Personal Account Dealing Transaction Form

Any business conducted by a member of staff, on their own account, will be recorded on a personal account dealing register.

Employee Name	
Person Proposing to Deal	
Details of Proposed Transaction	
Provider & Wrapper	
Investment name	
Investment ISIN Code	
Buy or Sell	
Approximate Value	
Additional Information	
☐ **I confirm that I am not an insider in relation to this transaction**	
Signature	
Date	

Sign Off

This personal account transaction is approved from a compliance point of view only when signed below by the Compliance Officer. If the transaction is not executed within four days then a new request must be completed. You should ensure that you promptly forwards a copy of the contract note to Clare Edes, Compliance Manager.

Approver Signature	
Date	

Approvers: Clare Edes, Charlie Lloyd, Louise Hearn

Compliance Use Only

	Y / N	Initials
1. Is stock held in any Funds or Portfolios	☐Yes ☐ No	
2. Copy contract note received?	☐Yes ☐ No	
3. Contract note details match?	☐Yes ☐ No	
4. Trade date within 4 days?	☐Yes ☐ No	
5. Any deals by the firm within Rebalance of Portfolios or VT Esprit Funds?	☐Yes ☐ No	
Additional Information		