

PERSONAL ACCOUNT APPLICATION FORM



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.

- | | |
|--|---|
| <input type="checkbox"/> Execution Only: | You are the investment manager and you make your own investment decisions, using Fyshe Horton Finney Ltd to execute your orders. |
| <input type="checkbox"/> Advisory: | You are the investment manager, using Fyshe Horton Finney Ltd to advise you on particular stocks as you require. |
| <input type="checkbox"/> Managed Advisory: | Fyshe Horton Finney Ltd is the investment manager of the portfolio, providing advice to you on suitable stocks to meet your investment needs. |
| <input type="checkbox"/> Discretionary: | Fyshe Horton Finney Ltd is the investment manager of the portfolio, using its sole discretion to create a portfolio suitable for your investment requirements as stipulated by you from time to time. |

Section B - Personal Details

First Named Account Holder *(to be completed for all applications)*

Title: *(Mr, Mrs, Miss, Other)* _____

If other, please indicate Male/ Female: _____

Forename(s) in full: _____

Surname: _____

Previous Names: *(if any)* _____

Nationality: _____

Date of birth: *(dd/mm/yyyy)* _____

National Insurance Number: _____

Full Permanent Residential Address:

(‘Care Of’ or ‘PO Box’ number not acceptable)

Postcode: _____

Time at current address: Years Months

Previous address:

(if less than 3 years in current address)

Postcode: _____

Contact Tel. No: *(within UK working hours)* + (0) _____

Contact Tel. No: *(outside UK working hours)* + (0) _____

Mobile: + (0) _____

Fax: + (0) _____

Email Address: _____

Second Named Account Holder *(for joint accounts only)*

Title: *(Mr, Mrs, Miss, Other)* _____

If other, please indicate Male/ Female: _____

Forename(s) in full: _____

Surname: _____

Previous Names: *(if any)* _____

Nationality: _____

Date of birth: *(dd/mm/yyyy)* _____

National Insurance Number: _____

Full Permanent Residential Address:

(‘Care Of’ or ‘PO Box’ number not acceptable)

Postcode: _____

Time at current address: Years Months

Previous address:

(if less than 3 years in current address)

Postcode: _____

Contact Tel. No: *(within UK working hours)* + (0) _____

Contact Tel. No: *(outside UK working hours)* + (0) _____

Mobile: + (0) _____

Fax: + (0) _____

Email Address: _____

- By ticking this box you indicate that you prefer to receive contract notes by electronic means in accordance with our current Terms and Conditions. In the case of joint accounts please note that contract notes will be sent to the first named account holder only. Requests for copy contract notes must be received in writing.

Client Ref. No: _____

By opening a joint account you are agreeing that either named account holder is independently authorised to give dealing instructions on the account
For the first named Account holder, and also each other named Account holder if it is a joint account, please supply the following to enable us to perform the statutory identity checks and establish whether the applicant(s) meet our account opening criteria.

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

Section C – Bank or Building Society Details Please note we are unable to open an account without your bank details.

Name of Bank or Building Society	Name(s) of account holder(s):
_____	_____
_____	_____
Address:	Branch sort code:
_____	_____
_____	Bank Account No:
_____	_____
Postcode:	Building Society Roll No: <i>(UK Only)</i>
_____	_____

Any payments requested 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 D – Dividend Options

I/we wish for:

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

Section E – Investment Strategy

Please provide as many details about your experience, financial background and investment aims as possible in order to ensure we can give you the most appropriate service for your requirements. Any additional information/instructions should be provided on a separate sheet of paper signed by each account holder.

At what level would you consider your overall investment expertise?

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

Experienced Investor

Inexperienced Investor

Please indicate your overall previous investment experience:

Length of Experience *(in months)* 0-6 6-18 18+

Length of Experience *(in months)* 0-6 6-18 18+

Please indicate if you have any experience dealing in the following instruments:

- | | | | |
|-----------------------------------|--|---|---|
| <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 |

How would you describe your attitude towards 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 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 your overall investment aims:

- Capital Growth Income Growth and income balance

Client Ref. No: _____

Section F – Financial Information

Marital Status:

Married/Civil Partnership Single

Are you:

Home Owner Tenant Living with Parents Other

Please let us know whether you are: First Named Account Holder

Employed Self-employed Retired Other

Second Named Account Holder

Employed Self-employed Retired Other

If other please specify: _____

If other please specify: _____

Occupation/prior occupation _____

Occupation/prior occupation _____

Current company directorships _____

Current company directorships _____

Income

First Named Account Holder

	(,000)	£0-25	£25-50	£50-100	£100-250	£250+
Employment/pensions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Investments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Nil	Basic	Higher
Tax Rate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	(,000)	£0-25	£25-50	£50-100	£100+
Annual Expenditure	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Assets

Property: (approximate value) _____

Long-term cash deposits: _____

Other Investments

National Savings: (eg Premium Bonds, savings certificates) _____

Liabilities

Commitments: (eg mortgages, loans) _____

Other: (please specify) _____

Income

Second Named Account Holder

	(,000)	£0-25	£25-50	£50-100	£100-250	£250+
Employment/pensions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Investments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	Nil	Basic	Higher
Tax Rate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

	(,000)	£0-25	£25-50	£50-100	£100+
Annual Expenditure	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Assets

Property: (approximate value) _____

Long-term cash deposits: _____

Other Investments

National Savings: (eg Premium Bonds, savings certificates) _____

Liabilities

Commitments: (eg mortgages, loans) _____

Other: (please specify) _____

Section G – Stock Registration

Execution only and Advisory clients only. Discretionary clients will automatically hold stock in our Nominee.

Please indicate how you would like your stock to be held:

In our nominee company, FHF (Nominees) Limited

In your own name(s)*

*Please note that such holdings may incur additional charges and any certificates are posted at your own risk.

Section H – Third Party Agreements

In addition to receiving instructions from you, you may also authorise your spouse, Agent or other person to give us investment instructions on your behalf.

I/we authorise:

Name: _____

Address: _____

Postcode: _____

Contact No: _____

to give dealing instructions on my/our behalf on this account.

Signature: (account holder) _____

Signature: (third party) _____

Section I – General Information

It would help if you would tell us:

Where did you hear/learn about us: _____

Have you ever worked within the financial services industry? Y N

Are you currently a client of any of the Fyshe trading divisions? Y N

If yes, which one? _____

Do you want us to contact any other person who may be interested in Fyshe services? Y N

If so, please give details _____

Do you have an account with another broker? Y N

If so, do you have an account with more than one broker? _____

Section J - Risk Warnings

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 K - Signatures

Please ensure you have read and understood the current Fyshe Horton Finney Ltd Terms and Conditions of Business and Best Execution Policy before completing this section. If there is anything you do not understand, please contact us on 0845 121 7601 before you sign and return the form to us. All applicants must sign the declaration below.

- I/we wish to apply for a Fyshe Horton Finney Ltd Account;
- I/we confirm that I/we have read and understood the relevant Terms and Conditions, and agree to be bound by their terms;
- I/we confirm that I/we have understood the risk warnings provided in relation to trading in warrants, derivatives and foreign markets;
- Such amounts that I/we invest from time to time have been decided upon by me/us taking my/our total financial circumstances into consideration and such amounts are considered reasonable by me/us under such circumstances;
- I/we accept that Fyshe Horton Finney Ltd is only able to provide advice (excluding Execution only) based on information supplied by me/us on this application form and/or at the time of the request for advice;
- I/we agree to your undertaking appropriate identification checks in relation to myself/us to enable my/our account to be opened with Fyshe Horton Finney Ltd;
- I/we agree to you carrying out searches with credit reference agencies to enable you to make credit decisions about me/us;
- I/we understand that Fyshe Horton Finney Ltd are not obliged to accept my/our application and do not have to give reasons for not proceeding with my/our application;
- I/we confirm that I/we are over 18 years of age and that the information I/we have given is true and correct;
- I/we undertake to notify you promptly of any changes to the details supplied;
- I/we agree to be classified as a Retail Client under MiFID regulations;
- I/we have read the appended Best Execution policy and agree to its terms;
- I/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;
- I/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).
- I/we enclose a cheque for £ _____ to open a cash management account made payable to Fyshe Horton Finney Ltd.

Signature: *(First named Account holder)*

Date: *(dd/mm/yyyy)*

Signature: *(Second named Account holder)*

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 have any questions 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:

- 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.
- If paying by cheque, you have enclosed a sterling cheque drawn on a UK Clearing Bank made payable to Fyshe Horton Finney Ltd.
- If paying by electronic means, you have arranged for an electronic payment through Fyshe Horton Finney Ltd's Finance Department.
- 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 return this signed application form with your investment to: Fyshe Horton Finney Ltd, 28 Park Square West, Leeds LS1 2PQ.

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