

UNQUOTED EQUITY QUESTIONNAIRE

Please complete this questionnaire and sign the declaration and return it to Curtis Banks PLC.

PLEASE DO NOT TAKE ANY ACTION, SUCH AS PAYING FUNDS INTO YOUR PENSION SCHEME FOR THIS INVESTMENT, UNTIL WE HAVE CONFIRMED THAT IT IS ACCEPTABLE.

If you have any queries on the completion of this questionnaire, please call Curtis Banks PLC on (0117)9107910.

Name of scheme

1 Details of Company in which shares are to be purchased

Name of company

Registered address

Postcode

Registered number

Country of registration

Is it a trading company?

YES NO

Nature of business

Is the purpose of the investment to allow scheme members to use an asset unacceptable as a pension scheme investment?

YES NO

Details of shareholders (if there is more than one class of share, please show details separately)

Name	Address	No of shares	Director?	Connected? (see below)

“Connected” means in relation to scheme members their relatives, spouses of relatives or close business partners and their spouses.

Please continue on a separate sheet if there are more shareholders.

Details of any directors who are not shareholders

Name	Address	Connected?

Please continue on a separate sheet if there are more directors.

Does the company own, or is it likely to own, tangible moveable property which:

- Is worth more than £6000; or YES NO
- Is not used for the normal running of the company; or YES NO
- Can be used personally by scheme members or anyone connected with them YES NO

If you ticked yes to any of the above, please give details

Does the company own, or is it likely to own, residential property?

YES NO

If yes, please give details including number and type of properties and their values

Does the company have an interest in any other entity?
(e.g. shares in another company or partnership)

YES NO

2 Details of shares to be purchased

Number of shares to be purchased

Type of share

Price per share

£

Name of vendor (if new issue, please specify)

If the vendor is a connected party, an independent written valuation of the shares will be required.

Will you become a director of the company?

YES NO

3 Commercial Prudence

Please supply copies of all relevant information on this company including:

- the most recent annual accounts and latest management accounts
- any business plan available
- future financial forecasts

Please also state why you feel that this will be a good investment for your pension scheme:

4 Declaration (to be signed by all member trustees)

Curtis Banks PLC will rely on this declaration. You should read it carefully and if you do not understand any part of it, please ask us for further guidance.

- I/we declare that to the best of my knowledge and belief all statements made in this questionnaire (whether in my handwriting or not) are accurate and complete
- I/we have had the opportunity to read and understand the Curtis Banks guidance notes on [Investments](#) and [Unquoted Equities](#) and believe that the investment set out above is an acceptable pension scheme investment and will continue to be in the future
- I/we confirm that I am solely responsible for the outcome of this investment
- I/we understand that Curtis Banks PLC and its trustee company Colston Trustees limited have given no advice in relation to the suitability of this investment and I accept that their liability shall be limited to the assets of the pension scheme
- I/we confirm that I will monitor this investment to ensure that it will not lead to tax charges or penalties being imposed by HM Revenue & Customs and I accept liability for any such charges or penalties.

Signature(s)

Name(s)

Date

When completed, this questionnaire together with any supporting documents should be returned to:

Curtis Banks PLC, Colston Tower, Colston Street, Bristol, BS1 4UX