

# SIPP DEALING ACCOUNT APPLICATION FORM



The Member/ Trustee and Administrator (if different) must 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. If you have any questions or require further information on any aspect of the SIPP's service or your application please contact your usual Account Executive.

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

## Section A - Account Name For internal use

Name: \_\_\_\_\_

## Section B - Account Type To be read in conjunction with our current terms and conditions

Execution Only:

You are the investment manager and you make your own investment decisions, using Fyshe Horton Finney Ltd to execute your orders.

Advisory:

You are the investment manager, using Fyshe Horton Finney Ltd to advise you on particular stocks as you require.

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.

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 C - Member Details

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

Time at current address: \_\_\_\_\_ Years \_\_\_\_\_ Months \_\_\_\_\_

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

Previous address: \_\_\_\_\_

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

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

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

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

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

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

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

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

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

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

Mobile: + (0) \_\_\_\_\_

Full Permanent Residential Address: \_\_\_\_\_

Fax: + (0) \_\_\_\_\_

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

Email Address: \_\_\_\_\_

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

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 D – Pension Details

Pension Fund (The following section may be completed by your pension advisor)

Do you make annual contributions? Yes  No

Current total value of fund £ \_\_\_\_\_

If Yes, how much? \_\_\_\_\_

What percentage of the total pension fund is included within this mandate? \_\_\_\_\_

## 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:

Equities  ETFs  Bonds/Fixed Income  Futures  
 Options  CFDs/Stocks on margin  Foreign Exchange  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 350 UK companies (comprising FTSE 100 and FTSE 250 indices), 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**

Intended trading frequency (estimated number of trades per month):

0-10  10-40  40+  Other \_\_\_\_\_

Size of trades (estimated average bargain size in £,000's):

0-5  5-10  10-20  20+

Specific Sector Interests: \_\_\_\_\_

## Section F – Member's Employer Details

Does your employer require copy contract notes?

*We can provide one set of copy contract notes.*

Yes  No

Company name: \_\_\_\_\_

Address: \_\_\_\_\_

Contact person: \_\_\_\_\_

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

## Section G – Dividend Options

all dividends to be retained as cash on the Fyshe Horton Finney Ltd cash account until requested otherwise;

the sum of any dividends and accrued interest totalling £50 or more paid back to the Trustee account.

## Section H – Third Party Agreements

In addition to receiving instructions from the Trustee, the Member and/ or a 3rd party may be authorised to give us dealing instructions.

Name: \_\_\_\_\_

Signatures

Address: \_\_\_\_\_

First Trustee: \_\_\_\_\_

Second Trustee: \_\_\_\_\_

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

Contact No: \_\_\_\_\_

3rd Party Signature: \_\_\_\_\_

## Section I – Contract Notes

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Please indicate to whom you would like contract notes sent:

Member       Pension Trustee       Agent

## Section J – Risk Warnings

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Before signing the Trustee should ensure that they have read and understood the Risk Warnings in the current Fyshe Horton Finney Ltd Terms & 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 - Signature of Member

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

Signature: \_\_\_\_\_

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

## Section L – Trustee and Administrator Details

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First Trustee:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

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

Contact person(s): \_\_\_\_\_

Phone number: \_\_\_\_\_

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

FSA Reference No. (if applicable) \_\_\_\_\_

HM Revenue & Customs ref: \_\_\_\_\_

SIPP plan ref: \_\_\_\_\_

Scheme name: \_\_\_\_\_

\_\_\_\_\_

Administrator:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

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

Second Trustee:

Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

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

Phone number: \_\_\_\_\_

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

FSA Reference No. (if applicable) \_\_\_\_\_

The Trustee and Administrator of the assets may receive details of transactions and corporate actions. All assets will be held on behalf of the Trustee as the legal owner in FHF (Nominees) Ltd and monies will only be accepted or remitted in accordance with the Trustee's and Administrator's instructions.

Contact person(s): \_\_\_\_\_

Phone number: \_\_\_\_\_

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

\_\_\_\_\_

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

## Section M – Trustee’s Bank/Building Society Details

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Name of the bank or building society in which the SIPP account is held:

\_\_\_\_\_

Full Branch Address:

\_\_\_\_\_

Postcode:

\_\_\_\_\_

Name in which the account is held:

\_\_\_\_\_

Branch Sort Code:

\_\_\_\_\_

Account Number:

\_\_\_\_\_

Bank/Building Society account number:

\_\_\_\_\_

Building Society Roll Number: *(UK only)*

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 & Conditions.

## Section N – SIPP Annual Valuation

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Date: *(dd/mm/yyyy)*

\_\_\_\_\_

## Section O – Signature of Trustees

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Before signing the SIPP Trustees must have read and understood the current Fyshe Horton Finney Ltd Terms and Conditions of Business, Risk warnings and Best Execution Policy, and all the clauses below. If you have any questions please contact Fyshe Horton Finney Ltd on 0845 121 7601 before signing.

- We wish to apply for a Fyshe Horton Finney Ltd SIPP account on behalf of the SIPP Member detailed in Section C;
- We confirm that we have read and understood the relevant Terms and Conditions, and agree to be bound by their terms, with the exception of clause 3.13;
- We confirm that we have understood the risk warnings provided in relation to trading in warrants, derivatives and foreign markets;
- We agree to your undertaking appropriate initial identification checks in relation to the Trustee, including those undertaken with a credit reference agency where appropriate, but understand that these checks will not be duplicated upon the opening of every member account where the Trustee and Administrator remain the same;
- 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 we are over 18 years of age and that the information we have given is true and correct;
- We understand that the information we have provided to Fyshe Horton Finney Ltd will be used in accordance with the Data Protection Act 1998;
- We undertake to notify promptly of any changes to the details supplied;
- We agree to be classed as a Retail client under MiFID regulation;
- We have read the appended Best Execution policy and agree to its terms;
- 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).

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

First Trustee:

Signature(s):

Name(s) & Position:

On behalf of:

Date: *(dd/mm/yyyy)*

\_\_\_\_\_

Second Trustee:

Signature(s):

Name(s) & Position:

On behalf of:

Date: *(dd/mm/yyyy)*

\_\_\_\_\_

Administrator:

Signature(s):

Name(s) & Position:

On behalf of:

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:

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

- All parts of the form have been completed 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.
- The Member has enclosed the signed documentation for identity checking as detailed in Section C.
- All parties have read and all parties understand Fyshe Horton Finney Ltd’s current Terms & Conditions and current Schedule of Fees and Charges.
- The form has been signed and dated.