hambros reserves the right not to act on the instruction. The codeword should not be a word that is likely to be guessed by anyone pretending to act on behalf of the Company/Partnership. Authorised signatories must use the agreed codeword in respect of all requests regarding the account(s), including the giving of instructions.

I/We request that a codeword is used in relation to the Company's/Partnership's account(s)

The codeword I/we wish to use is:

Private eBanking Service

The Private eBanking Service offers a means of accessing the Company's/Partnership's account(s) via the internet. Further details about this service are set out in the Terms of Business. A person nominated by the Company/Partnership can access the account(s) via the Private eBanking Service but not operate the account(s) on behalf of the Company/Partnership (view-only access).

The authorised signatory(ies) wish(es) to use the Private eBanking Service to access the account(s).

Yes

No

Name of the individual nominated to access the Private eBanking Service:

Investment Services

Please tick to signify your agreement if you will be receiving Investment Services:

I/We have read clauses 11 Execution of Orders and 12 Client Limit and Stop-Loss Orders of the Investment Services and Wealth Planning Schedule to the Terms of Business and agree:

- (i) that SGPB Hambros may execute transactions outside a regulated market or multilateral trading facility as set out in clause 11;
- (ii) to SGPB Hambros' Order Execution Policy as set out in clause 11; and
- (iii) that certain unexecuted client limit orders should not be made public as set out in clause 12.

Confidentiality and Marketing

It is important that you read and understand the conditions in the Terms of Business headed 'Confidentiality and Data Protection', 'Disclosure of Information' and 'Credit Reference Agencies' which explain how SGPB Hambros will deal with your confidential information.

Occasionally we would like to send to you details of products and services that we believe you may be interested in. This is in addition to the normal dialogue you have with your Private Banker in relation to the services that we provide. If you do not wish to receive such information, please tick the box:

Declaration continued

Terms and Conditions

You should be aware that your relationship with SGPB Hambros will be governed by and is subject to this Client Services Questionnaire and our Terms of Business. The Terms of Business should be read in conjunction with this Client Services Questionnaire.

Monitoring of Telephone Calls

As further explained in the Terms of Business, all telephone conversations with us (and any help desk established in connection with the 'Private eBanking Service') may be monitored and/or recorded without use of a warning tone with a view to improving our service to you and to protect both you and us and to help establish facts.

By signing this declaration:

- I/We confirm that I/we have read and understood this Client Services Questionnaire;
- I/We confirm that all the details provided by me/us in this Client Services Questionnaire are true and correct to the best of my/our knowledge and belief;
- I/We acknowledge receipt of the SGPB Hambros Terms of Business and confirm that I/we have read and understood them and agree to be bound by them as they may be amended from time to time;
- I/We will provide you with any future ancillary document(s) that may affect the information provided herein.

Director/Partner 1

Signature

Please print name in full

Company (if applicable)

Position

Date DD / MM / YYYY

Director/Partner 2

Signature

Please print name in full

Company (if applicable)

Position

Date DD / MM / YYYY

Director/Partner 3

Signature

Please print name in full

Company (if applicable)

Position

Date DD / MM / YYYY

Director/Partner 4

Signature

Please print name in full

Company (if applicable)

Position

Date DD / MM / YYYY

N.B. Any further director(s)/partner(s) should sign on a separate form.

Identification Documents

Guidance regarding documentation required to verify your Identity and Address

SGPB Hambros is required to verify the identity and residential address of all Clients and of certain other persons. This document provides guidance as to the type of documentation that is required and acceptable; who can certify these documents; and the wording that should be used to provide the certification.

Where you have been met face to face by an employee of the Societe Generale Group, including an employee of SGPB Hambros, you will be required to provide one document verifying your identity and one document verifying your residential address. In all other circumstances two documents verifying your identity and two documents verifying your residential address will be required.

Verification of Your Identity

Either of the following documents can be provided to verify your identity.

1. Signed passport.
2. National Identity Card.

The copy document provided must be current (i.e. not out of date), provide a full clear photograph, and show the issuing office, document number, date of issue and expiry date; together with the nationality, date of birth, place of birth, and signature of the holder.

Certification of Documents Verifying Your Identity

The person certifying your documents must include all of the following as part their certification:

- The certification must be signed and dated by the person handling the original documents.
- They should write: 'I hereby certify this to be a true copy of an original document and that the photograph therein is a true likeness of that person described therein'.
- The certifier must also provide adequate information so that they may be contacted in the event of a query – the name, address, title, occupation and firm of the certifier should be recorded clearly in BLOCK CAPITALS. Where appropriate a firm's official stamp should be used.

Verification of Your Residential Address

Documents verifying your residential address must be no more than 3 months old and can be either original documents (no certification required) or certified copies, which should be of good quality reproduction. Any of the following documents can be used to verify your residential address:

1. Current driving licence.
2. Statement of a Bank account or Mortgage account – a credit card statement is not acceptable.
3. Utility bill evidencing the provision of an utility service (Gas, Electricity, Water, Telephone) to your residential address – a mobile phone bill is not acceptable.
4. Property Tax bill or Income Tax Notification for the current year * see notes overleaf.

Identification Documents continued

Notes:

- Document 4 on page 25 can be more than 3 months old, provided it relates to the current 'tax' year.
- PO Box addresses are not acceptable as a permanent residential address. In such cases, please refer to your Private Banker.
- Documentation verifying your residential address must be in English. When such documentation is in a foreign language, a full translation, or a translation of the salient points, translated by a party acceptable to SGPB Hambros, will be required. In such cases, refer to your Private Banker.

Certification of documents verifying your residential address and other documents

Certification of documents verifying your residential address and any other documents being certified should contain the wording 'I hereby certify this to be a true copy of an original document handed to me by the person described therein'. The other certification requirements detailed above regarding signature, date and certifier information are also required.

Who Can Certify Documents?

The following people can certify photocopies of your identity and address verification documents:

- An employee of the Societe Generale Group, including an employee of SGPB Hambros.
- An Official employed by a Bank or Financial Services Business regulated within the EU or within an "EU Equivalent Country" (for guidance as to EU and EU Equivalent countries, refer to your Private Banker).
- An officer of an embassy, consulate or high commission of the country of issue of the identity document.
- A Senior Civil Servant, serving Police Officer or a Customs Officer.
- A Notary, Lawyer, Solicitor, member of the Judiciary, Accountant, Actuary or Tax Adviser, who must be a member of a recognised professional body, thereby subject to professional rules providing for the integrity of his conduct.

Tax Status

All parties to the account are required to complete tax status declaration documentation in order to determine if they are a 'US Person', as defined by the US Internal Revenue Service (IRS), a UK Tax Payer, a Crown Dependency Tax Payer (Jersey, Guernsey or Isle of Man) or a Gibraltar Tax Payer as defined by the local national tax authorities. The tax status declaration documentation will be supplied under separate cover.

N.B. Where there are more than two parties to a joint account, each party must complete separate tax status declaration documentation.

For Internal Use Only

Investment Profile Consistency

Validation aide for investment section questions/risk category selection

Question Responses	Risk Category Selected in Questionnaire			
	<input type="checkbox"/> Risk 1	<input type="checkbox"/> Risk 2	<input type="checkbox"/> Risk 3	<input type="checkbox"/> Risk 4
Loss Capacity				
<input type="checkbox"/> 0%	2	3	3	3
<input type="checkbox"/> 5%	0	1	3	3
<input type="checkbox"/> 15%	0	0	0	
<input type="checkbox"/> 30%	0	0	0	1
<input type="checkbox"/> over 30%	1	0	0	0
Time Horizon				
<input type="checkbox"/> Less than 3 years	1	1	2	2
<input type="checkbox"/> 3 to 5 years	0	0	1	2
<input type="checkbox"/> More than 5 years	0	0	0	0
Knowledge Experience				
<input type="checkbox"/> Little	1	1	1	1
<input type="checkbox"/> General	0	0	1	1
<input type="checkbox"/> Very good	0	0	0	0
% of Global Wealth				
<input type="checkbox"/> 60% to 100%	0	0	1	1
<input type="checkbox"/> 30% to 60%	0	0	0	1
<input type="checkbox"/> Less than 30%	0	0	0	0

Section	Consistency Score
Loss Capacity	<input type="checkbox"/>
Time Horizon	<input type="checkbox"/>
Knowledge Experience	<input type="checkbox"/>
% of Global Wealth	<input type="checkbox"/>
<hr/>	
Total of above boxes (Consistency Score)	<input type="checkbox"/>

If score total = 2 or greater CRM must provide additional information on the following page to briefly detail why risk profile selected is appropriate.

If score total = 3 or more then risk profile is potentially inconsistent with question responses. FO Control review required.

For Internal Use Only continued

Additional Information/Explanation as to Suitability of Risk Profile (Required if Consistency Score is 2 or Greater)

Private Banker Sign Off

Private Banker Name

Private Banker Signature

Date DD / MM / YYYY

FO Control Sign Off (Required if Consistency Score is 3 or Greater)

FO Controller

FO Signature

Date DD / MM / YYYY

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