

# Execution Only Service Private Individual Application Form

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

Office Use Only		Scan ref: <b>PIE03</b>
Internal ref:	AE	
Internal ref:	Code	
Type:	<b>ret</b>	<b>rva</b> <b>rop</b> <b>pps</b> <b>pel</b>

## **A** Personal details

### First 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	Date of birth    D D   M M   Y Y Y Y		
Country of birth	Town of birth		
Nationality	Country of permanent residence		
UK Tax Resident? <input type="checkbox"/> Yes <input type="checkbox"/> No	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 Identification Number (TIN) (e.g. National Insurance Number)	If you are <b>not a UK National</b> , please also provide your short passport number and expiry date:		
Country of Tax Residency (if outside the UK. Do not abbreviate)	Short Passport number:		
Overseas Tax Reference for Non-UK Nationals	Passport expiry date:		
Please tick if you do not have a Tax Identification Number (TIN) <input type="checkbox"/>	D D   M M   Y Y Y Y		

### Joint applicant

Title (Mr/Mrs/Miss/Other)		Surname	
Full forenames		Previous names (if applicable)	
Permanent residential address			
Postcode			

Continues on page two

**Joint applicant (continued)**

Previous residential address (if resident at current address for less than 12 months)		
Postcode		
Telephone (home)	Telephone (office)	Telephone (mobile)
Email address	Date of birth    D D   M M   Y Y Y Y	
Country of birth	Town of birth	
Nationality	Country of permanent residence	
UK Tax Resident? <input type="checkbox"/> Yes <input type="checkbox"/> No	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 <input type="checkbox"/> Yes <input type="checkbox"/> No or US bank account; or have you ever resided in or owned property in the US?	
UK Tax Identification Number (TIN) (e.g. National Insurance Number)		
Country of Tax Residency (if outside the UK. Do not abbreviate)	If you are <b>not a UK National</b> , please also provide your short passport number and expiry date:	
Overseas Tax Reference for Non-UK Nationals	Short Passport number: <input type="text"/>	
Please tick if you do not have a Tax Identification Number (TIN) <input type="checkbox"/>	Passport expiry date: D D   M M   Y Y Y Y	

**Account title**

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

Account Title
---------------

## B Account Classification

Note: For full details, please refer to the Terms of Service and Business and the FCA Handbook on “COBS: Client Categorisation”, which can be found on the FCA website.

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 offered a higher level of protection by the FCA and are entitled to have complaints handled by the Financial Ombudsman Service. You will lose 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.	<p>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.</p> <p><input type="checkbox"/> a carried out transactions of significant size on the relevant market at a frequency of at least ten per quarter;</p> <p><input type="checkbox"/> b a financial investment portfolio made up of cash deposits and/or financial instruments exceeding €500,000;</p> <p><input type="checkbox"/> c worked in the financial sector for at least one year in a professional position.</p> <p>If you qualify to be an elective Professional, we will send you an Elective Professional Agreement for you to sign and return.</p>

## C Category of Service

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 H.

<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>
--	--

Please enter your Walker Crips Investment Executive's name for your Execution Only service below. If you do not have an Investment Executive yet, please leave blank and we will allocate one to you.

Your Investment Executive's name:

## D Complex Products

Note: Complex products include but are not limited to Warrants, Traded Options, Exchange Trade Commodities, some Investment Trusts, Structured Products, Futures, Options and Contracts for Difference. If you want to deal in complex products on a non-advised basis, we are obliged by the FCA to assess whether you have the necessary experience and knowledge in order to understand the risks involved in relation to the product or service that you require.

<b>Do you wish to deal in complex products on a non-advised basis?</b>
<input type="checkbox"/> <b>Yes</b> – We will send you a Risk Warning and Appropriateness Test via post or email. This must be completed and returned to us before a deal in complex products can be accepted.
<input type="checkbox"/> <b>No</b> – If in the future you request to deal in a product that we consider to be a complex product, we will send you a Risk Warning and Appropriateness Test, which must be completed and returned to us before the deal can be accepted.

## E 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

#### Source of wealth and funds

- Employment     Investment     Savings  
 Pension     Inheritance     Family Trust  
 Business ownership/sale     Property ownership/sale  
 Other: \_\_\_\_\_

#### Employment status

- Full time employment     Part time employment  
 Self employed     Unemployed  
 Homemaker  
 Retired: \_\_\_\_\_  
(previous occupation if retired)  
 Other: \_\_\_\_\_

If you are employed/self employed, please provide details below:

Occupation/Job title
Employer's name (if applicable)
Nature of Business
Date of joining current employment    DD    MM    YYYY

### Joint applicant

#### Source of wealth and funds

- Employment     Investment     Savings  
 Pension     Inheritance     Family Trust  
 Business ownership/sale     Property ownership/sale  
 Other: \_\_\_\_\_

#### Employment status

- Full time employment     Part time employment  
 Self employed     Unemployed  
 Homemaker  
 Retired: \_\_\_\_\_  
(previous occupation if retired)  
 Other: \_\_\_\_\_

If you are employed/self employed, please provide details below:

Occupation/Job title
Employer's name (if applicable)
Nature of Business
Date of joining current employment    DD    MM    YYYY

## F 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)

£

## G Bank Details

Bank/Building Society name	<input type="text"/>															
Account name	<input type="text"/>															
Bank address	<input type="text"/>															
											Postcode					
Sort code	<input type="text"/>	<input type="text"/>	-	<input type="text"/>	<input type="text"/>	-	<input type="text"/>	<input type="text"/>	Account number	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

## H Support Service Requirements

Note: Please read the Terms of Service and Business, which detail the conditions governing our Managed Deposit and Nominee Services, and the accompanying tariff sheet.

### Managed Deposit Service

How would you like us to handle your money?

Do you wish to maintain a Managed Deposit Account with WCIM?

- This is opened automatically if the Nominee Service (below) is utilised. It facilitates the convenience of receiving dividends and income into your account.
- Maintaining a Deposit Account is the easiest way to manage funds for buying and selling of securities. Payments will be made into this account, and if there is sufficient cash, purchases will be paid from this account. This reduces the need to send monies back and forth. Interest will be paid on credit balances. For full details, please refer to the Terms of Service and Business.

**Yes**

Please let us know (by ticking the relevant box below) how you would like to receive payments when you request withdrawals from your Managed Deposit Account in the future.

**By BACS**

BACS is an electronic transfer of payment directly into your bank account. This eliminates the problems of cheques being lost, delays in the post or postal strikes. We will also send to you, a BACS payment notice so that you know payment has been made to your account.

**By Cheque**

I/We wish to receive payment by cheque

**No**

Please let us know how you would like to receive any proceeds (by ticking the relevant box below).

**By BACS**

BACS is an electronic transfer of payment directly into your bank account. This eliminates the problems of cheques being lost, delays in the post or postal strikes. We will also send to you, a BACS payment notice so that you know payment has been made to your account.

**By Cheque**

I/We wish to receive payment by cheque

### Registration

How would you like to register your investments? Please select one of the following.

- I/We wish to have my/our investments registered in your Nominee Company, together with a Managed Deposit Account (as above). (Please refer to the schedule of commission and fees).
- I/We wish to have my/our investments registered in my/our name (There is an additional cost for registering securities in your name and dealing in certificates. Please refer to the schedule of commission and fees).

### 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.

## I Stocks and Shares Individual Savings Account (ISA)

### Declaration & Authority

I apply for a ISA (comprising stocks and shares) for the tax year  /

Remittance £  
(please note: this must be the applicant's own name cheque)

### Reports and Accounts

I elect to receive the Reports and Accounts of the companies I have invested in my ISA. I understand that I will be charged £10 per Report and Account forwarded to me.

I would like my income to be accumulated in my ISA account

I would like to have my income distributed

#### 1. I hereby certify that

- a. I am 18 years of age or over. All subscriptions made, and to be made, belong to me.
- b. I have not subscribed and will not subscribe, more than the overall subscription limit in total to any combination of permitted ISAs in the same tax year.
- c. I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of section 28 of The Income Tax (Earnings & Pensions) Act of 2003 (Crown Employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform Walker Crips Investment Management Limited if I cease to be so resident or to perform such duties or to be married to, or in a civil partnership with, a person who performs such duties.

#### 2. Authority

- a. I hereby authorise Walker Crips Investment Management Ltd as ISA Manager, to hold my cash subscription, ISA Investments, interest, dividends and any other rights or proceeds in respect of these investments and any other cash,
- b. To make on my behalf any claims to relief from tax in respect of ISA Investments, and
- c. On my written request, to transfer or pay to me, as the case may be, ISA Investments, interest, dividends, rights or other proceeds in respect of such investments or any cash.

#### 3. I Declare

- a. That the information above is true and correct to the best of my knowledge and belief, and
- b. Agree to advise Walker Crips Investment Management Ltd without delay of any change in my circumstances affecting any of the information on this declaration and authority.
- c. I have not subscribed, and will not subscribe, to another Stocks and Shares ISA in the same year that I subscribe to this Stocks and Shares ISA.
- 4. I understand that this ISA is subject to WCIM Terms of Service and Business. I have received the WCIM ISA Brochure and scale of charges relating to this ISA ACCOUNT. I confirm that I have read, understood and accept WCIM's Terms of Service & Business ([www.wcgplc.co.uk/businessTC](http://www.wcgplc.co.uk/businessTC)) and consent to the Order Execution Policy incorporated therein, taking note in particular the policies relating to Off Market Venues and Limit Orders.
- 5. This ISA application form has been signed by you in accordance with the ISA regulations which require direct confirmation by the ISA subscriber that they wish to open an ISA account.

Signature

Client's full name

Date

WCIM A/C NO

WCIM Account Executive

## J 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 a 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.**

- I/We confirm that I/we have read and accept WCIM's Terms of Service and Business and tariff sheet and consent to your Order Execution Policy incorporated therein, taking note in particular the policies relating to Off Market Venues and Limit Orders.
- I/We will advise WCIM of any change in my/our details and circumstances relevant to the services provided to me/us.
- I/We confirm that the [First / Joint / Both] Applicant/s (please delete as appropriate) is/are authorised to give instructions for this account.
- I/We consent to receiving marketing information from WCIM. (Please tick if you agree  Yes)
- I/We consent to receiving contracts and statements from WCIM in electronic format **only**, along with other documents as and when the services become available. (Please ensure that you provide an e-mail address on Page 1). (Please tick if you agree  Yes)
- 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.
- 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	Signature
Date	Date

- 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/businesstc](http://www.wcgplc.co.uk/businesstc). 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.

190102