Shard Capital Stockbrokers

# INDIVIDUAL ACCOUNT APPLICATION FORM

Before completing this application form, please ensure that you have obtained and read all the information regarding the products and services provided by Shard Capital Stockbrokers and all relevant terms and policies made available, and updated from time to time, on our website: **shardcapitalstockbrokers.co.uk**

Once completed the completed form should be sent to our business address below or a scanned copy emailed to **scsb@shardcapital.com**

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# PART 1: PRODUCT ASSESSMENT QUESTIONNAIRE

**Please tick ☐ the box as appropriate**

## TARGET MARKET ASSESSMENT

**1. Please indicate your level of education**

- ☐ Secondary School
- ☐ College
- ☐ Undergraduate degree
- ☐ Postgraduate degree

**2. What is your knowledge of financial investments and the financial markets?**

- ☐ No knowledge and no perception of risks involved
- ☐ Limited knowledge and some perception of risks involved
- ☐ Thorough knowledge and fully aware of risks

**3. What is your investment objective?**

- ☐ Long term capital growth/income generation
- ☐ Short term speculative/day trading
- ☐ Hedging
- ☐ Other

**4. What is your investment horizon?**

- ☐ Less than 1 month
- ☐ Less than 1 year
- ☐ 1-3 years
- ☐ 3-5 years
- ☐ More than 5 years

**5. Which of the following best describes your attitude to risk and ability to bear losses when investing?**

- ☐ I am not prepared to take any risk and cannot bear any losses.
- ☐ I am prepared to take risk and am able to lose part of the amount invested.
- ☐ I am prepared to take risk and am able to lose the amount invested.
- ☐ I am prepared to take risk and am able to bear losses exceeding the amount invested when trading products on margin.

**6. Please indicate how much you intend to invest (GBP)**

- ☐ Less than £5,000
- ☐ Between £5,000 - £20,000
- ☐ Between £20,000 - £50,000
- ☐ More than £50,000

## PRODUCT SELECTION

1. **Please indicate which products you are interested in investing with us:**

- ☐ Equities (if you wish to trade equities and/or Bonds only, please go to PART 2: PERSONAL DETAILS)
- ☐ Bonds (if you wish to trade Bonds and/or equities only, please go to PART 2: PERSONAL DETAILS)
- ☐ CFDs (if you wish to trade CFDs please complete questions 1 – 8 in the EXPERIENCE AND PROFESSIONAL QUALIFICATIONS section)
- ☐ Forex (if you wish to trade Forex please complete questions 1 – 8 in the EXPERIENCE AND PROFESSIONAL QUALIFICATIONS section)
- ☐ Futures (if you wish to trade Futures please complete questions 1 and 9 – 14 in the EXPERIENCE AND PROFESSIONAL QUALIFICATIONS section)
- ☐ Options (if you wish to trade Options please complete questions 1 and 9 – 14 in the EXPERIENCE AND PROFESSIONAL QUALIFICATIONS section)

## EXPERIENCE AND PROFESSIONAL QUALIFICATIONS

1. **Do you have any relevant qualifications or have you worked in a position for at least 3 years that would require your knowledge of margined products? (E.g. CFDs, FX, Options, Futures) and ETFs/ETCs/ETNs**

- ☐ Yes
- ☐ No

### CFDS AND FOREX

2. **How many years have you been trading these products on a non-advised basis?**

- ☐ 0 - 1 year
- ☐ 1 - 5 years
- ☐ More than 5 years

3. **What is your average number of trades per month in these products over the last 12months on a non-advised basis? (numerical value)**

- ☐ Less than 2
- ☐ Between 2-10
- ☐ More than 10

4. **What is the average value of your trades in Forex per month over the last 12 months on a non-advised basis?**

- ☐ £0-50k
- ☐ £50K-1M
- ☐ £1M +

5. **What is the average value of your trades in CFDs per month over the last 12 months on a non-advised basis?**

- ☐ £0-5k
- ☐ £5K and £20K
- ☐ £20K +

6. **If the margin requirement for a CFD with a notional value of 1,000 USD is 100 USD, what is the leverage?**

- ☐ 10 times
- ☐ 100 times
- ☐ No leverage



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7. **If you buy EURUSD are you:**

- ☐ Buying Dollars/selling Euros
- ☐ Buying Euros/selling Dollars
- ☐ Buying Dollars/buying Euros

8. **If you trade one CFD on Vodafone, you would then own one physical share of Vodafone**

- ☐ True
- ☐ False

## OPTIONS, FUTURES OR ETFS/ETCS/ETNS'

9. **How many years have you traded these products on a non-advised basis?**

- ☐ 0 -1 year
- ☐ 1- 5 years
- ☐ More than 5 years

10. **What is your average number of trades per month in these products over the last 12 months on a non-advised basis?**

- ☐ Less than 1
- ☐ Between 1-10
- ☐ More than 10

11. **What is the average value of your trades in these products per month over the last 12 months?**

- ☐ £0-5k
- ☐ £5K – £20k
- ☐ £20K +

12. **Futures are a leveraged product allowing you to buy/sell a particular instrument at a pre- determined price at a specified time in the future?**

- ☐ True
- ☐ False

13. **When you sell/write an option, your losses are limited?**

- ☐ True
- ☐ False

14. **When trading ETFs/ETNs/ETCs, can the losses exceed the balance on your account?**

- ☐ Yes
- ☐ No



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## PART 2: PERSONAL DETAILS

Title

Surname

Forename(s)

Date of Birth

Town of birth

Country of birth

Are you a US Citizen? Yes ☐ NO ☐

If you are a tax Resident in the UK Crown Dependencies (Jersey, Guernsey, and Isle of Man) or Gibraltar, please provide your Taxpayer Identification (TIN):

Nationality

National Client Identifier (see page 8)

National Client Identifier Document
(E.g. Passport. See page 8)

National Insurance Number

Residential address

Postcode

Country

Time at current address

Previous address (if less than 3 years at current)

Postcode

Country

Primary phone number

Secondary phone number

Email address

## PART 3: EMPLOYMENT DETAILS

Occupation

Full time ☐ Part time ☐ Homemaker ☐ Retired ☐

Self-employed ☐ Unemployed ☐ Other ☐

(Please provide further details below)

Employers name

Time with employer (years)

## PART 4: BANK DETAILS*

Bank name

Bank address

Account name

Account number

Sort/IBAN

## PART 5: FINANCIAL DETAILS

Primary source of income

Employment ☐ Investments ☐ Pension ☐ Other ☐

Gross annual income

under £25,000 ☐ £25,001- £50,000 ☐ £50,001- £100,000 ☐ over £100,000 ☐

Source of wealth (E.g. employment; inheritance)

*Bank details are required to open an account with Shard Capital. Once the account is opened we will contact you to provide us with evidence of your bank details before any funds can be paid to you.



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## PART 6: POLITICALLY EXPOSED PERSONS

**Are you a Politically Exposed Person (someone who has been entrusted with a prominent public function)?**

- ☐ Yes
- ☐ No

**If yes, please provide further details**

______________________________________________________________________

______________________________________________________________________

**Are you a Relative (including a spouse, partner, children and their spouses or partners and parents) or Close Associate (including any individual who is known to have joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations) of a Politically Exposed person?**

- ☐ Yes
- ☐ No

**If yes, please provide further details**

______________________________________________________________________

______________________________________________________________________

## PART 7: INVESTMENT SERVICE TYPE

**Please indicate what type of investment service you require:**

- ☐ Discretionary (we act and make all investment decisions on your behalf)
- ☐ Advisory (we advise you on investment strategy but you have the final say)
- ☐ Execution Only (you have full control over investment strategy and decision making)

# PART 8: DECLARATIONS

## ISA

**If you are applying for an ISA, please tick this box** ☐

**By signing below, the following declaration applies:**

**Please read this declaration carefully and ensure that the total amount that you wish to subscribe does not exceed the maximum ISA limit, including any cash ISA allowance over the whole tax year.**

1. I apply to subscribe to a stocks and shares ISA for the tax year 20....../... (please insert relevant tax year) and each subsequent year until further notice;
2. All subscriptions made, and to be made, belong to me;
3. I am 18 years of age or over;
4. I have not subscribed, and will not subscribe more than the overall subscription limit in total to a cash ISA, stocks and shares ISA, an Innovative Finance ISA, and a Lifetime ISA in the same tax year;
5. I have not subscribed, and will not subscribe, to another stocks and shares ISA in the same tax year that I subscribe to this stocks and shares ISA, and 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 and Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or am married to, or in a civil partnership with, a person who performs such duties.
6. I hereby authorise Shard Capital Partners LLP or a suitable third party to: hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash; make on my behalf any claims to relief from tax in respect of ISA investments.
7. I agree to be bound by the above declarations relating to the ISA investment, and inform you immediately of any changes in my circumstances.

## ALL ACCOUNTS

**By signing below, the following declaration applies:**

1. I have read and understood the nature and the risk of the product(s) that I intended to trade in this account.
2. I act in my name as specified on this application form and not on behalf of another party in respect of all matters related to this account. Accordingly, all funds to be deposited and transacted on the account are my own funds.
3. I am not aware that I have any health or other conditions that may affect the proper operation of the account.
4. I have provided true, accurate and complete information and undertake to update Shard Capital of any changes to the information provided without delay.
5. I accept that in certain circumstances Shard Capital will be obliged to share information with UK tax authorities, who may pass it on to other tax authorities.
6. I have obtained from the website (www.shardcapitalstockbrokers.com), read and understood the following:
   a) Terms of Business (including the product risks disclosure)
   b) Order Execution Policy
   c) Conflict of Interest Policy
   d) Charges
7. I consent to the Order Execution Policy and for any orders to be executed outside a regulated market or a multilateral trading facility.
8. I consent for any unexecuted limit orders not to be made public.
9. I accept and agree to be bound by the terms provided above and consent to such terms and information including future updates to these be provided to me by way of posting on the website indicated above

## EXPRESS CONSENT FOR RECEIVING INFORMATION ELECTRONICALLY

**We are required by regulation to obtain your express consent to provide you with information in an electronic, durable medium that is not paper (for example, by email).**

**If you do not consent to us providing information to you electronically, we will be unable to offer you an account. For the avoidance of doubt, by consenting to receiving information via electronic means, you remain entitled to provide us with specific requests for information via a reasonable alternative form of durable medium.**

- I hereby consent to receive information from Shard Capital via email, PDF document or by any other durable medium that is not paper
- I hereby consent to receive information not personally addressed to me via the websites that you provide me notice of

☐ I Accept

## DATA PROTECTION

**Your data will be processed in line with the Shard Capital Privacy Notice which can be found at www. shardcapitalstockbrokers.com/factsheets-and-docs-information/**

## MARKETING COMMUNICATION

**We offer a range of different email information services covering daily market news, invitations to investor events, reports and analysis and company updates. If you would like to receive this information, please select your preferences below:**

☐ Daily market note – pre-market open news, data and corporate updates

☐ Event invitations - receive invites to company presentations and exclusive investor events

☐ Trading ideas and analysis – in-depth look at a pick of companies using technical and fundamental analysis

☐ Broker news and updates – research based information, CEO interviews and product updates

**CLIENT NAME**

________________________________________

**CLIENT SIGNATURE**

________________________________________

**DATE**

________________________________________

# NATIONAL IDENTIFIER

**We are required to confirm your nationality and National Client Identifier (NCI) to fulfil our obligations as part of the Markets in Financial Instruments Directive (MiFID II). Your NCI will depend on your nationality but for most it's something you already have been issued with. As an example, UK nationals will need to provide their National Insurance Number, but for some nationalities we'll need to confirm your nationality with a state-issued document number. Please refer to the table below to check which documentation and information is needed.**

**IT IS IMPORTANT THAT YOU PROVIDE THIS INFORMATION. WITHOUT IT, YOU WILL BE UNABLE TO TRADE.**

| Nationality | National Client Identifier |
|---|---|
| United Kingdom | UK National Insurance Number |
| Belgium | Belgian National Number (Numéro de registre national - Rijksregisternummer) |
| Bulgaria | Bulgarian Personal Number |
| Croatia | Personal Identification Number (OIB - Osobni identifikacijski broj) |
| Czech Republic | National Identification Number (Rodné číslo) |
| Denmark | Personal Identity Code (10 digits alphanumerical: DDMMYYXXXX) |
| Estonia | Estonian Personal Identification Code (Isikukood) |
| Finland | Personal Identity Code |
| Iceland | Personal Identity Code |
| Italy | Fiscal Code (Codice fiscale) |
| Latvia | Personal Code (Personas kods) |
| Lithuania | Personal Code (Asmens kodas) |
| Malta | National Identification Number |
| Norway | 11 Digit Personal ID (Foedselsnummer) |
| Poland | National Identification Number (PESEL) |
| Portugal | Tax Number (Número de Identificação Fiscal) |
| Romania | National Identification Number (Cod Numeric Personal) |
| Sweden | Personal Identity Number |
| Slovenia | Personal Identification Number (EMŠO: Enotna Matična Številka Občana) |
| Slovakia | Personal Number (Rodné číslo) |
| Spain | Tax Identification Number (Código de identificación fiscal) |
| **All other countries** | **National Passport Number** |



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