



STOCKBROOK CAPITAL

Appropriateness
Assessment Forms
&
Non-Disclosure
Agreements

Bank House, 15 Gosditch Street, Cirencester GL7 2AG

01285 440 222

www.stockbrookcapital.co.uk

Your capital is at risk.

Stockbrook Capital 2025

APPROPRIATENESS ASSESSMENT

Adhering to the [COBS 10.2 Guidelines](#) set out by the Financial Conduct Authority (FCA), we are required to obtain sufficient information from you in order to assess your suitability for the services and/or investment opportunities we promote. It is therefore mandatory to complete the appropriate assessment questions below before you receive the investment materials or decide to invest.

Stockbrook Capital and its investment partners will assess whether you possess the requisite knowledge and experience to comprehend the risks involved with the investments we offer.

Please complete and return your onboarding documents by;
electronic submission via **Adobe-Sign**,
via email to: **compliance@stockbrookcapital.co.uk**,
or via post to: **Stockbrook Capital, Bank House, 15 Gosditch Street, Cirencester GL7 2AG**

ANTI-MONEY LAUNDERING

To proceed and complete your onboarding in accordance with internationally recognised standards for the prevention of money laundering, the documents and information set out below must be provided:

FOR EACH APPLICANT, THE FOLLOWING IS REQUIRED:

A clear copy of **one** of the following documents **no more than 3 months old** which confirm that the address given below is that person's residential address:

- Gas, electricity, water or telephone bill (not mobile)
- Bank or Building Society statement/correspondence
- HMRC or DWP letter of correspondence
- Council rates bill or similar document issued by a recognised authority

Please also provide a legible copy of **one** of the following photographic identification documents:

- National Identity Card
- Valid passport (6 months from expiry)
- Valid full/provisional driving licence (6 months from expiry)

CONFIRMATION

Upon receiving your completed Appropriate Assessment Forms and Anti-Money Laundering (AML) documents, Stockbrook Capital's Compliance Team, in collaboration with affiliated companies, will use the provided information to conduct identity verification, AML checks, and compliance assessments. Once the verification process is successfully completed, you will be invited to review our portfolio of companies, subject to suitability criteria.

If you require any assistance during this process, or if there is anything further we can do for you, please don't hesitate to get in touch with a member of our team who will be more than happy to help.

At this stage, we encourage all new investors to familiarise themselves with our risk awareness, which can be found by visiting www.stockbrookcapital.co.uk/risk-awareness.

Stockbrook Capital would like to take this moment to thank you for your interest, and we look forward to working towards a successful and prosperous relationship with you.

Stockbrook Capital's Compliance Team

APPROPRIATENESS ASSESSMENT

Stockbrook Capital (Office)	
Investment Consultant	
Date of Initial Enquiry	
Investor Status	

Personal Details	
Title	
Surname(s)	
Forename(s)	
Date of Birth	
Passport / NI Number	
Nationality	
Country of Residence	
Marital Status	
Number of Dependents	

Contact Details	
House Name/Number	
Street Name	
Town	
City	
Country	
Postcode	
Mobile Telephone	
Home Telephone	
Email	
Preferred Method of Communication	<p>Email</p> <p>Letter</p> <p>Telephone</p> <p>Text/WhatsApp</p>

CURRENT EMPLOYMENT AND FINANCIAL POSITION

To assess the appropriateness of the financial products we may promote to you, we need a comprehensive understanding of your current financial position, affordability, investment objectives, and risk tolerance. Kindly complete the following to the best of your knowledge.

Employment Details	
Employment Status	Full Time Employed Part Time Employed Self Employed Retired Full Time Education Unemployed
Name of Employer/Business	
Profession/Industry/Sector	
If applicable, how long have you worked for your current employer?	Years Months
If applicable, what position do you currently hold within your company?	

Investments, Objectives and Risk Tolerance	
Annual Income	£50,000 - £100,000 £100,000 - £200,000 £200,000 - £300,000 £300,000 - £500,000 £500,000 - £1,000,000 £1,000,000+
Do you own your primary residence?	Yes No
What is the value of your primary residence?	

Investments, Objectives and Risk Tolerance	
What is the value of your investment portfolio? Including Funds, Shares, ISAs, Bonds, etc.	<p>£10,000 - £100,000</p> <p>£100,000 - £250,000</p> <p>£250,000 - £500,000</p> <p>£500,000 - £1,000,000</p> <p>£1,000,000 +</p>
What is the current value of the other investments? E.g. Classic cars, Art, Luxury Assets, Forex, Crypto, Real Estate	<p>£10,000 - £100,000</p> <p>£100,000 - £500,000</p> <p>£500,000 - £1,000,000</p> <p>£1,000,000 +</p>
What is the risk diversity in current portfolio?	<p>Low Risk</p> <p>Medium Risk</p> <p>High Risk</p> <p>Balanced</p>
Which of the following best describes your investment objectives?	<p>Income</p> <p>Capital Growth</p> <p>Balanced</p>
Which of the following best describes your intended investment?	<p>Placing all of my money in the intended investment</p> <p>Diversifying 50% of my portfolio in the intended investment</p> <p>Diversifying <10% of my portfolio in the intended investment</p>
Please confirm that you understand the following when making investments:	I understand that all investments can rise or fall in value, my capital is at risk, and I may not recover the full amount I invested.
What is your average investment size and dealing range?	<p>£10,000 - £50,000</p> <p>£50,000 - £100,000</p> <p>£100,000 - £250,000</p> <p>£250,000 - £500,000</p> <p>£500,000+</p>

Investments, Objectives, Frequency and Risk Tolerance	
How often do you invest?	<p>Once a month</p> <p>Once a year</p> <p>Up to five times a year</p> <p>Frequently throughout the year</p>
How many individual financial investments have you made in the past 2 years?	<p>None</p> <p>1 - 5 investments</p> <p>5 - 10 investments</p> <p>More than 10 investments</p>
How long do you tend to hold your investments?	<p>Short Term (0 - 3 years)</p> <p>Medium Term (3 - 5 years)</p> <p>Long Term (5 years +)</p>
What is your expected annual return on investments?	<p>0 - 5%</p> <p>5 - 10%</p> <p>10% +</p>
Do you currently seek financial advice elsewhere?	<p>Yes</p> <p>No</p>
Name of Firm/Advisor/Broker (If applicable)	
Please select which products you are interested in:	<p>Stocks</p> <p>Bonds</p> <p>Funds</p> <p>Property</p> <p>Commodities</p> <p>ISAs</p> <p>Pension</p> <p>Alternatives</p> <p>Other</p>

Investments, Objectives, Frequency and Risk Tolerance	
Please declare which type of investor you are (If you are unsure, full investor declaration terms can be provided upon request)	Financial Advisor/Wealth Manager/Financial Planner Institution/Corporate Investor Ultra High-Net Worth Certified High-Net Worth Investor Sophisticated Investor Angel Investor
Which of the following have you invested into before?	Savings and Deposits Bonds Funds / ETFs Unit Trusts Stocks and Shares Derivatives / CFDs / Crypto None
How many years of investing experience do you have?	0 - 3 years 3 - 5 years 5 years +
ISAs	
Do you use your annual tax-free ISA allowance? (24/25 is £20,000)	Yes No
Are you interested in receiving details on ISA investments for the current/upcoming year?	Yes No
EIS/SEIS/VCTs	
Have you previously invested in companies qualifying under the UK Enterprise Investment Scheme (EIS) or Seed Enterprise Investment Scheme (SEIS)?	Yes No
Would you consider tax-efficient investment instruments such as EIS, SEIS, or VCTs?	Yes No

RISK AWARENESS AND UNDERSTANDING

Please confirm your understanding and acceptance of the following:

1. I acknowledge that all investments carry inherent risks. The value of shares, bonds, and the income derived from them can fluctuate, meaning I may not recover the full amount of my original investment.
2. I recognise the importance of considering my personal financial circumstances before engaging in any investment activities.
3. I will inform Stockbrook Capital of any personal circumstances not previously disclosed that could make certain investment products unsuitable for me.
4. I understand that Stockbrook Capital operates solely as an Introductory Broker and accepts no responsibility or liability for the performance of my investments.
5. I understand that Stockbrook Capital may earn a commission, placement fee, or introduction fee for investments introduced to companies within their portfolio.
6. I have assessed my eligibility to make investments and acknowledge my option to seek independent, professional advice to ensure a well-informed decision-making process.
7. I have reviewed the risk information provided by Stockbrook Capital, available on their website at www.stockbrookcapital.co.uk/risk-awareness and in their marketing materials.
8. I am confident in my judgment and believe myself capable of making informed investment decisions.

DECLARATIONS

This agreement complies with Anti-Money Laundering Regulations, which require Stockbrook Capital to verify the identities of its clients. To initiate an investment, I may be required to provide valid identification. All compliance and identity verification are subject to a standard fee of £20.00.

I understand that for investments or placements made through Stockbrook Capital's introduction, a separate £100 administration fee applies. This fee must be paid separately and cannot be deducted from the investment funds.

Upon submitting a signed subscription to invest in any offering introduced by Stockbrook Capital, a three-day cooling-off period is provided for reconsideration. It is my responsibility to notify Stockbrook Capital within this period, via email, telephone, or written communication, if I wish to cancel the trade.

After the cooling-off period, a cancellation fee of 10% of the pledged funds will apply to any cancelled or unfulfilled transaction. I understand that the administration and compliance fees are non-refundable. (Please refer to our Dealing Charges for further details.)

The information provided by me is accurate to the best of my knowledge. I commit to promptly informing Stockbrook Capital of any changes to my personal, material, or financial circumstances.

Name:

Signature:

Date:

DEALING CHARGES AND RATE CARD

Administration and Compliance Fee	£100.00
Private Equity Placement Fee	1%
Bond/Loan Note Placement Fee	0.5%
Fund Placement Fee	0.5%
ISA Placement	0.5%
Stamp Duty on Purchases	0.5%
Capital Gains Tax Report (CGT)	£80.00
Transferring Investments	£25.00
Existing Client Portfolio Reviews	Free
New Client Portfolio Reviews	Free
BACS	Free
Chaps / Cheque Payment	£30.00
Late Settlement Charge	£20.00
International Payments	£30.00
Proxy Voting	£30.00
Private Equity Performance Fee	10% of Profits (Exit)
Trade Cancellation Fee	10% of Pledged Funds

INITIALS:

COMPLAINTS PROCEDURE

Stockbrook Capital Limited takes customer complaints very seriously and pledges to:

- Investigate each complaint competently, diligently and impartially.
- Assess each complaint fairly, consistently and promptly with respect to subject matter, whether it should be upheld and what remedial action or redress may be appropriate.
- Offer redress or remedial action when appropriate.
- Explain to the complainant promptly and, in a way that is fair, clear and not misleading, its assessment of the complaint.
- Consider complaints as an opportunity to learn, adapt, improve and provide customers with a better and improved service.

Stockbrook Capital endeavours to resolve all complaints at the earliest opportunity and to keep complainants periodically updated on the progress of their complaints.

If you wish to make a complaint, please email complaints@stockbrookcapital.co.uk and subject your email as 'Complaint'.

NON-DISCLOSURE AGREEMENT

This Non-Disclosure Agreement ("Agreement") is made and entered into as of

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(the "Effective Date"),

by and between Stockbrook Capital (UK Reg: 10553595), referred to as the "Disclosing Party," and the recipient,

.....

referred to as the ("Receiving Party.")

WHEREAS, the Disclosing Party possesses certain confidential and proprietary information relating to investment offerings by Stockbrook Capital, and, WHEREAS, the Receiving Party desires to obtain access to the confidential information for the purpose of evaluating potential investment opportunities;

NOW, THEREFORE, in consideration of the mutual promises and covenants contained herein, the parties agree as follows:

1. Confidential Information;

(a) The Disclosing Party agrees to disclose certain confidential and proprietary information including, but not limited to, financial statements, business plans, strategies, projections, business dealings, customers, or other data (collectively referred to as "Confidential Information") to the Receiving Party.

(b) The Receiving Party agrees to receive and maintain the Confidential Information in strict confidence and to use it solely for the purpose of evaluating and considering investment opportunities with respect to the investment company. The Receiving Party shall not disclose this information to any third party, except as specified in Section 2.

2. Permissible Disclosure;

(a) The Receiving Party may disclose the Confidential Information to its officers, employees, and advisors who need to know such information for the purpose specified in Section 1

(b). The Receiving Party shall ensure that such individuals are bound by obligations of confidentiality similar to those set forth in this Agreement.

(c) The Receiving Party may disclose the Confidential Information to its legal or financial advisors, provided that they are apprised of the confidential nature of the information and agree to be bound by the terms of this Agreement.

(d) The Receiving Party may disclose the Confidential Information if required by law, provided it gives prior written notice to the Disclosing Party, to the extent legally permissible, so that the Disclosing Party may seek a protective order or other appropriate remedy.

3. Obligation to Protect Confidential Information;

(a) The Receiving Party agrees to exercise reasonable care to protect the Confidential Information from unauthorised use, disclosure, or distribution, using at least the same degree of care that it employs for its own similar information.

(b) The Receiving Party shall promptly notify the Disclosing Party upon discovering any unauthorised use, disclosure, or loss of the Confidential Information.

(c) The Receiving Party shall promptly return or destroy all Confidential Information, including any copies or reproductions, upon the written request of the Disclosing Party or upon termination of this Agreement.

4. Term and Termination;

(a) This Agreement shall continue in effect for a period of 3 months from the Effective Date.

(b) Either party may terminate this Agreement at any time upon written notice to the other party.

(c) The provisions of this Agreement shall survive termination, and the Receiving Party's obligations of confidentiality shall remain in effect after termination.

5. Restrictions on Contact;

The Receiving Party agrees that it shall not, directly or indirectly, contact or attempt to contact any company within Stockbrook Capital's portfolio without the prior written consent of the Disclosing Party.

6. Governing Law and Jurisdiction;

This Agreement shall be governed by and construed in accordance with the laws of the United Kingdom. Any dispute arising out of or in connection with this Agreement shall be exclusively resolved by the competent courts of the United Kingdom.

7. Entire Agreement;

This Agreement constitutes the entire understanding of the parties and supersedes all prior discussions, negotiations, and agreements relating to the subject matter hereof.

IN WITNESS WHEREOF, the parties have executed this Non-Disclosure Agreement as of the Effective Date.

Investor's Details;

Full name:

Signature:

Date:

On behalf of Stockbrook Capital;

Full name:

Signature:

Date:

HIGH NET WORTH INVESTOR DECLARATION

Adhering to the guidelines set out by the Financial Conduct Authority (FCA), we are required to obtain an investor declaration from you in order to ensure that you are suitable for the services and/or investment opportunities we introduce. It is therefore mandatory to complete a High Net Worth Declaration Form before you receive the investment materials or decide to invest.

Following a brief introduction/suitability call, Stockbrook Capital and its investment partners will assess whether you possess the requisite knowledge and experience to comprehend the risks involved when investing in such investments.

Please complete and return this form by;
electronic submission via **Adobe-Sign**,
via email to: **compliance@stockbrookcapital.co.uk**,
or via post to: **Stockbrook Capital, Bank House, 15 Gosditch Street, Cirencester GL7 2AG**

HIGH NET WORTH INVESTOR STATEMENT

Please note that this statement must be confirmed every 12 months.

I make this statement so that I can receive promotional communications which are exempt from the restriction on promotion of non-mainstream pooled investments. The exemption relates to certified high net worth investors and I declare that I qualify as such because at least one of the following applies to me:

I had, throughout the financial year immediately preceding the date below, an annual income to the value of £100,000 or more. Annual income for these purposes does not include money withdrawn from my pension savings (except where the withdrawals are used directly for income in retirement).

I held, throughout the financial year immediately preceding the date below, net assets to the value of £250,000 or more.

Net assets for these purposes do not include:

- (a) the property which is my primary residence or any money raised through a loan secured on that property; or
- (b) any rights of mine under a qualifying contract of insurance; or
- (c) any benefits (in the form of pensions or otherwise) which are payable on the termination of my service or on my death or retirement and to which I am (or my dependants are), or may be, entitled; or
- (d) any withdrawals from my pension savings (except where the withdrawals are used directly for income in retirement).

I accept that the investments to which the promotions will relate may expose me to a significant risk of losing all of the money or other property invested. I am aware that it is open to me to seek advice from an authorised person who specialises in advising on non-mainstream pooled investments.

Name:

Signature:

Date:

SOPHISTICATED/PROFESSIONAL INVESTOR DECLARATION

Adhering to the guidelines set out by the Financial Conduct Authority (FCA), we are required to obtain an investor declaration from you in order to ensure that you are suitable for the services and/or investment opportunities we introduce. It is therefore mandatory to complete a Sophisticated/Professional Declaration Form before you receive the investment materials or decide to invest.

Following a brief introduction/suitability call, Stockbrook Capital and its investment partners will assess whether you possess the requisite knowledge and experience to comprehend the risks involved when investing in such investments.

Please complete and return this form by;
electronic submission via **Adobe-Sign**,
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or via post to: **Stockbrook Capital, Bank House, 15 Gosditch Street, Cirencester GL7 2AG**

SOPHISTICATED/PROFESSIONAL INVESTOR STATEMENT

Please note that this statement must be confirmed every 12 months.

I declare that I am a sophisticated/professional investor for the purposes of the restriction on promotion of non-mainstream pooled investments. I understand that this means;

I can receive promotional communications made by a person who is unauthorised by the Financial Conduct Authority which relate to investment activity in non-mainstream pooled investments; the investments to which the promotions will relate may expose me to a significant risk of losing all of the money invested.

I am a professional/sophisticated investor because at least one of the following applies:

- I am a member of a network or syndicate of business angels and have been so for at least the last six months prior to the date below;
- I have made more than two investments in unlisted companies in the last two years prior to the date below;
- I am working, or have worked in the two years prior to the date below, in a professional capacity in the private market sector, or in the provision of finance for small and medium enterprises;
- I am currently, or have been in the two years prior to the date below, a director of a company with an annual turnover of at least £1 million.

I accept that the investments to which the promotions will relate may expose me to a significant risk of losing all of the money or property invested. I am aware that it is open to me seek advice from someone who specialises in advising on non-mainstream pooled investments.

Name:

Signature:

Date: