

ELECTIVE
PROFESSIONAL
CATEGORISATION

NAME

REFERENCE

West Hill Capital LLP, Becket House, 36 Old Jewry, London EC2R 8DD

T +44 (0) 20 3440 7555 enquiries@westhillcapital.co.uk westhillcapital.co.uk

NOTICE IN RESPECT OF TREATMENT AS AN ELECTIVE PROFESSIONAL

The purpose of this document is to advise you that under the rules of the Financial Conduct Authority (“FCA”) we are proposing to categorise you as an Elective Professional for all services, on the basis of your experience and understanding of the nature of transactions and services envisaged and the risks involved. We are proposing this categorisation on the basis that we have undertaken an assessment of your expertise, experience and knowledge and concluded that it gives reasonable assurance, in the light of the nature of the transactions or services envisaged, that you are capable of making your own investment decisions and understanding the risks involved and therefore meet the qualitative tests as set out in the FCA rules.

Once an investor has been classified as an Elective Professional he or she will lose the protections applicable exclusively to retail investors under the FCA rules. Certain of the FCA rules will automatically be limited or modified in their application to the investor.

The following protections will not apply to the Investor as an Elective Professional:

- West Hill Capital LLP will not be obliged to warn the investor of the nature of any risks involved in any potential investments.
- West Hill Capital LLP will not be obliged to disclose the basis or amount of its charges for any services West Hill Capital LLP provides to you or on your behalf or the amount of any other income that West Hill Capital LLP may receive from third parties in connection with such services.
- West Hill Capital LLP will not be obliged to set out any of the prescribed contents, disclosures or risk warnings needed for retail customers in prospectuses, marketing brochures and other non real-time financial promotions material, nor will West Hill Capital LLP be subject to the restrictions that apply to a retail investor in relation to unsolicited real time communications to investors.
- West Hill Capital LLP will also not be required to comply with the FCA rules relating to restrictions on and the content of direct offer advertisements.

The following rules will be limited or modified in their application to you as an Elective Professional:

- The majority of the FCA rules in relation to the form and content of financial promotions will not be applicable in respect of any financial promotion communicated or approved by West Hill Capital LLP.
- West Hill Capital LLP will not be required by the FCA to provide you with a periodic statement on the value and composition of your investments.
- If an Investor has a complaint they may contact our Compliance Officer who will endeavor to resolve the matter speedily and efficiently but an Elective Professional may lose the right to access the financial ombudsman service.

It is your responsibility to notify West Hill Capital LLP if your circumstances have changed that might affect your classification as an Elective Professional. As an Elective Professional you are strongly recommended to monitor your exposure to high risk investments relative to your portfolio as a whole.

West Hill Capital LLP may have regard to your expertise when complying with the requirements under the regulatory system that communications must be clear, fair and not misleading.

If you agree to be categorised as an Elective Professional please sign and return this letter by post to West Hill Capital LLP, Becket House, 36 Old Jewry, London EC2R 8DD. Alternatively you can email an electronically signed copy of this letter to enquiries@westhillcapital.co.uk

Should you have any questions in relation to this categorisation, please do not hesitate to contact a member of our team at West Hill Capital LLP on +44 (0) 20 3440 7555.

I AGREE TO BE CATEGORISED
AS AN ELECTIVE PROFESSIONAL

NAME _____

SIGNED _____

DATE _____

Tick this box to sign the agreement if you are returning it electronically.



THANK YOU

West Hill Capital LLP, Becket House, 36 Old Jewry, London EC2R 8DD
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