

FOR INTERNAL USE ONLY

Exec: \_\_\_\_\_ Client code: \_\_\_\_\_  
 Name of account: \_\_\_\_\_  
 .....

Pine Grange, Bath Road,  
 Bournemouth, BH1 2NU  
 Tel: 01202 295000

Authorised and regulated by the Financial Conduct Authority.  
 Member of the London Stock Exchange.

## ADVISORY ACCOUNT: TRUST REGISTRATION AND FACTFIND

### IDENTITY REQUIREMENTS

Under FCA rules and to enable us to comply with the relevant Money Laundering Regulations we require proof of identity and proof of residential address, **one from each of the following lists**, for the trustees as well as the settlor, any controllers and the beneficiaries. Postal applications should be accompanied by two proofs of identity and one proof of address. We may also undertake supplementary electronic identification checks. Personal and Corporate account applicants should use separately designated registration forms.

#### Proof of identity

- Current passport
- Current UK driving licence
- DWP benefit/pension statement
- HMRC tax notification
- Court sealed Grant of Probate
- Birth certificate (minor beneficiaries)

#### Proof of address

- Proof of identity document with address if not already used as proof of identity
- Recent utility bill (not mobile telephone)
- Recent Council Tax bill
- Recent bank statement
- Recent mortgage statement

### ADDITIONAL DOCUMENTARY REQUIREMENTS FOR TRUSTS

We require the original or a certified copy of the appropriate trust instrument(s) from the following list:

Trust Deed	<input type="checkbox"/>	Will	<input type="checkbox"/>
Trust Investment Policy	<input type="checkbox"/>	Intestacy / Special Trust	<input type="checkbox"/>
Settlor's side letter	<input type="checkbox"/>		

**ALL SECTIONS OF THIS FORM MUST BE COMPLETED**

### Section 1: Trust Information

Trust name			
Short name or Designation		Regd. Charity	
Single or multiple Trust		Full or part CGT exemption	
Trust created by	Deed	Will	Intestacy
Settlor's name			
Settlor's address and postcode (if applicable)			
Date of Deed / Will		Date of Settlor's death	
Vesting date		10 year anniversary	
Type of trust	Discretionary	Vested Interest (IIP)	A & M
	Bare	Charitable	Other
Trust domicile		HMRC Tax office	

## Section 2: Trustees

	<b>Trustee 1 - Main contact</b>	<b>Trustee 2</b>
Title		
Surname		
Forename(s)		
Address and postcode		
Telephone		
Email address		
Date of appointment		

Place and Country of birth	City/Town – Country –	City/Town – Country –
Nationality		
Are you a resident for tax purposes anywhere other than the UK?	Yes / No	Yes / No
If 'Yes' where are you resident?		
Tax Reference Number or UK National Insurance Number		
Are you a US citizen?	Yes / No	Yes / No

	<b>Trustee 3</b>	<b>Trustee 4</b>
Title		
Surname		
Forename(s)		
Address and postcode		
Telephone		
Email address		
Date of appointment		

Place and Country of birth	City/Town – Country –	City/Town – Country –
Nationality		
Are you a resident for tax purposes anywhere other than the UK?	Yes / No	Yes / No
If 'Yes' where are you resident?		
Tax Reference Number or UK National Insurance Number		
Are you a US citizen?	Yes / No	Yes / No

*(if there are additional trustees please complete further sheets as necessary and append to this registration form)*

### Section 3: Professional Contacts

Accountant for Trust	Accountant for Life Tenant	Solicitor
To receive end of year tax pack Yes / No	To receive end of year tax pack Yes / No	

### Section 4: Beneficiaries

Type of beneficiary	Life Tenant		
Title		Marital status	
Surname			
Forename(s)			
Address and postcode			
Telephone			
Email address			
Date of birth		State of health	
Place and Country of birth	City/Town – Country –		
Nationality			
Employment status			
Occupation / profession (former if retired)		Financial situation	
Financial dependents (age and relationship)			

What is your tax status?	Non <input type="checkbox"/>	Basic <input type="checkbox"/>	Higher <input type="checkbox"/>	Additional <input type="checkbox"/>
Are you a resident for tax purposes anywhere other than the UK?	Yes / No			
If 'Yes' where are you resident?				
Tax Reference Number or UK National Insurance Number				
Are you a US citizen?	Yes / No			

Type of beneficiary	Residuary / Discretionary	Residuary / Discretionary
Title		
Surname		
Forename(s)		
Address and postcode		
Telephone		
Email address		
Date of birth		
Place and Country of birth	City/Town – Country –	City/Town – Country –
Nationality		
Marital status		
Employment status		
Occupation / profession (former if retired)		
Financial situation		
Financial dependents (age and relationship)		

What is your tax status?	Non <input type="checkbox"/> Higher <input type="checkbox"/>	Basic <input type="checkbox"/> Additional <input type="checkbox"/>	Non <input type="checkbox"/> Higher <input type="checkbox"/>	Basic <input type="checkbox"/> Additional <input type="checkbox"/>
Are you a resident for tax purposes anywhere other than the UK?	Yes / No		Yes / No	
If 'Yes' where are you resident?				
Tax Reference Number or UK National Insurance Number				
Are you a US citizen?	Yes / No		Yes / No	

*(if there are multiple residuary or discretionary beneficiaries please complete further sheets as necessary and append to this registration form)*



## Section 6: Attitude to risk

There are inherent risks associated with investing. In certain circumstances both capital values and income can fall. I/we confirm I/we have read and understand 'Risk & Diversification' and define the Trust's attitude to risk as:

Attitude to risk	Farley & Thompson description	Please tick
Very Low risk	Investments include cash accounts, NS&I and UK sovereign debt (Gilts).	N/A
Low/Medium risk	Investments in this category comprise sovereign debt (gilts) and investment grade corporate bonds, bond funds and gilt funds. To a lesser extent more volatile assets such as broadly-based UK and global equity collectives may be recommended in limited proportions but <b>no direct equity</b> shareholdings. These investments are likely to produce a predictable level of income but will not offer much prospect for capital growth.	Inc COLLS
Medium risk	Investments in this category will include those in the Low/Medium risk group but proportionately will have a higher content of more volatile equity-based assets but are <b>unlikely to include direct equity</b> shareholdings. Collective investment recommendations in the Medium risk category may also include those with a broad thematic objective. These investments combined have the potential for both income generation and capital growth.	Inc/Bal COLLS
Upper Medium risk	Investments in this category may include those in the Low/Medium and Medium risk groups but recommendations are likely to have a greater focus on more volatile equity-based assets, particularly direct equity shareholdings in FTSE100 and 250 companies. Collective investment recommendations may include those with more specialised or narrow-ranging remits. These investments combined have the potential for generating capital growth with some income.	Bal or Gro
Medium/High risk	Investments in this category may include all those in the Low/Medium, Medium and Upper Medium risk groups with an emphasis on a broader spectrum of investments. There is likely to be a significant focus on the most volatile assets, including FTSE100 and 250 direct equity holdings and to a more limited extent, individual smaller company or Alternative Investment Market (AIM) shares. Recommendations may also include less liquid and narrowly-based thematic or single country funds. These investments combined have the potential for capital growth with limited prospects for income.	Gro
High risk	Investments include warrants, derivatives, futures and options as well as EIS, Venture Capital Trusts, emerging market and frontier single country funds.	Gro

## Section 7: Capital assets and bank details

Please supply us with details of the Trust bank account and so that we may understand the importance of the Farley & Thompson investments in the context of the Trust's overall wealth, please provide approximate values of any cash, property or other assets held by the Trust.

Name of bank																							
Address and postcode																							
Sort code				-										Account Number									
Account name																							

Trust Cash																						
Other savings, investments or shareholdings managed elsewhere																						
Trust Property																						

## Section 8: Your knowledge and experience

How would you best describe the trustees' level of investment knowledge and experience?

	<b>Farley &amp; Thompson definition</b>	<b>Please tick</b>
Novice investor(s).	Your investments and savings to date have been limited to a narrow range of assets e.g cash deposits and NS&I. You have no previous experience or knowledge of the stockmarket or of the main asset types such as equities, bonds and collective investment schemes.	
Inexperienced investor(s).	You may have an existing portfolio but have little personal involvement or interest. Your knowledge and experience of investments such as equities, bonds and collective investment schemes is limited but you do understand the basic concept of risk versus return.	
Moderately experienced investor(s).	You have previously invested in various asset types over a period of 3 or more years. You have a broad understanding of the main asset classes such as equities, bonds and collective investment schemes and you understand risk versus return.	
Experienced investor(s).	You have over 5 years' experience of looking after your own or another's investments and have a good level of general investment knowledge. You may have previously worked in the investment industry or the financial sector. You understand the concept of risk versus return and the general risk profiles of the various asset classes.	

Have any of the trustees either now or in the past worked in the investment, financial or legal sectors, or undertaken any professional training in these areas?

Is there any other information or special instructions you wish us to take account of?

### TRUSTEES' DECLARATION

I/We confirm that the information I/we have provided is to the best of my/our knowledge correct. I/We have provided this information understanding that it will be used to form the basis of investment advice and recommendations made to me/us and that I am/we are not under any obligation to take up any recommendations made. I/We will inform you of any changes in personal circumstances including address/nationality/residency for tax purposes.

Signed: ..... Print Name: ..... Date: .....

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Partner: ..... App  ID  T&C's  ACT!

Entered by: ..... Date: .....

Checked by: ..... Date: .....