

Account Opening Form

Please write in block capitals

1. About your new account

Which type of account(s) do you wish to open?

Share Trading Foreign Exchange Contracts for Difference (CFD) Spread Betting

Note: You may open more than one type of account using this form. However, each account will need to be funded separately.

Which type of service would you like Direct Sharedeal to provide you with?

Execution only Advisory Discretionary

In which currency would you like your account to be opened? UK Sterling US Dollar Euro

2. Existing Direct Sharedeal Accounts

If you have a Direct Sharedeal account or accounts please enter your account number(s) below

3. Personal Details

Title Mr Mrs Miss Ms Dr Other

Forename Surname

Address

Postcode

Date of Birth Nationality

Home Tel Office Tel

Mobile Tel Fax No

Email Marital Status

Previous Address

Postcode

Employer's Name

Employer's Address

Postcode

Employment Status Director Employed Self-Employed

National Insurance No

In good health? Yes No Do you smoke? Yes No

UK resident? Yes No Country of domicile

If deemed domicile, please state and add domicile or origin

4. Bank Details

Bank Name	<input type="text"/>	Bank Tel	<input type="text"/>
Address	<input type="text"/>		
	<input type="text"/>		
	Postcode		
Account Name	<input type="text"/>	Account Number	<input type="text"/>
Sort Code	<input type="text"/>	<input type="text"/>	<input type="text"/>

5. Security Details

Mother's Maiden Name	<input type="text"/>	Your Place of Birth	<input type="text"/>
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6. Single/Primary Applicant's Identity Details

Passport Number	<input type="text"/>
Country of issue of passport	<input type="text"/>
UK Driver's License Number (if any)	<input type="text"/>
Bank or utility bill company	<input type="text"/>
Bank or utility bill Account No/Customer Ref.	<input type="text"/>

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 20 for more details.

7. About Joint Application (if any)

Title	Mr <input type="checkbox"/>	Mrs <input type="checkbox"/>	Miss <input type="checkbox"/>	Ms <input type="checkbox"/>	Dr <input type="checkbox"/>	Other	<input type="text"/>		
Forename	<input type="text"/>				Surname	<input type="text"/>			
Address	<input type="text"/>								
	<input type="text"/>								
	Postcode								
Date of Birth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	Nationality	<input type="text"/>
Home Tel	<input type="text"/>				Office Tel	<input type="text"/>			
Mobile Tel	<input type="text"/>				Fax No	<input type="text"/>			
Email	<input type="text"/>				Marital Status	<input type="text"/>			
Previous Address	<input type="text"/>								
	<input type="text"/>								
	Postcode								

8. Family Details

Are there any other financial dependants? Yes No

Name	Date of Birth	Relationship	Marital Status
<input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>	<input type="text"/>
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Notes

9. Financial Objectives

	Primary Applicant	Joint Applicant
Providing for self/family in the event of death/incapacity	<input type="text"/>	<input type="text"/>
Saving for future personal/family objectives	<input type="text"/>	<input type="text"/>
Reducing mortgage debt	<input type="text"/>	<input type="text"/>
Raising finance	<input type="text"/>	<input type="text"/>
Retirement planning/early retirement planning	<input type="text"/>	<input type="text"/>
Mitigating personal income tax or capital gains tax	<input type="text"/>	<input type="text"/>
Investing for capital growth	<input type="text"/>	<input type="text"/>
Investing for income	<input type="text"/>	<input type="text"/>
Providing for children's/grandchildren's educational needs	<input type="text"/>	<input type="text"/>
Mitigating inheritance tax and making gifts	<input type="text"/>	<input type="text"/>
Pension income options	<input type="text"/>	<input type="text"/>
Providing for residential or nursing home care	<input type="text"/>	<input type="text"/>
Ethical investment opportunities	<input type="text"/>	<input type="text"/>

Other needs

10. Action Plan

Other needs identified during interview

Action agreed/rejected by client

11. Attitude to Risk

Primary Applicant

Joint Applicant

Do you consider yourself to be an experienced investor?

Yes No

Yes No

On a scale of 1-10 what is your investment experience?

(1 = inexperienced : 10 = very experienced)

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.

12. Income and Expenditure Details

Approximate Gross Figures

Primary Applicant

Joint Applicant

Earned income

Benefits in kind:

Car

Medical Insurance

Other (please specify)

Bonus or commission

Pension:

Occupational

Personal Pensions and/or Retirement Annuities

State Pensions

Total income

Tax District and Reference

Current tax code (if applicable)

Estimated net monthly income

Estimated net monthly expenditure

(please complete attached expenditure sheet)

Future Commitments

Do you or your partner expect to take on commitments or enjoy expectations not covered in earlier sections?

13. Assets and Investment Income

Approximate Gross Figures

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

14. Adviser Details

Stockbroker or Investment Adviser

Direct Sharedeal Limited

Solicitor

Accountant

15. CREST Personal Membership Account

If you wish to open a Share Trading account only please complete this section and then proceed to section 18. If you wish to open a CFD, Foreign Exchange or Spread Bet account please ignore this section and proceed to section 16.

A CREST Personal Membership Account provides a secure and convenient method of holding UK and European shares electronically. If you wish to open a CREST Personal Membership Account please sign and date the boxes below. However if you would like to trade US and other non-European shares or would like to discuss opening a nominee account please call our account registration department on 0141 270 3213.

For more details about CREST and the duties of the sponsoring broker, a CREST booklet is available upon request.

Signature(s)

I/We agree to Direct Sharedeal Ltd acting as our CREST Sponsor according to the Terms And Conditions of CREST Sponsorship enclosed and which may, from time to time, be amended as notified to us in writing.

Signature of Single/
Primary Applicant

Date

Signature of
Joint Applicant

Date

16. Additional Information for Margin Product Accounts

ONLY complete this section if you wish to open a Contracts for Difference, Spread Bet or Foreign Exchange account.

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 with which you most frequently deal?

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 CFD, Spread Bet or Foreign Exchange account?

Speculation Hedging Other (please specify)

17. Annual Review Service

The next annual/interim review will take place on

18. 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 Direct Sharedeal Limited Terms and Conditions and I/we have read and agreed to the terms. **iii.** 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 and I/we will notify Direct Sharedeal Limited of any change to my/our circumstances immediately. **iv.** I/We authorise Direct Sharedeal 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 .

Signature(s)

Signature of Single/
Primary Applicant

Date

Signature of
Joint Applicant

Date

19. How Did You Hear About Direct Sharedeal?

20. Instructions

Enclosed with this form are the Terms of Business of Direct Sharedeal Ltd for various Direct Sharedeal accounts. 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.

- A cheque for funds to be put into your account, made payable to Direct Sharedeal Ltd. For details of how to make a bank transfer or debit card payment please call us on 0141 270 3213.

- If you wish to open a CFD, Spread Bet or Foreign Exchange account please sign the Risk Disclosure document and return it with this form.

Return all documents to:

Direct Sharedeal Ltd
4 West Regent Street
Glasgow
G2 1RW
Scotland

If you have any questions please contact us on 0207 337 2670 or email customerservice@directsharedeal.com

For Direct Sharedeal Ltd Use Only

If a tax client; does the engagement letter include investment business paragraphs? Yes No N/A

Has a full investment business engagement letter been: Issued? Date

Returned? Date

Has a waiver of interest been signed? Yes No N/A

Has verification of identity procedure been completed? Date

Date on which copy client questionnaire sent to client: Date

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