

## REGISTRATION FORM: EXECUTION-ONLY CERTIFICATED SALES

### 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. Postal and email applications should be accompanied by two proofs of identity and one proof of address. We may also undertake supplementary electronic identification checks.

#### 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 a proof of identity)
- Recent utility bill (not mobile telephone)
- Recent Council Tax bill
- Recent bank or mortgage statement

#### Important information –

- This form should only be used for the disposal of own name certificated stock on an execution-only basis by the registered shareholder. If acting as Power of Attorney or Executor please ask for the appropriate form.
- Farley & Thompson will not provide any advice or assess your financial circumstances or the merits or suitability of any transaction.
- This application is valid for the disposal of holdings listed in section 2 of this form only.
- Stocks will be dematerialised prior to sale.
- Following settlement of trades listed, this account will be closed.
- Future trades would require a new form to be completed along with renewed proof of identity and address.

### ALL SECTIONS OF THIS FORM MUST BE COMPLETED

#### Section 1: Personal details

|                              | Applicant 1 |  |  | Applicant 2 |  |  |
|------------------------------|-------------|--|--|-------------|--|--|
| Surname                      | Title       |  |  | Title       |  |  |
| Forename(s)                  |             |  |  |             |  |  |
| Address and postcode         |             |  |  |             |  |  |
| Telephone                    | Home        |  |  | Home        |  |  |
|                              | Mobile      |  |  | Mobile      |  |  |
| Email address                |             |  |  |             |  |  |
| Date of Birth                |             |  |  |             |  |  |
| National Insurance Number    |             |  |  |             |  |  |
| Nationality/Dual Nationality |             |  |  |             |  |  |

**Section 2:**

|   |  |
|---|--|
| Details of shareholdings for disposal under this application: |  |
|   |  |

**Section 3: Payment details**

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

Payment will be made to your account by BACS following receipt of funds in settlement.

Additional notes:

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**CLIENT DECLARATION**

I/We acknowledge this is an execution-only trade and understand that Farley & Thompson will not, and have not, provided any advice or assessed my financial circumstances or the merits or suitability of any transaction. I/We acknowledge that Farley & Thompson will close this account following settlement.

|         |  |             |  |       |  |
|---------|--|-------------|--|-------|--|
| Signed: |  | Print Name: |  | Date: |  |
| Signed: |  | Print Name: |  | Date: |  |

|                       |            |                          |                          |                          |                          |                          |
|-----------------------|------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| FOR INTERNAL USE ONLY |            |                          |                          |                          |                          |                          |
| Partner:.....         | App        | <input type="checkbox"/> | ID                       | <input type="checkbox"/> | T&C's                    | <input type="checkbox"/> |
| Entered by:.....      | Date:..... | Bank A/C & Diary         | <input type="checkbox"/> | Iress                    | <input type="checkbox"/> |                          |
| Checked by:.....      | Date:..... |                          |                          | ACT!                     | <input type="checkbox"/> |                          |

Registered address: Pine Grange, Bath Road, Bournemouth BH1 2NU