

Dealing Instructions

Warning Notice - Investment Platform

Whilst Capital International Limited (“CIL”, “we”, “us”) will not be obliged to warn you of the nature of any risks involved in any transactions recommended for you or provide you with written risk warnings in relation to transactions in derivatives or warrants, in submitting this Dealing Instruction, your attention is nevertheless drawn to the following matters:

- 1) You recognise that the service we offer you is an Execution Only dealing and custody service – we have not provided you with advice, nor have we assessed the suitability of any transaction you are requesting having regard to your circumstances or level of sophistication as an investor.
- 2) It is your responsibility to fully understand the implications of investing in, or disinvesting from, the requested asset(s) and we accept no liability for any future losses that may be suffered by you as a result of your Dealing Instruction.
- 3) You recognise that in executing your Dealing Instruction(s) we have no fiduciary duty of care to you in connection with those instructions beyond ensuring settlement of the sale, or of the purchase and subsequent safe custody of the applicable asset.
- 4) In the event that your Dealing Instruction is in connection with a ‘money up front’ collective investment fund or unit trust, you do so on the basis that you understand the risks which this entails and that we accept no liability for any loss which may arise from the failure or suspension from trading of the asset between submission of the advance payment and the intended issue of the requisite contract note or the non-receipt of a contract note until settlement day, or at all.
- 5) We are not obliged to warn you of the nature of any risks involved in any transactions recommended for you or to provide you with written risk warnings in relation to transactions in derivatives or warrants, and the protections of the Rulebook in relation to giving suitable advice do not apply to Execution Only services. You therefore recognise that by proceeding with giving us any Dealing Instruction, the onus rests on you to seek independent advice prior to making any trade, where needed.
- 6) If your Dealing Instruction relates to an asset with the following characteristics or similar;
 - a) It may have a limited secondary market should you wish to sell the asset;
 - b) It may be an illiquid asset that trades infrequently;
 - c) Is deemed only suitable for sophisticated, professional, High Net Worth or experienced investors.

Where this is the case you confirm that the asset is appropriate for you and your level of investor experience and that we have no responsibility for assessing your level of sophistication or whether the asset is suitable for you.
- 7) Where you seek advice from a third party, whether or not they are required to be regulated, you acknowledge that we have no influence over or responsibility for any person from whom you seek advice or for the advice so given.
- 8) If your Dealing Instruction relates to an asset with restrictions concerning where / how / to whom it may be offered for sale you confirm that you are not disqualified from investing in the chosen asset.
- 9) You recognise that your Dealing Instruction may relate to an asset which may result in the payment of a soft commission directly to your appointed advisor from the asset manager. You recognise that we have no influence over this soft commission and should you want any details about any soft commission payments you should seek this from your appointed advisor.

Capital International Limited

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Create Tomorrow.
Start Today.

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Investment Platform



Please email instruction to dealinggroup@capital-iom.com

We will process the below Dealing Instruction(s) in accordance with our Agreement with you as defined in our Terms of Business. Neither we nor any of our subsidiary companies can be held responsible if the information provided is incomplete or inaccurate, or if delays occur as a result whilst placing your Dealing Instructions into the marketplace.

Account Portfolio Name: Date: Telephone Number:

Account Portfolio Number: Contact Name: E-mail Address:

SEDOL or ISIN	Buy / Sell / Switch	Order Size		Stock Name (in full)	Asset Currency	Settlement Currency	Limit Price (if applicable)	Comments/Notes
		Value	Units/Nominal					
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								

By signing and submitting this Dealing Instruction you acknowledge, understand and accept the risks contained or outlined in the warning notice on page 1 of this form.

First Signature Signature: Print Name:	Second Signature Signature: Print Name:	Did you know you can register for online viewing and/or dealing access via our secure portal located on our website? Please visit: https://portal.capital-iom.com/registration/
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