

# Forward Group Fund Information Form



Welcome to Forward Group and thank you for enquiring about our Fund Services.

As an independent, owner managed business, we will work closely with you to develop the fund structure and its processes and will look to tailor our services to your specific requirements.

| A: Client Information |  |                   |  |
|-----------------------|--|-------------------|--|
| A1: Title             |  |                   |  |
| A2: Full name         |  |                   |  |
| A3: Company / Firm    |  |                   |  |
| A4: Address           |  |                   |  |
| A5: Telephone         |  | A6: Email Address |  |
| A7: Company Website   |  |                   |  |

| B: General Information            |   |
|-----------------------------------|---|
| B1: Name of Fund Promoter         |   |
| B2: Regulated Status              |   |
| B3: Proposed Name of Fund         |   |
| B4: Fund Structure                | <input type="checkbox"/> Company <input type="checkbox"/> Partnership <input type="checkbox"/> Unit Trust |
| B5: Fund Type                     | <input type="checkbox"/> Private Fund <input type="checkbox"/> Other (please state):                      |
| B6: Fund Domicile (if not Jersey) |   |
| B7: Fund Duration                 |   |
| B8: Fund Base Currency            |   |
| B9: Expected Fund Size            |   |
| B10: Expected Fund Launch Date    |   |

### C: Forward Group Services

#### Services to be provided to the Company:

|   |   |
|---|---|
| <input type="checkbox"/> C1: Structure Set Up       | <input type="checkbox"/> C6: Company Secretarial                  |
| <input type="checkbox"/> C2: Regulatory Application | <input type="checkbox"/> C7: Director Services                    |
| <input type="checkbox"/> C3: Fund Administration    | <input type="checkbox"/> C8: Compliance and MLRO                  |
| <input type="checkbox"/> C4: Bookkeeping and NAV    | <input type="checkbox"/> C9: Investor Services                    |
| <input type="checkbox"/> C5: Financial Reporting    | <input type="checkbox"/> C10: Investment Adviser / Manager Set Up |

### D: Service Provider Information

D1: Investment Manager (if applicable)

D2: Investment Adviser (if applicable)

D3: Fund Manager (if applicable)

D4: Legal Adviser

D5: Tax Adviser

D6: Current Administrator (if existing Fund)

D7: Custodian (if applicable)

D8: Auditor (if applicable)

D9: Bank

### E: Investment Information

E1: Asset Class

E2: Investment Strategy / Objective

E3: Investment Restrictions

E4: Investment Jurisdiction(s)

E5: Expected Number of Investments

E6: Expected Trading Frequency

E7: Leverage Strategy (if applicable)

| F: Investor Information               |  |
|---------------------------------------|--|
| F1: Expected Number of Investors      |  |
| F2: Target Jurisdiction of Investors  |  |
| F3: Target Investor Type e.g. UHNW    |  |
| F4: Minimum Investment Amount         |  |
| F5: Subscription / Redemption Periods |  |
| F6: Seed Investor Details             |  |
| F7: Expected Number of Closings       |  |
| F8: Register of Offers Process        |  |
| F9: Investor Communication Policy     |  |

| G: Governance Information                       |  |
|---|--|
| G1: Proposed Board Members                      |  |
| G2: Board Meeting Frequency (minimum Quarterly) |  |
| G3: Board Meeting Locations (if not Jersey)     |  |

| H: Banking and Payment Information |  |
|------------------------------------|--|
| H1: Existing Banking Relationship  |  |
| H2: Frequency of Payment Runs      |  |
| H3: Cash Management Strategy       |  |

| I: Valuation and Financial Information |  |
|--|--|
| I1: Financial Year End Date of Fund    |  |
| I2: Frequency of Financial Statements  |  |
| I3: Accounting Standard                |  |
| I4: Proposed Auditor (if required)     |  |
| I5: Valuation Frequency                |  |
| I6: Management Accounts Frequency      |  |

| J: Regulatory and Tax Reporting Information |  |
|---|--|
| J1: Specific Investor Reporting for Tax     |  |
| J2: AIFMD Reporting and Jurisdictions       |  |



# Supplementary Information and Due Diligence

Forward Group will require the following information from the Promoters of the Fund.

**A)** Signed JPF Promoter Questionnaire and Declaration and supporting documentation of all parties appointed to the Fund, including;

- Manager
- Promoter
- Directors (including full details and dates of previous employment)
- Investment Manager\*
- Investment Advisers/Trading Manager(s)\*

\*Including details of funds under management and performance

**B)** Description of;

- Investment objectives
- Markets/Sectors in which the Fund will invest
- Investment Strategy/Philosophy
- Investment Restrictions/Trading Policies
- Profile of targeted investors and explanation of why the Fund is appropriate for them
- Valuation procedures

**C)** Terms of Investment Management/Advisory, Trading Management and Management Agreements, as applicable

## Declaration and Sign off

**I hereby confirm that:**

- The above particulars are true and correct to the best of my knowledge, information, and belief;
- I have read and understood the Forward Group Terms of Business and I agree to be bound by the Terms which, for my ease of reference are located here: [Forward Terms and Conditions of Business](#);
- I undertake to notify you within 30 days of any changes to the information provided in this Form;
- I have never been declared bankrupt in any part of the world or been a director or otherwise concerned in the management of a company which has been subject to an insolvent liquidation or judicial enquiry in any part of the world; and
- I consent to you disclosing the information contained herein to third parties, as appropriate, including relevant tax authorities.



# Supplementary Information and Due Diligence

## Terms and Conditions

Our terms and conditions for assisting in the organisation and establishment of your Fund will be subject to a separate agreement, which will specify the arrangement between the parties, including, inter alia, the timescale and payment terms, which will be;

- Once we have given a firm quotation for the organisational expenses and this quotation has been accepted in writing, we will then require 50% of the take on fee to be paid on account;
- Once we have incorporated the Fund corporate vehicle(s), as required, and submitted the regulatory application, we will require a second payment of a further 25% of the take on fee; and
- The balance outstanding (25% of sum quoted), plus any agreed out of pocket expenses, will be paid within one week after the launch of the Fund.

## Applicant

Forward Group may contact the undersigned regarding any matters relating to this Form, which are given in strictest confidence and on the understanding that they will be treated as **confidential** by Forward Group. The undersigned undertakes to provide the information and references described in this Form and hereby confirms agreement to the Terms and Conditions described above, subject to agreement with the schedule and terms of payment of Forward Group's interim fees referred to above.

|               |  |
|---------------|--|
| K1: Full Name |  |
| K2: Company   |  |
| K3: Position  |  |
| K4: Date      |  |