

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"/>	Registered Charity Number	

ALL SECTIONS OF THIS FORM MUST BE COMPLETED

Section 1: Trust Information

Trust name													
Legal Entity Identifier													
Single or multiple Trust							Full or part CGT exemption						
Type of trust	Discretionary	<input type="checkbox"/>	Vested Interest	<input type="checkbox"/>	A&M	<input type="checkbox"/>	Bare	<input type="checkbox"/>	Charitable	<input type="checkbox"/>	Other	<input type="checkbox"/>	
Trust created by	Deed	<input type="checkbox"/>	Will	<input type="checkbox"/>	Intestacy	<input type="checkbox"/>							
Settlor's name													
Settlor's address and postcode (if applicable)													
Date of Deed / Will							Date of Settlor's death (if applicable)						
Vesting date							10 year anniversary						
Trust domicile							HMRC Tax office						

Section 2: Trustees

	Trustee 1 - Main contact	Trustee 2
Title		
Surname		
Forename(s)		
Address and postcode		
Telephone		
Email address		
National Insurance Number		
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?		
Are you a US citizen?	Yes / No	Yes / No

	Trustee 3	Trustee 4
Title		
Surname		
Forename(s)		
Address and postcode		
Telephone		
Email address		
National Insurance Number		
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?		
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			
National Insurance number			
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?				
Are you a US citizen?	Yes / No			

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

Type of beneficiary	Residuary / Discretionary	Residuary / Discretionary
Title		
Surname		
Forename(s)		
Address and postcode		
Telephone		
Email address		
National Insurance Number		
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?				
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 5: Income and objectives

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

I/We wish to invest for: Capital Growth
(your main objective is growth in the value of the 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 the Trust?

For how long are you intending to invest?

Are there any milestone dates for the Trust or beneficiaries?

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

How is the Trust income to be treated? Reinvested Accumulated Paid away

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

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

Is there power to advance capital?	Yes / No
Has any capital been advanced to date?	Yes / No
Amount and beneficiaries	

Online Portal access

Would you like to register for our online valuation service? Yes / No
(if yes, you will be asked to complete an online access form)

Do you wish to receive trade confirmations electronically? (online default) or by post?

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	Capacity for loss	Please tick
Very Low risk	Investments include cash accounts, NS&I and UK sovereign debt (Gilts).	You view the security of your money as paramount, more so than the buying power of the money which would be reduced as a result of inflation.	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.	You understand risk and reward and know that your investments will fluctuate in value. You accept that it is possible to lose some of what you invest for the prospect of better 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.	You understand risk and reward and know that your investments will fluctuate in value. You accept that it is possible to lose some of what you invest for the prospect of better 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.	You fully understand risk and reward and know that your investments will fluctuate in value. You accept that there is a real risk of loss of capital but this is balanced with the prospect of greater growth.	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.	You fully understand risk and reward and know that your investments could be subject to extreme volatility. You accept that there is a real risk of loss of capital but this is balanced with the prospect of greater growth.	Gro
High risk	Investments include warrants, derivatives, futures and options as well as EIS, Venture Capital Trusts, emerging market and frontier single country funds. High risk will also include any requirement to invest exclusively in the equity of smaller capitalised companies, AIM or unquoted securities.	You fully understand risk and reward and acknowledge that your investments could be subject to extreme volatility. You accept that there is a real risk of complete loss of capital on the most speculative investment transactions.	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?

	Farley & Thompson definition	Please tick
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?

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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! Iress

Entered by: Date:

Checked by: Date: