

Please complete this form in black ink and in BLOCK CAPITALS. In addition please ensure you have read and understood the Fyshe Horton Finney Ltd Terms and Conditions before completing this form.

Client Ref. No: \_\_\_\_\_

### Section A - Account Type (Please tick one service only) To be read in conjunction with our current Terms and Conditions

Execution Only       Managed Advisory       Advisory       Discretionary

Name in which account is to be held: \_\_\_\_\_

### Section B - Corporate Entity Details

Limited Liability Company       Limited Partnership       Partnership       Other

Legal name: \_\_\_\_\_

Date registered or formed: (dd/mm/yyyy) \_\_\_\_\_

Trading name: (if different) \_\_\_\_\_

Year end: \_\_\_\_\_

Registration Number: (if applicable) \_\_\_\_\_

Website address: (if any) \_\_\_\_\_

Country/town of registration or main office: \_\_\_\_\_

Correspondence address: (if different to registered or main office) \_\_\_\_\_

Registered or main office address: (‘Care Of’ or ‘PO Box’ number not acceptable) \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Postcode: \_\_\_\_\_

Postcode: \_\_\_\_\_

Please list all persons or entities who own or control more than 3% of the organisation: (please use continuation paper if needed)

1. Name: \_\_\_\_\_

2. Name: \_\_\_\_\_

Nationality: \_\_\_\_\_

Nationality: \_\_\_\_\_

Country of Residence: \_\_\_\_\_

Country of Residence: \_\_\_\_\_

3. Name: \_\_\_\_\_

4. Name: \_\_\_\_\_

Nationality: \_\_\_\_\_

Nationality: \_\_\_\_\_

Country of Residence: \_\_\_\_\_

Country of Residence: \_\_\_\_\_

Please list the organisation's key management team with their titles and area of responsibility:

1. Name: \_\_\_\_\_

2. Name: \_\_\_\_\_

Title: \_\_\_\_\_

Title: \_\_\_\_\_

Responsibilities: \_\_\_\_\_

Responsibilities: \_\_\_\_\_

Nationality: \_\_\_\_\_

Nationality: \_\_\_\_\_

3. Name: \_\_\_\_\_

4. Name: \_\_\_\_\_

Title: \_\_\_\_\_

Title: \_\_\_\_\_

Responsibilities: \_\_\_\_\_

Responsibilities: \_\_\_\_\_

Nationality: \_\_\_\_\_

Nationality: \_\_\_\_\_

Please supply the following documents:

- A copy of the official registration document (signed by an appropriate official as being correct);
- A copy of the company's latest annual reports and accounts (signed by an appropriate official as being correct);
- A copy of the company's Memorandum and Articles of Association (signed by an appropriate official as being correct)
- A certified copy of the resolution(s) / decision(s) by the management:
  - Authorising the opening of an account with Fyshe Horton Finney Ltd;
  - Authorising the officials signing the application form to do so for and on behalf of the organisation;
  - Authorising each of the officials named (max 4) to deal for and on behalf of the organisation.

## Section C – Authorised Individuals

Please nominate **one Official authorised to deal** on this account on behalf of the company. You may also name up to three other Officials in whose names the account may be held.

**First Named Official authorised to deal** (to be the sole individual nominated to place dealing instructions with Fyshe Horton Finney Ltd)

Title: *(Mr, Mrs, Miss, Other)* \_\_\_\_\_

Postal Address: *(if different from opposite)* \_\_\_\_\_

If other, please indicate Male/ Female: \_\_\_\_\_

Forename(s) in full: \_\_\_\_\_

Postcode: \_\_\_\_\_

Surname: \_\_\_\_\_

Previous address: *(if less than 3 years in current address)* \_\_\_\_\_

Previous Names: *(if any)* \_\_\_\_\_

Date of Birth: *(dd/mm/yyyy)* \_\_\_\_\_

Postcode: \_\_\_\_\_

Nationality: \_\_\_\_\_

Contact Tel. No: *(within working hours)* \_\_\_\_\_

Country of tax jurisdiction: \_\_\_\_\_

Contact Tel. No: *(outside working hours)* \_\_\_\_\_

National Insurance Number: \_\_\_\_\_

Mobile: \_\_\_\_\_ Fax: \_\_\_\_\_

Full Permanent Residential Address: *(‘Care Of’ or ‘PO Box’ number not acceptable)* \_\_\_\_\_

Email address: \_\_\_\_\_

Postcode: \_\_\_\_\_

Position in company: \_\_\_\_\_

Time at current address: \_\_\_\_\_

Years Months

At what level would you consider your overall investment expertise?

- Professional Investor\*  Experienced Investor  
 Inexperienced Investor

\*Professional Investors should note that they may lose certain protections and investor compensation rights.

- I confirm that I have read and understood the Fyshe Horton Finney Ltd Terms and Conditions and Schedule of Fees and Charges, and agree to be bound by their terms;
- I confirm that I have read and understood the Risk Warnings specifically relating to the products requested and have a general understanding of the Risk Warnings relating to all products;
- I agree to Fyshe Horton Finney Ltd undertaking appropriate identification checks in relation to me;
- I agree to Fyshe Horton Finney Ltd carrying out searches with credit reference agencies in relation to me;
- I confirm that I am 18 years of age or over.

Signature: *(Named official authorised to deal)* \_\_\_\_\_

Date: *(dd/mm/yyyy)* \_\_\_\_\_

### Second Named Official

Title: *(Mr, Mrs, Miss, Other)* \_\_\_\_\_

Postal Address: *(if different from opposite)* \_\_\_\_\_

If other, please indicate Male/ Female: \_\_\_\_\_

Forename(s) in full: \_\_\_\_\_

Postcode: \_\_\_\_\_

Surname: \_\_\_\_\_

Previous address: *(if less than 3 years in current address)* \_\_\_\_\_

Previous Names: *(if any)* \_\_\_\_\_

Date of Birth: *(dd/mm/yyyy)* \_\_\_\_\_

Postcode: \_\_\_\_\_

Nationality: \_\_\_\_\_

Contact Tel. No: *(within working hours)* \_\_\_\_\_

Country of tax jurisdiction: \_\_\_\_\_

Contact Tel. No: *(outside working hours)* \_\_\_\_\_

National Insurance Number: \_\_\_\_\_

Mobile: \_\_\_\_\_ Fax: \_\_\_\_\_

Full Permanent Residential Address: *(‘Care Of’ or ‘PO Box’ number not acceptable)* \_\_\_\_\_

Email address: \_\_\_\_\_

Postcode: \_\_\_\_\_

Position in company: \_\_\_\_\_

Time at current address: \_\_\_\_\_

Years Months

At what level would you consider your overall investment expertise?

- Professional Investor\*  Experienced Investor  
 Inexperienced Investor

\*Professional Investors should note that they may lose certain protections and investor compensation rights.

- I confirm that I have read and understood the Fyshe Horton Finney Ltd Terms and Conditions and Schedule of Fees and Charges, and agree to be bound by their terms;
- I confirm that I have read and understood the Risk Warnings specifically relating to the products requested and have a general understanding of the Risk Warnings relating to all products;
- I agree to Fyshe Horton Finney Ltd undertaking appropriate identification checks in relation to me;
- I agree to Fyshe Horton Finney Ltd carrying out searches with credit reference agencies in relation to me;
- I confirm that I am 18 years of age or over.

Signature: *(Named official authorised to deal)* \_\_\_\_\_

Date: *(dd/mm/yyyy)* \_\_\_\_\_

Client Ref. No: \_\_\_\_\_

### Third Named Official

Title: *(Mr, Mrs, Miss, Other)* \_\_\_\_\_

If other, please indicate Male/ Female: \_\_\_\_\_

Forename(s) in full: \_\_\_\_\_

Surname: \_\_\_\_\_

Previous Names: *(if any)* \_\_\_\_\_

Date of Birth: *(dd/mm/yyyy)* \_\_\_\_\_

Nationality: \_\_\_\_\_

Country of tax jurisdiction: \_\_\_\_\_

National Insurance Number: \_\_\_\_\_

Full Permanent Residential Address: *(‘Care Of’ or ‘PO Box’ number not acceptable)* \_\_\_\_\_

\_\_\_\_\_  
Postcode: \_\_\_\_\_

Time at current address:                      Years                      Months

Postal Address: *(if different from opposite)* \_\_\_\_\_

\_\_\_\_\_  
Postcode: \_\_\_\_\_

Previous address: *(if less than 3 years in current address)* \_\_\_\_\_

\_\_\_\_\_  
Postcode: \_\_\_\_\_

Contact Tel. No: *(within working hours)* \_\_\_\_\_

Contact Tel. No: *(outside working hours)* \_\_\_\_\_

Mobile: \_\_\_\_\_ Fax: \_\_\_\_\_

Email address: \_\_\_\_\_

Position in company: \_\_\_\_\_

At what level would you consider your overall investment expertise?

- Professional Investor\*                       Experienced Investor  
 Inexperienced Investor

\*Professional Investors should note that they may lose certain protections and investor compensation rights.

- I confirm that I have read and understood the Fyshe Horton Finney Ltd Terms and Conditions and Schedule of Fees and Charges, and agree to be bound by their terms;
- I confirm that I have read and understood the Risk Warnings specifically relating to the products requested and have a general understanding of the Risk Warnings relating to all products;
- I agree to Fyshe Horton Finney Ltd undertaking appropriate identification checks in relation to me;
- I agree to Fyshe Horton Finney Ltd carrying out searches with credit reference agencies in relation to me;
- I confirm that I am 18 years of age or over.

Signature: *(Named official authorised to deal)* \_\_\_\_\_

Date: *(dd/mm/yyyy)* \_\_\_\_\_

### Fourth Named Official

Title: *(Mr, Mrs, Miss, Other)* \_\_\_\_\_

If other, please indicate Male/ Female: \_\_\_\_\_

Forename(s) in full: \_\_\_\_\_

Surname: \_\_\_\_\_

Previous Names: *(if any)* \_\_\_\_\_

Date of Birth: *(dd/mm/yyyy)* \_\_\_\_\_

Nationality: \_\_\_\_\_

Country of tax jurisdiction: \_\_\_\_\_

National Insurance Number: \_\_\_\_\_

Full Permanent Residential Address: *(‘Care Of’ or ‘PO Box’ number not acceptable)* \_\_\_\_\_

\_\_\_\_\_  
Postcode: \_\_\_\_\_

Time at current address:                      Years                      Months

Postal Address: *(if different from opposite)* \_\_\_\_\_

\_\_\_\_\_  
Postcode: \_\_\_\_\_

Previous address: *(if less than 3 years in current address)* \_\_\_\_\_

\_\_\_\_\_  
Postcode: \_\_\_\_\_

Contact Tel. No: *(within working hours)* \_\_\_\_\_

Contact Tel. No: *(outside working hours)* \_\_\_\_\_

Mobile: \_\_\_\_\_ Fax: \_\_\_\_\_

Email address: \_\_\_\_\_

Position in company: \_\_\_\_\_

At what level would you consider your overall investment expertise?

- Professional Investor\*                       Experienced Investor  
 Inexperienced Investor

\*Professional Investors should note that they may lose certain protections and investor compensation rights.

- I confirm that I have read and understood the Fyshe Horton Finney Ltd Terms and Conditions and Schedule of Fees and Charges, and agree to be bound by their terms;
- I confirm that I have read and understood the Risk Warnings specifically relating to the products requested and have a general understanding of the Risk Warnings relating to all products;
- I agree to Fyshe Horton Finney Ltd undertaking appropriate identification checks in relation to me;
- I agree to Fyshe Horton Finney Ltd carrying out searches with credit reference agencies in relation to me;
- I confirm that I am 18 years of age or over.

Signature: *(Named official authorised to deal)* \_\_\_\_\_

Date: *(dd/mm/yyyy)* \_\_\_\_\_

For each named official please supply the following to enable us to perform the statutory identity checks and establish whether the applicant(s) meet(s) our account opening criteria.

- A clear copy of each valid passport showing the applicant's photograph and signature. This copy to be signed by the applicant and verified by a non-family member of a professional body, and;
- Any copy of any official document showing proof of residency of each applicant (such as a utility bill from the last 4 months). This copy to be signed by the applicant.

## Section D – Cash Transactions

Please note we are unable to open an account without your bank details.

Bank/Other Financial Institution: _____	Name(s) of Account: _____
Full Branch Address: _____	Branch Sort Code: _____
_____	Account Number: _____
Postcode: _____	Building Society Roll Number: <i>(UK only)</i> _____

Any requested payments will be made to this account using the BACS system unless we have been notified otherwise in accordance with the Fyshe Horton Finney Ltd Terms and Conditions.

## Section E – Dividend Options

We wish for:

- all dividends received to be retained as cash on this account until requested otherwise;
- the sum of any dividends and accrued interest totalling £50 or more to be paid into the bank or building society account above on a monthly basis.

## Section F – Investment Risk Assessment

How would you describe your company's overall attitude to risk?

- Risk Averse**  
Investments may comprise most Sovereign Debt or stocks guaranteed by Governments as to income and capital. Unit trusts, investment trusts, and other high grade securities with a high credit rating may also qualify.
- Risk Neutral**  
In addition to the above, investments may include most types of securities from the leading 250 UK companies, as well as large overseas listed companies. A portfolio in the medium risk category may contain a mixture of securities of varied risk levels, but must not have undue emphasis on high risk securities.
- Risk Willing**  
In addition to the above, investments will include a greater exposure to more volatile markets and to securities without an official listing with the objective of achieving higher than normal capital and/or income returns. Investments may also consist of companies experiencing known trading and financial difficulties.

Please indicate the products of interest to your company:

- |                                   |  |   |   |
|-----------------------------------|--|---|---|
| <input type="checkbox"/> Equities | <input type="checkbox"/> ETFs                  | <input type="checkbox"/> Bonds/Fixed Income | <input type="checkbox"/> Futures        |
| <input type="checkbox"/> Options  | <input type="checkbox"/> CFDs/Stocks on margin | <input type="checkbox"/> Foreign Exchange   | <input type="checkbox"/> Spread Betting |

Please indicate your overall investment aims:

- |   |                                 |  |
|---|---------------------------------|--|
| <input type="checkbox"/> Capital Growth | <input type="checkbox"/> Income | <input type="checkbox"/> Growth and income balance |
|---|---------------------------------|--|

## Section G – General Information

It would help if you would tell us:

Where did you hear/learn about us? _____	Do you want us to contact any other person who may be interested in Fyshe Horton Finney Ltd services? _____
Are you currently a client of any of the Fyshe trading divisions? _____	
If yes, which one? _____	If so, please give details _____
Do you have an account with another broker? _____	_____
If so, do you have an account with more than one broker? _____	_____

## Section H – Risk Warning

Before signing you should ensure that you have read and understood the Risk Warnings in the current Fyshe Horton Finney Ltd Terms and Conditions. Certain specialised investments (warrants and/or derivative products) carry a greater than normal risk. You should not deal in these products unless you understand their nature and the extent of your exposure to risk. You should also be satisfied that the product is suitable for you in the light of your circumstances and financial position. You should be aware that the price and value of any investments and the income, if any, from them can fluctuate and may fall against your interests. You may get back less than the amount originally invested. Information on past performance, where given, is not necessarily a guide to future performance. Exchange rate fluctuations may have an adverse effect on the value of financial instruments quoted in a currency other than your agreed settlement currency. The investment and services offered may not be suitable for all investors. Investors with any doubts as to the merits of an investment should seek advice from a suitably qualified professional advisor.

## Section I – Signatures

Before signing, the management of the organisation and the officials authorised to deal must have read and understood the current Fyshe Horton Finney Ltd Terms and Conditions of Business, Schedule of Fees and Charges, Best Execution Policy and Risk Warnings and all the clauses below.

- We wish to apply for a Fyshe Horton Finney Ltd Account;
- We confirm that we have read and understood the relevant Terms and Conditions and Schedule of Fees and Charges, and agree to be bound by their terms;
- We confirm that we have understood the Risk Warnings specifically relating to the products requested and have a general understanding of the Risk Warnings relating to all products;
- We agree to Fyshe Horton Finney Ltd undertaking appropriate identification checks in relation to us to enable our account to be opened with Fyshe Horton Finney Ltd;
- We agree to Fyshe Horton Finney Ltd carrying out searches with credit reference agencies to enable Fyshe Horton Finney Ltd to make credit decisions about us;
- We certify that the documents supplied to confirm identity and credit worthiness are genuine and relate to us and our officials;
- We understand that Fyshe Horton Finney Ltd are not obliged to accept our application and do not have to give reasons for not proceeding with our application;
- We confirm that such amounts that we invest from time to time have been decided upon by us taking our organisation's total financial circumstances into consideration and such amounts are considered reasonable by us under such circumstances;
- We accept that Fyshe Horton Finney Ltd is only able to provide advice (excluding Execution only) based on information supplied by us on this application form and/or at the time of the request for advice;
- We undertake to notify you promptly of any changes to the details supplied;
- We confirm that we have read the appended Best Execution policy and agree to its terms;
- We agree to be classified as a retail client under MiFID regulations;
- We consent to Fyshe Horton Finney Ltd executing an order outside of a Regulated Market or Multilateral Trading Facility ("MTF") in an instrument admitted to trading on a Regulated Market or MTF;
- We consent to Fyshe Horton Finney Ltd not making public any of our limit orders for shares that have been admitted to trade on a Regulated Market, but have not been immediately executed under prevailing market conditions (unless instructed otherwise by us in writing).
- We enclose a cheque for £\_\_\_\_\_ to open a cash management account made payable to Fyshe Horton Finney Ltd.

Signed For and On Behalf Of: \_\_\_\_\_

Date: (dd/mm/yyyy) \_\_\_\_\_

Authorised Signatory: \_\_\_\_\_

Date: (dd/mm/yyyy) \_\_\_\_\_

This application together with the Fyshe Horton Finney Ltd Terms and Conditions and Schedule of Fees and Charges form the basis of the contract between the applicant(s) and Fyshe Horton Finney Ltd.

*Please submit the original signed form to:*

Fyshe Horton Finney Ltd  
28 Park Square West  
Leeds  
LS1 2PQ

If you require any assistance please contact us on 0845 121 7601 and we will be pleased to assist you.

We recommend you keep a photocopy of all parts of this application form for your records.

### Check List

Please check before sending the application form to Fyshe Horton Finney Ltd that:

- You have completed all parts of the form and that the information is consistent and the writing legible and unambiguous. Incomplete or illegible application forms will be returned and will not be processed.
- You have enclosed and signed the documentation for identity checking as detailed in Section B and Section C.
- If paying by cheque, you have enclosed a sterling cheque drawn on UK clearing bank made payable to Fyshe Horton Finney Ltd.
- If paying by electronic means, you have arranged for an electronic payment to the account provided.
- All parties have read and all parties understand Fyshe Horton Finney Ltd's current Terms and Conditions and current Schedule of Fees and Charges.
- The form has been signed and dated.

Please tick this box if you do not wish to receive marketing material