DS Wealth Discretionary Trading
Account Opening Form

DS WEALTH
THE DISCRETIONARY TRADING SPECIALISTS

Please complete all sections using BLOCK CAPITALS.

1. About your new account

Please indicate the type of account you wish to open:

Discretionary Contracts for Difference (CFD) ☐   Discretionary Share Dealing ☐

2. Personal Details

Title   Mr ☐   Mrs ☐   Miss ☐   Ms ☐   Dr ☐   Other

Forename   Surname

Address

Postcode

Date of Birth   D D M M Y Y Y Y   Nationality

Home Tel   Office Tel

Mobile Tel   Fax No

Email   Marital Status

Previous Address

NB: If you have lived at your current address for less than 3 years.

Postcode

Employment Status   Director ☐   Employed ☐   Self-Employed ☐   Other ☐   Please state

Employer's Name

Employer's Address

Postcode

National Insurance No

UK resident? Yes ☐   No ☐   Country of domicile

If deemed domicile, please state and add domicle or origin

3. Security Details

Mother's Maiden Name   Your Place of Birth

4. Bank Details

Bank Name

Address

Postcode

Account Name

Account Number

Sort Code

5. Single/Primary Applicant's Identity Details

Passport Number

Country of issue of passport

UK Driver's License Number (if any)

Bank or utility bill company

Bank or utility bill Account No/Customer Ref.

To comply with the FSA's Money Laundering regulations we need to receive a bank statement or utility bill in your name. Please see the instructions in section 11 for more details.

6. About Joint Applicant (if any)

Title Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Dr ☐ Other

Forename

Surname

Address

Postcode

Date of Birth D D M M Y Y Y Y

Nationality

Home Tel

Office Tel

Mobile Tel

Fax No

Email

Marital Status

Previous Address
(If you have lived at your current address for less than 3 years).

Postcode

7. Attitude to Risk

	Primary Applicant	Joint Applicant
On a scale of 1-10 what is your investment experience? (1 = inexperienced : 10 = very experienced)		
What is your attitude to risk? (Based on level 1-6 below)		

Low Risk (Level 1)	I am cautious and dislike risk, I prefer security of capital and predictable investments. I accept this may result in lower rates of return being earned on my portfolio. I also accept that interest returns from deposit based investments move up and down, sometimes quite suddenly, and therefore there is no security of income.
Below Average (Level 2)	I am prudent in my outlook, I am attracted to the security of lower risk investments, but I am willing to accept limited exposure to equity investments (stocks and shares). I am therefore prepared to accept a limited degree of fluctuation in the value of my capital in the hope of improved medium to long-term returns.
Average (Level 3)	I regard myself as a balanced investor. Part of my portfolio should contain investments that are for security of capital and/or access to capital. For medium to long-term investments I will accept a broadly based approach which includes a significant proportion in equity-based investments (stocks and shares). I am therefore prepared to accept a degree of fluctuation in the value of my capital in return for the potential for good medium to long-term rewards.
Above Average (Level 4)	I am prepared to accept a higher than average degree of risk in my portfolio, in the hope of achieving well above average long-term results. I accept that this strategy requires a high degree of exposure to equity investments (stocks and shares) and I understand the performance of such investments may be volatile.
High Risk (Level 5)	I am willing to accept a high level of risk in relation to my portfolio. I realise that such an approach may include investments in specialist funds and products whose performance may be highly volatile. I also appreciate that certain risk investments may not be readily realisable, as there may not be a ready market for the sale of such investments and that access to reliable data for valuing such investments may be restricted.
Very High Risk (Level 6)	I am willing to accept a very high level of risk in pursuit of well above average returns. I realise such an approach may involve a very high level of volatility through the highest risk investments. Access to capital may also be limited.

8. Assets and Investment Income

Approximate Gross Figures	Primary Applicant		Joint Applicant	
	Capital	Income	Capital	Income
Quoted shares & stocks				
Unquoted shares				
Percentage of equity held				
Nature of business				
Personal Equity Plans				
Managed				
Single				
Corporate				
Individual Savings Accounts (Mini or Maxi)				
Investment Bonds				
Agricultural land & woodlands				
Venture Capital Trusts				
Business Expansion Schemes				
Enterprise Property Zone Developments				
Enterprise Investment Schemes				
Gilts & Fixed interest				
TESSA				
Bank deposits				
Building Society accounts				
National Savings Certificate				
National Savings Accounts				
Premium Savings Bonds				
Unit Trusts				
Investment Trusts				
Offshore investments				
OEICs				
Any other assets (please state)				
Life interest Trust				
Discretionary Trust				
TOTALS				

9. Additional Information for Margin Product Accounts

Financial Details

Approximate annual income before tax £

Approximate value of savings and investments minus any outstanding loans £

Source of funds Employment ☐ Inheritance ☐ Investment ☐

Other (please specify)

If homeowner, approximate equity in house £

Investment Experience

Do you have experience of share dealing? Yes ☐ No ☐

If Yes: In what capacity do you deal in shares? Advisory ☐ Discretionary ☐ Execution-only ☐

What has been the average size and frequency of your share deals over the last year? Size £ Frequency

Who are the banks, stockbrokers or counterparties, which you deal with most frequently?

Do you understand the nature and risks associated with margined (or geared) transactions? Yes ☐ No ☐

Do you have experience of trading margined (or geared) products? Yes ☐ No ☐

If Yes: Which products do you have experience of trading?

Contracts for Difference	Yes ☐	No ☐
Spread Betting	Yes ☐	No ☐
Financial Futures and Options	Yes ☐	No ☐
Commodity Futures and Options	Yes ☐	No ☐
Foreign Exchange	Yes ☐	No ☐

What has been the average size and frequency of your trades in margined products over the last year? Size £ Frequency

What is your objective for opening a Discretionary CFD account?

Speculation ☐ Hedging ☐ Other (please specify)

10. Your Agreement

I/We declare that; i. This application form has been completed to the best of my/our knowledge and that the information provided is accurate. ii. I/We acknowledge receipt of the DS Wealth Discretionary Trading Terms and Conditions and I/we have read and agreed to the terms. iii. I/We have read and understood the associated risk warnings laid out in the Terms of Business and that I/We understand the applicable risks associated with the type of account that I/We have applied for in Section 1 of this application form. iv. I/We authorise DS Wealth Discretionary Trading to provide safe custody of investments and/or cash under the terms and conditions provided. v. Unless indicated otherwise, I/we expressly invite unsolicited communications (i.e. telephone calls and/or emails). Personal visits may not be made without prior approval.

We may send you details of other relevant products and services from time to time, which we believe may be of interest to you. If you do not wish to receive such information please tick here n.

Signature(s)

Signature of Single/ Primary Applicant

Date D D M M Y Y Y Y

Signature of Joint Applicant

Date D D M M Y Y Y Y

11. Instructions

Enclosed with this form are the Terms of Business of DS Wealth Discretionary Trading. Please read the Terms of Business that apply to the account you wish to open. If you agree to the terms please carefully complete this form and return it with the following items. Unfortunately we cannot open an account without the first two items.

- An original bank statement or original utility bill dated less than 6 months ago. This will be returned to you.
- A certified photocopy of your passport or driving licence. Certification can be done at a bank or by a lawyer or accountant. You will need to provide both a photocopy and the original document. Please do not send the original document.

Payments can be made in the following ways:

- A cheque, made payable to DS Wealth
- BACS transfer-reference **DS Wealth** to sort code: 830706, account number: 00288414
- For Debit Card payments, please call us on 0141 270 3250.

Return all documents to:
DS Wealth Discretionary Trading
2nd Floor
4 West Regent Street
Glasgow
G2 1RW

If you have any questions please contact us on 0207 337 2670 or email info@dswealth.co.uk

For DS Wealth Discretionary Trading Use Only

Has verification of identity procedure been completed? Date D D M M Y Y Y Y

Date on which copy client questionnaire sent to client: Date D D M M Y Y Y Y

Delete as appropriate:

- Form complete/sections not relevant have been struck through by client/myself
- Client unable/does not wish to supply information not recorded

Initials

Date D D M M Y Y Y Y