

First Equity Limited

RETAIL CUSTOMER INFORMATION FORM

Please read this Application Form carefully.

NOTICE

The Application Form, together with our Terms of Business and Schedule of Charges, will constitute a legal agreement between you and First Equity limited. If you are unsure about how to complete any section of this form, please contact us.

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PLEASE USE BLOCK CAPITALS TO COMPLETE THIS FORM

<i>Please complete the following:</i>		APPLICANT 1	
Title	<input type="text"/>	First Name	<input type="text"/>
		Surname	<input type="text"/>
Permanent Residential Address	<i>Address 1</i>		
	<i>Address 2</i>		
	<i>Address 3</i>		
	<i>Address 4</i>		
	<i>County</i>	<i>Post Code</i>	
Date of Birth	<input type="text"/>	Place of Birth	<input type="text"/>
Nationalities (all)	<input type="text"/>		
Daytime Tel No.	<input type="text"/>	Mobile Tel No.	<input type="text"/>
Email Address	<input type="text"/>	Occupation	<input type="text"/>

Please complete the following if opening a joint account:

APPLICANT 2

Title First Name Surname

Permanent Residential Address

Address 1	
Address 2	
Address 3	
Address 4	
County	Post Code

Date of Birth Place of Birth

Nationalities (all)

Daytime Tel No. Mobile Tel No.

Email Address Occupation

Please tick one:

SERVICE LEVEL

Telephone Execution-only Dealing Advisory Service Discretionary Managed

Please tick all that are required:

ACCOUNT TYPES

Stockbroking Account ISA Account (for sole applicants only)

Please provide bank details of the account to be used for settlement of your account. We can only accept payments in the name of the account holder.

BANK DETAILS FOR PAYMENT REQUESTS*

Name of Bank	<input type="text"/>
Account Name**	<input type="text"/>
Sort Code	<input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/>
Account Number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Bank Address	<input type="text"/> <i>Building Name / No.</i>
	<input type="text"/> <i>Street</i>
	<input type="text"/> <i>City</i>
	<input type="text"/> <i>County</i>
	<input type="text"/> <input type="text"/> <i>Country</i> <i>Post Code</i>

* These instructions are for you, the client, in the event that you wish First Equity Limited to remit funds to you.

** Must be in the name of the applicant(s).

IDENTITY VERIFICATION

We are required by law to confirm your identity, address and source of funds. By submitting this application, you authorise **us to make searches about you at credit reference agencies who will supply us with information, including information from the Electoral Register**, for the purpose of verifying your identity.

Please provide the physical forms of identification for the applicant(s) as outlined in **APPENIX A – Identity Verification for UK Individuals**.

We reserve the right to make any additional enquiries considered necessary to confirm each applicant's identity.

DATA PROTECTION

A copy of the firm's Data Protection Policy is enclosed with the Terms of Business and this can also be found on our website, www.FirstEquitylimited.com. In order to develop and enhance our service to you we would like to be able to **inform you of new products and services, including those of other organisations not connected with First Equity Limited**, where we consider that they may be of interest or benefit to you. We will never pass your details on to third parties for them to contact you directly. If you consent to this, please indicate your agreement by ticking the "Yes" box below. You may of course withdraw your consent at any time by giving notice in writing to the firm.

I/we agree that you may contact me/us about your other products and services: (Please tick if you agree)

PLEASE COMPLETE ALL OF THE FOLLOWING SECTIONS

INFORMATION REQUIRED ABOUT YOU

Gross Annual Income £

Quoted Equity / Bond Investments £

Cash / Savings £

For approximately how long have you dealt in the stockmarket? years

What is the usual size and frequency of dealing? Usual Size £ Frequency trades per month

Where did you hear about us?

COUNTRY OF RESIDENCE FOR TAX PURPOSES

Please indicate all countries in which you are resident for the purpose of that country's income tax and the relevant tax identification number (TIN) or functional equivalent.

COUNTRY	TIN (National Insurance / Tax number)
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

If you are a US citizen or resident in the US for tax purposes, you must complete and return IRS Form W-9 and include any additional residencies in the table above.

DECLARATION

1. I/we undertake to notify First Equity Limited promptly of any change in circumstances which causes the information contained herein to become incorrect or incomplete and to provide an updated declaration within 30 days of such a change in circumstances.
2. I/we am/are aware that in certain circumstances First Equity Limited may be obliged to share this information with UK tax authorities who may pass it on to other tax authorities.
3. I/we declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete.

Client classification

First Equity Limited (FEL) has classified you as a Retail Client for all regulated business. Please advise us in the event that you wish to be otherwise re-classified.

Transaction reporting

We confirm that, for any trades we have executed, we will make a transaction report to FCA in accordance with their Rules, or to the relevant authority and that we will include an appropriate client identifier relating to you. Any reports we make to the FCA will be made via an Approved Reporting Mechanism.

YOUR CONSENTS

Execution of orders outside a regulated market or Multi-lateral trading facility

I/we confirm that FEL may execute my/our order(s) outside an EU regulated market or multilateral trading facility.

Consent to non-publication of limit orders

I/we confirm that where I/we place a limit order in respect of listed shares, that you are not able to immediately execute under prevailing market conditions you will not, unless instructed to the contrary, publish the order or any part of it.

Client	<input type="text"/>
Signature	<input type="text"/>
Name	<input type="text"/>
Position	<input type="text"/>
Date	<input type="text"/>

I hereby apply for a First Equity Stock and Shares Individual Savings Account (ISA) through our appointed Custodian Jarvis Investment Management Limited, our ISA plan manager, or Jarvis's appointed nominee company.

ISA DECLARATION

I declare that:

- all subscriptions made, and to be made, belong to me
- I am 18 years of age or over
- I have not subscribed/made payments, and will not subscribe/make payments more than the overall subscription/payment limit in total to a cash ISA, a stocks and shares ISA, an innovative finance ISA, and a Lifetime ISA in the same tax year
- I have not subscribed, and will not subscribe, to another stocks and shares ISA in the same tax year that I subscribe to this stocks and shares ISA
- I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties.
- I will inform Jarvis Investment Management Ltd if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.

ACCOUNT DECLARATION

Money Laundering

You may undertake a search with Experian (or other equivalent agencies) for the purpose of verifying my identity. To do so Experian (or other equivalent agencies) may check the details I supply against any particulars on any database (public or otherwise) to which they have access. They may also use my details in the future to assist other companies for verification purposes. A record of the search will be retained.

AUTHORISATION

I authorise Jarvis Investment Management Ltd (Jarvis):

- To hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash.
- To make on my behalf any claims to relief from tax in respect of ISA investments

I confirm that the information given is correct to the best of my knowledge and authorise Jarvis to make any credit reference and enquiries in connection with this application. I have read, understood, and agree to be bound by the Terms and Conditions of the service and acknowledge the risk warnings contained within them.

I confirm that I am not acting for, or on behalf of, a US person. I accept that should information come to the attention of Jarvis which gives reasonable cause for them to believe I am a US person, Jarvis will give me/us notice and close my/our Account.

I confirm that I am a UK resident and that I am liable to UK tax.

Signed

Date

APPENDIX A

Identity Verification for UK Individuals

We are required by law to confirm your identity, address and source of funds for Anti-Money Laundering purposes prior the account opening. The following documents are acceptable from the below list:

ONE of the following certified government-issued identification documents:

- Valid passport
- Photographic Firearms certificate or shotgun license

ONE from the following original or certified documents for address verification dated within 3 months of the application

- Original current council tax demand letter, or statement
- Original current bank statement (internet statement not accepted)
- Original utility bill statement - Gas, Water or Electric (internet statements not accepted)
- Valid photo-card driving license (full or provisional with full address) See below table for acceptable certifiers for identification documentation:

See below table for acceptable certifiers for identification documentation:

Director, Officer or Manager of a regulated financial services business	Local Councillor
Approved Financial Professional	Lawyer
Member of Parliament (MP)	Civil servant (permanent)
Magistrate	Chartered Accountant
	Post Office - PostMaste

The required wording for certification on each photographic identification must be:

“Certified to be a true likeness and copy of the original seen by me”

The required wording for certification for non-photographic identification must be:

“Certified to be a true copy of the original seen by me”

Accompanying the above wording should clearly state the following details of the certifier:

Name	Address
Date of certification	Contact details
Position held	Official stamp of their office (if possible)
Signature	

All certifications must be dated within 3 months of the application and we cannot accept a certified copy of a copy.

NB: SELF CERTIFICATION IS NOT PERMITTED IN ANY CIRCUMSTANCES