

## CUSTODY PLUS ACCOUNT: PERSONAL REGISTRATION AND FACTFIND

### IDENTITY REQUIREMENTS

Before we can establish an account, we are required under applicable Money Laundering Regulations to verify your identity. Accordingly, you will need to provide satisfactory proof of identity, proof of your residential address, and evidence of your nominated bank account. Depending on the nature of the account we may require additional documentation and will undertake supplementary electronic identification and verification checks as part of our due diligence procedures. **Postal and email applications will require two proofs of identity.**

#### Proof of identity

- Current passport
- Current photocard driving license
- HMRC tax notification
- DWP pension/benefit statement
- Court sealed Grant of Probate

#### Proof of address

- Proof of identity document with address (if not already used as proof of identity)
- Current council tax bill
- Recent mortgage or credit card statement (within last 3 months)
- Recent utility bill (not mobile phone) (within last 3 months)

#### Nominated bank account

- Recent bank statement (within last 3 months)

### ALL SECTIONS OF THIS FORM MUST BE COMPLETED

#### Section 1: Personal details

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

## Section 2: Income, tax and legal

	Applicant 1				Applicant 2 (if joint account)			
Are you employed / self-employed / retired / other?								
What is your occupation or profession? (former if retired)								
Is work the main source of your regular income?	Yes		No		Yes		No	
If No, what is the source of your income? (final salary/ state/personal pension/rental income/ investment income/ other income)								
What is your annual gross income?	£				£			
Do your outgoings exceed your income?	Yes		No		Yes		No	
What is your tax status?	Non		Basic		Non		Basic	
	Higher		Additional		Higher		Additional	
Are you a US citizen?	Yes		No		Yes		No	

## Section 3: Your assets, liabilities and expenditure

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

Property assets	Applicant 1				Applicant 2 (if joint account)			
Value of your main property	£				£			
Mortgage on main property	£				£			
Value of other property(ies)	£				£			
Other outstanding mortgage(s)	£				£			
Total net value	£				£			

Investments and Savings	Applicant 1				Applicant 2 (if joint account)			
Do you have an accessible cash reserve? (typically 3-6 months essential expenditure)	Yes		No		Yes		No	
Cash Deposits incl. Cash ISAs	£				£			
NS&I products	£				£			
Share portfolio including Stocks & Shares ISAs	£				£			
SIPP/Personal Pension	£				£			

Other Liabilities	Applicant 1				Applicant 2 (if joint account)			
Credit card/loans/other debt	£				£			
Total net worth	£				£			

## Section 4: Your account

I/We wish to open a:  **Nominee account**  **ISA** I/We wish to have a:  **Segregated CREST account**

Initial investment amount:

I/We wish to transfer stock in  (you will be asked to complete appropriate form(s))

Please indicate the origin of the funding for this account e.g. personal savings, inheritance, sale of property, pension fund.

Do you rely on this capital for your day to day living standards? Yes  No  If yes, to what extent?

What is your anticipated trading frequency? Monthly  Quarterly  Annually

What is your anticipated trade size? £0 - £10,000  £10,000 - £20,000  Over £20,000

Is there anything else we should know about your likely trading activity?

## Section 5: Please indicate below the investment types you wish to trade in.

Attitude to risk	Farley & Thompson description and investment types	Applicant 1 Please tick	Applicant 2 Please tick
<b>Very Low risk</b>	Investments include cash accounts, NS&I, money market funds and short-dated UK sovereign debt (gilts).		
<b>Low / Medium risk</b>	Investments in this category comprise sovereign debt (gilts), enhanced cash funds, short-dated gilt funds and gilt ETFs, short-dated sterling, euro and global investment grade corporate bond ETFs as well as predominantly sterling fixed interest corporate and strategic bond funds. Also flexible investment, multi-asset and fund of funds collective investments.		
<b>Medium risk</b>	Investments in this category will include those in the Low/Medium risk group as well as individual bonds, high yield and global bond funds and all comparable ETFs. All mainstream UK largecap investment trusts and UK equity income/growth unit trusts and comparable ETFs, also all global and developed economy or regional funds and comparable ETFs (including North America, Continental Europe, Asia largecap), mixed asset funds, real return funds, wide remit global Emerging Markets funds and a restricted selection of thematic funds, including ethical and socially responsible funds.		
<b>Upper Medium risk</b>	Investments in this category include all of those in the Low/Medium and Medium risk groups as well as direct equity shareholdings in FTSE100 and FTSE250 companies. Also all UK and global mid and smaller company funds and comparable ETFs, regional emerging market funds (Latin America, new Europe, Asia smallcap, selected single country funds (Japan, Germany, France, Australia, Canada, Korea and Switzerland), other thematic funds (healthcare, technology, commodities, environmental, alternative energy, financials), absolute return and hedge funds, other REITs and PAIFs and 'dark green' and restricted ethical funds.		
<b>Medium / High risk</b>	Investments in this category include all those in the Low/Medium, Medium and Upper Medium risk groups as well as other UK listed shares not in the FTSE350, all largecap foreign shares, emerging market debt funds, frontier markets, other single country funds and ETFs (China, Russia, Brazil, Italy, India), private equity funds, very narrow thematic funds (single technologies, single alternative energies, biotech, agriculture, currencies) and Gold and Silver physical ETFs.		
<b>High risk</b>	Investments in this category include all those listed in the other risk groups as well as the most speculative asset classes such as futures and options, other derivatives or geared investments, Enterprise Investment Schemes (EIS) and Venture Capital Trusts (VCTs) as well as the requirement to invest exclusively in the equity of smaller capitalised companies, AIM shares, or unquoted securities. Also warrants, junk bonds, other single country funds, all x2+ leveraged or short ETFs, other 'softs' or metals commodity ETFs/ETCs.  Investors seeking to invest in High risk assets may be asked to complete a Complex Financial instruments declaration		

## Section 6: Your knowledge and experience

How would you best describe your level of investment knowledge and experience?

	<b>Farley &amp; Thompson definition</b>	<i>Applicant 1 Please tick</i>	<i>Applicant 2 Please tick</i>
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 a basic knowledge of financial products and instruments and a basic understanding of the relationship between risk and returns but no previous direct 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 basic but you do have an understanding of the relationship between risk and returns.		
Moderately experienced investor(s).	You have previously invested in various asset types and you have a broad understanding of the main asset classes such as equities, bonds and collective investment schemes and a good understanding of the relationship between risk and returns.		
Experienced investor(s).	You are experienced at looking after your own or another's investments and have a good level of investment knowledge. You may have previously worked in the financial sector. You understand the relationship between risk and returns and the general risk profiles of the various asset classes and financial products.		

Please indicate your history of investing in the following:

<b>Applicant 1</b>	No experience	1 - 4 years	5 - 10 years	10+ years
Cash Deposits				
NS&I				
Shares				
Collective investments (OEICs, ETFs, UCITs, ITs)				
Bonds, Fixed Interest				
Warrants, Derivatives, VCTS, Hedge Funds				

<b>Applicant 2</b>	No experience	1 - 4 years	5 - 10 years	10+ years
Cash Deposits				
NS&I				
Shares				
Collective investments (OEICs, ETFs, UCITs, ITs)				
Bonds, Fixed Interest				
Warrants, Derivatives, VCTS, Hedge Funds				

## Section 7: Your bank details

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

Do you wish to have an income paid to you?

Nominee: Yes  No (*reinvest*)  ISA: Yes  No (*reinvest*)

If yes, how frequently? Quarterly  Half yearly

### 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)

## Section 8: Any other information

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

## CLIENT DECLARATION

I/We confirm that the information I/we have provided is to the best of my/our knowledge correct. I/We acknowledge this is an Execution Only account and understand that Farley & Thompson will not, and have not, provided any advice or advised on the merits or suitability of any transaction.

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

### FOR INTERNAL USE ONLY

Partner: App  ID  T&C's  Segregated   
 Entered by: Date: Bank A/C & Diary  Iress   
 Checked by: Date: Valuation & Fees / ACT!

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