

All applicants should complete **Section A** and provide the additional information required by **Section D**.

Clients requiring an advisory or discretionary service should additionally complete **Section B**.

Clients who are trusts or pensions schemes should ensure that **Section C** is completed.

All clients should sign the declaration at the foot of **Section A** and return the completed form together with any additional requested information to:

First Equity Limited

Salisbury House

London Wall

London EC2M 5QQ

# ENTITY CLIENT REGISTRATION FORM (NOMINEE ACCOUNT)



## SECTION A – To be completed by all clients

Full Name

Registered Address

Mailing Address (if different)

Post Code

Post Code

Country

Country

Entity Reg No.

Tax ID

Tel No.

Web address

Email/s

### Entity Type

☐ Corporate

☐ Partnership

☐ Pension **(Complete Section C)**

☐ Trust **(Complete Section C)**

☐ Other (please describe)

Nature of Business

Regulated By

Listing (exchange)

### Products

☐ Equities

☐ Warrants

☐ Bonds

☐ CFDs

### Market coverage

☐ UK

☐ Europe

☐ US/Canada

☐ Other

(describe)

### Existence of Beneficial Owner/Controller (owning/controlling >10%)

☐ Yes

☐ No

### Would you like an Advisory or Discretionary Service?

☐ No

☐ Yes **(If yes, complete Section B)**

### Bank Details

Bank / Building Society

Branch

Account Name

Account Number or IBAN

Sort Code or SWIFT

### Additional information

To meet statutory obligations concerning the identity of the applicant and to verify the details given, additional information will be required to be submitted with this application. Please refer to the Client checklist.

I/we declare to have read, understood and agreed to the Terms of Business and that the information provided both in this form (in sections A to C) and as additionally requested in section D in connection with the opening of the account is correct and complete and that I/we are obliged to inform First Equity Limited immediately of any changes in such information.

Signature

Name

Position

Date

Signature

Name

Position

Date

## ENTITY CLIENT REGISTRATION FORM (NOMINEE ACCOUNT)



### SECTION B – To be completed by clients requiring an advisory or discretionary account service

#### Investment Service

Select the investment service you require by ticking the appropriate box:

- ☐ **Advisory**      Where we will provide advice on the merits of individual investments but will not be responsible for providing advice on portfolio composition or managing your portfolio.
- ☐ **Discretionary**      Where we will manage your portfolio and make investment decisions on your behalf in accordance with your risk objectives and risk profile.

#### Relevant Experience

Indicate your level of investment knowledge and experience by selecting the appropriate box below.

- ☐ **Market professional**
- ☐ **Very experienced** (more than 5 years as an active advisory or execution only client)
- ☐ **Fairly experienced** (more than 1 year but less than 5 years as an active advisory/execution only client or more than 5 years as a discretionary client)
- ☐ **Some experience** (less than 1 year as an active advisory or execution only client or less than 5 years as a discretionary client)
- ☐ **No experience**

#### Relevant Investments

Please indicate the type of investments you are familiar with and the nature, volume and frequency of your transactions.

Transaction value	Trading frequency	Investment type
<input type="checkbox"/> below £10,000	<input type="checkbox"/> Never	<input type="checkbox"/> Equities
<input type="checkbox"/> £10,000 - £30,000	<input type="checkbox"/> Infrequently (less than annually)	<input type="checkbox"/> Warrants
<input type="checkbox"/> above £30,000	<input type="checkbox"/> Occasionally (annually)	<input type="checkbox"/> Bonds
	<input type="checkbox"/> Quite frequently (more frequent than annually but less than monthly)	<input type="checkbox"/> CFDs
	<input type="checkbox"/> Frequently (monthly)	<input type="checkbox"/> Other _____

## ENTITY CLIENT REGISTRATION FORM (NOMINEE ACCOUNT)



### SECTION B (continued) – To be completed by clients requiring an advisory or discretionary account service

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#### Financial Information

Please give the estimated value of:

Property

Outstanding Mortgage

#### Investments

Equities

Bonds

Investment and Unit Trusts

Other

Outstanding Loans  
other than mortgages show above

Capital sum currently available for investment

#### Financial Details

Annual income

Main sources of regular income

Surplus net annual income available for investment

Additional net income available for investment

**SECTION B (continued)** – To be completed by clients requiring an advisory or discretionary account service

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**Investment Objectives**

Select one of the following objectives which meets your current requirements:

- ☐ Mainly income
- ☐ Mainly capital growth
- ☐ Balanced

**Risk Profile**

Indicate which one of the following objectives meets your current requirements:

- ☐ Lower risk      Lower risk investments including cash, cash equivalents and short dated gilts
- ☐ Medium risk      Lower and medium risk investments including FTSE 350 and All Share equities and equivalents on international markets; medium and long dated gilts and investment grade bonds
- ☐ Higher risk      Lower and medium risk investments together with higher risk investments including AIM and ISDX equities and smaller companies on equivalent international markets; emerging equity markets

**Specific Instructions**

Please provide any investment restrictions or specific requirements:



SECTION C – To be completed by Pension and Trust clients

For Pension and Trust Accounts

Name of Trust	
Trustees	
Beneficiaries	
Protector	
Nature & Purpose	
Settlor	
Source of funds	
Persons authorised to place orders	

For Pension accounts only

Administrator	
Address	
Post Code	
Tel no.	
Email	
Regulated by	

Specific Instructions

Please provide any investment restrictions or specific requirements:

## ENTITY CLIENT REGISTRATION FORM (NOMINEE ACCOUNT)



### SECTION D – additional information to be provided according to the type of account

Requirement	Corporate	Partnership	Pension	Trust
Client Notice	✓	✓	✓	✓
Articles of Association.	✓			
Certificate of Incorporation or Registration	✓	✓		
Latest audited financial statements.	✓			
Proof of identity			✓	
Directors/Partners/Managers/Trustees	✓	✓	✓	✓
Identity of Beneficial owner (>10%)	✓	✓	✓	✓
Identity of any Controller or Protector	✓	✓	✓	✓
Partnership agreement		✓		
Trust Deed or equivalent			✓	✓
Pension Fund Administration agreement			✓	
HMRC certificate			✓	
Persons authorised to trade	✓	✓	✓	✓
Authorised signatory list	✓	✓	✓	✓

#### Proof of identity

- Corporate/partnership – for 2 directors/partners, certified copy of passport, national identity card or driving licence with photograph together with 2 forms of ID showing name and home address (e.g. utility bill, bank statement etc). Documents must be certified for non UK applicants.
- Pension – required for the pension account holders (see individual/joint). Documents must be certified for non UK persons.
- Trusts – required for the trustees (see individual/joint). Documents must be certified for non UK persons.

#### Beneficial Owners

- Identity of any beneficial owner with share holding of 10% or more – for individuals we require the same proof of identity as noted above. Should it be an unregulated/unlisted corporate entity, we require share register/certificates extract until we reach the ultimate beneficial owners. Documents must be certified for non UK persons.

#### Controllers and Protectors (any other person of influence not otherwise named)

- Identity of any controller or protector – proof of identity required (see individual/joint). Documents must be certified for non UK persons.

#### Persons authorised to trade

- Where authority has been delegated to a 3rd party we require a copy of the POA/agreement.

Further information may be requested depending upon the information initially provided, type and jurisdiction of the client.