

# Execution Only Service Investelink Application Form

Please complete this form using **BLOCK CAPITALS** and return to **Investelink, Walker Crips Investment Management, Old Change House, 128 Queen Victoria Street, London EC4V 4BJ.**

Office Use Only		Scan ref: <b>PIEEQ3</b>
Internal ref:	AE	
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By completing this form you are applying to open an account with Walker Crips Investment Management Limited (WCIM) as an Execution Only client. Please complete all sections of this form, though it is your decision which of our support services you select in Section F.

<b>Under an Execution Only Account</b>	<ul style="list-style-type: none"> <li>■ You make your own investment decisions;</li> <li>■ Trades are executed upon your specific instruction;</li> <li>■ We will not give advice on investments relating to the merits of the transaction;</li> <li>■ We will only provide factual information such as share prices or market activity on request.</li> </ul>
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If you wish to open an Execution only Stocks and Shares ISA Account please request a form from the ISA Team who can be contacted via telephone on 020 3100 8620 or email [isas@wcgplc.co.uk](mailto:isas@wcgplc.co.uk)

## **A** Personal details

### First applicant (primary decision maker)

Title (Mr/Mrs/Miss/Other)	Surname	
Full forenames	Previous names (if applicable)	
Permanent residential address		
Postcode		
Previous residential address (if resident at current address for less than 12 months)		
Postcode		
Telephone (home)	Telephone (office)	Telephone (mobile)
<b>Email address</b> - this will be the default address for the account (We are unable to proceed with your application without an email address)		
Town of birth	Date of birth <span style="font-size: 1.2em; font-family: monospace;">DD MM YYYY</span>	
Nationality	Country of permanent residence	
Country of birth	Were you born in the US or are you, or have you ever been, a US citizen, the holder of a US passport, Green Card or US bank account; or have you ever resided in or owned property in the US? <input type="checkbox"/> Yes <input type="checkbox"/> No	
UK Tax Resident? <input type="checkbox"/> Yes <input type="checkbox"/> No	If yes please provide details <div style="border: 1px solid black; height: 40px; margin-top: 5px;"></div>	
UK Tax Identification Number (TIN) (e.g. National Insurance Number)		
Country of Tax Residency (if outside the UK. Do not abbreviate)		
Overseas Tax Reference for Non-UK Nationals	Please tick if you do not have a Tax Identification Number (TIN) <input type="checkbox"/>	

**First applicant cont.**

If you are **not a UK National**, please also provide your short passport number and expiry date:

Short Passport number:

Passport expiry date:

**Joint applicant**

Title (Mr/Mrs/Miss/Other)

Surname

Full forenames

Previous names  
(if applicable)

Permanent residential address

Postcode

Previous residential address  
(if resident at current address for less than 12 months)

Postcode

Telephone (home)

Telephone (office)

Telephone (mobile)

Email address  
(we are unable to proceed with your application without an email address)

Town of birth

Date of birth

Nationality

Country of permanent residence

Country of birth

Were you born in the US or are you, or have you ever been, a US citizen, the holder of a US passport, Green Card or US bank account; or have you ever resided in or owned property in the US?

Yes

No

UK Tax Resident?  Yes  No

UK Tax Identification Number (TIN)  
(e.g. National Insurance Number)

*If yes please provide details*

Country of Tax Residency (if outside the UK. Do not abbreviate)

Overseas Tax Reference for Non-UK Nationals

Please tick if you do not have a Tax Identification Number (TIN)

If you are **not a UK National**, please also provide your short passport number and expiry date:

Short Passport number:

Passport expiry date:

**Account title**

The name in which contract notes should be issued, if different from the above name/s

Account Title

## B Account Classification

Please refer to the Terms of Service and Business for further details.

Please select **one** of the Client categories below.

<input type="checkbox"/> <b>Retail</b> I/we confirm that I/we wish to be classified as a Retail client.	Retail clients are afforded the highest level of protection by the FCA. You will lose some of these protections if you elect to be classified as a non-Retail client.
<input type="checkbox"/> <b>Elective Professional</b> I/we confirm that I/we have expertise, experience and knowledge in investments and can make investment decisions.	In order to qualify as an elective Professional at least two of the following criteria must be satisfied. Please tick which of the below criteria apply to you. <ul style="list-style-type: none"> <li><input type="checkbox"/> a carried out transactions of significant size on the relevant market at a frequency of at least ten per quarter;</li> <li><input type="checkbox"/> b a financial investment portfolio made up of cash deposits and/or financial instruments exceeding €500,000;</li> <li><input type="checkbox"/> c worked in the financial sector for at least one year in a professional position.</li> </ul> If you qualify to be an elective Professional, we will send you an Elective Professional Agreement for you to sign and return.

## C Personal Financial Circumstances

We are required under UK financial regulations to obtain information on our clients' source of wealth and source of funds.

First applicant	Joint applicant
<b>Source of wealth and funds</b> <input type="checkbox"/> Employment <input type="checkbox"/> Investment <input type="checkbox"/> Savings <input type="checkbox"/> Pension <input type="checkbox"/> Inheritance <input type="checkbox"/> Family Trust <input type="checkbox"/> Business ownership/sale <input type="checkbox"/> Property ownership/sale <input type="checkbox"/> Other: _____	<b>Source of wealth and funds</b> <input type="checkbox"/> Employment <input type="checkbox"/> Investment <input type="checkbox"/> Savings <input type="checkbox"/> Pension <input type="checkbox"/> Inheritance <input type="checkbox"/> Family Trust <input type="checkbox"/> Business ownership/sale <input type="checkbox"/> Property ownership/sale <input type="checkbox"/> Other: _____
<b>Employment status</b> <input type="checkbox"/> Full time employment <input type="checkbox"/> Part time employment <input type="checkbox"/> Self employed <input type="checkbox"/> Unemployed <input type="checkbox"/> Homemaker <input type="checkbox"/> Retired: _____ <small>(previous occupation if retired)</small> <input type="checkbox"/> Other: _____	<b>Employment status</b> <input type="checkbox"/> Full time employment <input type="checkbox"/> Part time employment <input type="checkbox"/> Self employed <input type="checkbox"/> Unemployed <input type="checkbox"/> Homemaker <input type="checkbox"/> Retired: _____ <small>(previous occupation if retired)</small> <input type="checkbox"/> Other: _____
<b>If you are employed/self employed, please provide details below:</b> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Occupation/Job title</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Employer's name (if applicable)</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Nature of Business</div> <div style="border: 1px solid black; padding: 5px;">Date of joining current employment    DD    MM    YYYY</div>	<b>If you are employed/self employed, please provide details below:</b> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Occupation/Job title</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Employer's name (if applicable)</div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Nature of Business</div> <div style="border: 1px solid black; padding: 5px;">Date of joining current employment    DD    MM    YYYY</div>

## D Investment Intentions

### Frequency of trading (approximate)

- A one-off Execution Only sale
- Ongoing Execution Only sales (please select frequency below)
- trading (very frequent)     more than once a month     less than once a month
- Ongoing Execution Only purchases and sales (please select frequency below)
- trading (very frequent)     more than once a month     less than once a month

### Anticipated individual trade size (approximate)

- £0 - £10,000     £10,001 - £50,000     Over £50,001

Initial Investment Amount (For individual or joint account)

£

## E Bank Details

Bank/Building Society name

Account name

Bank address

Postcode

Sort code

-    -

Account number

## F Support Service Requirements

Payments made from your account will be sent to the bank account detailed in Section E by BACS payment free of charge

Should you prefer to receive funds by cheque, please indicate by ticking here

Please note that payments other than by BACS may incur a charge. Please refer to our Supplementary Charges list.

### Income Payments

When you receive income from your investments, how would you like us to deal with it?

I would like the income from my portfolio to:

- Accumulate in my/our Income Deposit Account with WCIM.
- Be paid to me/us monthly from my/our Income Deposit Account with WCIM (subject to the monthly de minimis amount). This excludes ISA accounts.
- Be paid to me/us as soon as possible (subject to the de minimis amount). This excludes ISA accounts.

## G Declaration and Documentary Disclosures

Note: Please be advised that before we are able to open a new investment account, we have to ask you for certain documents in order to comply with the UK Anti-Money Laundering Regulations (AML).

### First Applicant

VERIFICATION OF IDENTITY - I enclose a copy of my:	
<input type="checkbox"/>	passport, or <input type="checkbox"/>
	full UK photo driving licence
VERIFICATION OF ADDRESS (dated within the last 3 months)	
<input type="checkbox"/>	bank statement, or
<input type="checkbox"/>	utility bill, or
<input type="checkbox"/>	income tax statement

### Joint Applicant

VERIFICATION OF IDENTITY - I enclose a copy of my:	
<input type="checkbox"/>	passport, or <input type="checkbox"/>
	full UK photo driving licence
VERIFICATION OF ADDRESS (dated within the last 3 months)	
<input type="checkbox"/>	bank statement, or
<input type="checkbox"/>	utility bill, or
<input type="checkbox"/>	income tax statement

**If you are not resident in the UK we require all documents to be certified by a regulated Financial Institution, Notary or Lawyer. Where required, we reserve the right to request additional information and documentation.**

1. I/We confirm that I/we have read and accept WCIM's Terms of Service and Business and standard tariff, including our Supplementary Charges list and consent to your Order Execution Policy incorporated therein, taking particular note of the policies relating to Off Market Venues and Limit Orders.
2. I/We will advise WCIM of any change in my/our details and circumstances relevant to the services provided to me/us.
3. I/We confirm that the [First / Joint / Both] Applicant/s (please delete as appropriate) is/are authorised to give instructions for this account.
4. I/We consent to receiving marketing information from WCIM. (Please tick if you agree  Yes)
5. I/We understand that Investelink is an online sharedealing service and consent to receiving contracts and statements from WCIM in electronic format
6. I/We confirm that I/we are 18 years of age or over and agree that the information provided is true and correct to the best of my/our knowledge.
7. I am/We are aware that in certain circumstances Walker Crips Investment Management Ltd will be obliged to share this information with UK tax authorities, who may pass it on to other tax authorities.

Signature (First applicant)
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Signature (Joint applicant)
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Date
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Date
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- Note:
- This Application Form and our Terms of Service and Business, which taken together, set out the basis of your relationship with WCIM. We intend to rely on these documents and for your own benefit and protection, you should read the terms carefully before signing this Form. If you do not understand any item therein, please ask for further details.
  - The **Terms of Service and Business** can be found on [www.wcgplc.co.uk/business](http://www.wcgplc.co.uk/business). If you require a printed copy of the Terms of Service and Business, please contact [client.services@wcgplc.co.uk](mailto:client.services@wcgplc.co.uk) or 020 3100 8662.

For Office Use Only	
Reviewed by AE	Executive Notes
AE Name	
On-boarding approval where required (signature/date)	
On-boarding Name	

### Walker Crips Investment Management

Old Change House, 128 Queen Victoria Street, London EC4V 4BJ | 020 3100 8000 | [client.services@wcgplc.co.uk](mailto:client.services@wcgplc.co.uk) | [walkercrips.co.uk](http://walkercrips.co.uk)  
Walker Crips Investment Management Limited is authorised and regulated by the Financial Conduct Authority and is a member of the London Stock Exchange. Registered in England number 4774117.

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