

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: PERSONAL 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 all of the named persons to this agreement as well as any agents or attorneys who may give us instructions on their behalf. We may also undertake supplementary electronic identification checks. Trustees and Corporate 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

#### 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 or mortgage statement
- .....

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

### Section1: Personal details

	Applicant 1	Applicant 2 (if joint account)
Title		
Surname		
Forename(s)		
Address and postcode		
Telephone: Home Work Mobile		
Email address		
Date of birth		
Place and Country of birth	City/Town – Country –	City/Town – Country –
Nationality		
Marital status		
Financial dependents (age and relationship)		

## Section 2: Income and tax

	Applicant 1	Applicant 2 (if joint account)
What is your occupation or profession? (former if retired)		
Are you employed / self-employed / retired / other?		
Is work the main source of your regular income?	Yes <input type="checkbox"/> / No <input type="checkbox"/>	Yes <input type="checkbox"/> / No <input type="checkbox"/>
If retired, what is the source of your income? (private pension / state pension / savings / other)		
Do your annual outgoings exceed your annual income?	Yes <input type="checkbox"/> / No <input type="checkbox"/>	Yes <input type="checkbox"/> / No <input type="checkbox"/>
Do you have a mortgage or other borrowings?	Yes <input type="checkbox"/> / No <input type="checkbox"/>	Yes <input type="checkbox"/> / No <input type="checkbox"/>
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 <input type="checkbox"/> / No <input type="checkbox"/>	Yes <input type="checkbox"/> / No <input type="checkbox"/>
If 'Yes' where are you resident?		
Tax Reference Number or UK National Insurance Number		
Are you a US citizen?	Yes <input type="checkbox"/> / No <input type="checkbox"/>	Yes <input type="checkbox"/> / No <input type="checkbox"/>

## Section 3: Your assets

So that we may understand the importance of your Farley & Thompson investments in the context of your overall wealth please answer the following:

Do you have an accessible emergency cash reserve?	Yes <input type="checkbox"/> / No <input type="checkbox"/>		
Do you have any of the following types of savings or investments?			
Cash ISA <input type="checkbox"/>	NS&I products (incl. Premium Bonds) <input type="checkbox"/>		
Stocks & Shares ISA <input type="checkbox"/>	Share portfolio <input type="checkbox"/>		
Personal pension / SIPP <input type="checkbox"/>	Investment property <input type="checkbox"/>		
Are you a Homeowner?	Yes <input type="checkbox"/> / No <input type="checkbox"/>		
Please estimate the value of your non-property assets:			
£0 - £50,000 <input type="checkbox"/>	£50,000 - £100,000 <input type="checkbox"/>	£100,000 - £250,000 <input type="checkbox"/>	Over £250,000 <input type="checkbox"/>

## Section 4: Your account and objectives

I / We wish to open a: Nominee account  ISA / JISA  Own Name (certificates)

I / We wish to invest for:  Capital Growth  
(your main objective is growth in the value of your capital; there is no specific income requirement)

Income  
(you require a flow of dividend income or interest; growth of capital is a secondary consideration)

A Balance between growth and income  
(you seek to achieve a mix between generating capital growth and producing an income)

What is the long term purpose of this investment?

For how long are you intending to invest? .....

Are there any milestone dates? .....

Do you have any investment exclusions to be taken into account?

Do you wish to have an income paid to you? Nominee: Yes  / No  ISA: Yes  / No

If Yes, how frequently? Quarterly  Half yearly  Fixed payment (on request)

Would you like to register for our online valuation service? Yes  / No

## Section 5: Your 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 my/our 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 <u>no direct equity</u> 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 <u>unlikely to include direct equity</u> 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 6: Your knowledge and experience

How would you best describe your 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.	

## Section 7: Bank details

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

Is there any other personal or financial information you wish us to take account of, including other professional advisers?

## CLIENT 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: .....

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

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Partner: ..... App  ID  T&C's  ISA/JISA

Entered by: ..... Date: ..... ACT!

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