# Application Form - Individual Retail - Execution Only

PLEASE COMPLETE, SIGN AND RETURN

## Account type

☐ Execution Only

Under our Execution Only service, we will buy or sell investments on your specific instructions. This service is appropriate for those who wish to retain all responsibility for their investment decisions.

## Registration details

☐ Own Name

☐ Pershing Nominees Limited

## First Applicant's details

### Personal details

Surname

Title

Forenames

Address

Postcode

How many years at current address?

Date of birth

Place of birth

Nationality

Country of residence for tax purposes

National Insurance No.

### Contact details

Home telephone number

Mobile

Email

### Personal information

Occupation (if retired, what did you do before retirement?)

Expected date of retirement (if appropriate)

Anti-Money Laundering Regulations

We will validate name, address and other personal information supplied by you during this process against appropriate third party databases. By accepting these terms and conditions you consent to such checks being made. In performing these checks personal information provided by you may be disclosed to a registered Credit Reference Agency which may keep a record of that information. You can rest assured that this is done only to confirm your identity, that a credit check is not performed and that your credit rating will be unaffected. All information provided by you will be treated securely and strictly in accordance with the General Data Protection Regulation. In the event that we cannot process your application electronically using the information you have provided to us, we will request additional documentation from you.

## Second Applicant's details

### Personal details

Surname

Title

Forenames

Address

Postcode

How many years at current address?

Date of birth

Place of birth

Nationality

Country of residence for tax purposes

National Insurance No.

### Contact details

Home telephone number

Mobile

Email

### Personal information

Occupation (if retired, what did you do before retirement?)

Expected date of retirement (if appropriate)

Anti-Money Laundering Regulations

We will validate name, address and other personal information supplied by you during this process against appropriate third party databases. By accepting these terms and conditions you consent to such checks being made. In performing these checks personal information provided by you may be disclosed to a registered Credit Reference Agency which may keep a record of that information. You can rest assured that this is done only to confirm your identity, that a credit check is not performed and that your credit rating will be unaffected. All information provided by you will be treated securely and strictly in accordance with the General Data Protection Regulation. In the event that we cannot process your application electronically using the information you have provided to us, we will request additional documentation from you.

## Anti Money Laundering Operation

Under the rules and guidance of the Financial Conduct Authority, Vartan Ravenscroft has a regulatory obligation to manage the risk that the firm's business may be used to further financial crime. Specifically, we are required to take measures to prevent financial crime, to facilitate its detection and to monitor its incidence. In order to be able to meet our regulatory obligations, we require the following additional information relating to your account.

### 1. What is the nature and intended purpose of the business relationship between yourself and Vartan Ravenscroft?

(e.g. to supplement our retirement income, to create a return over and above current interest, to invest for the future, disposal of investments for probate purposes).

### 2. Type of account

- ☐ Private individual
- ☐ Joint account
- ☐ Executorship/Estate
- ☐ Other (please state)

### 3. Intended use of the account

- ☐ One-off transaction
- ☐ Probate purposes
- ☐ Ongoing share dealing
- ☐ Other (please specify)

### 4. Source of initial funding of the account

- ☐ In specie transfer of assets
- ☐ Trust assets
- ☐ Personal savings
- ☐ Estate assets
- ☐ Property sale
- ☐ Bequest
- ☐ Other (please specify)

Expected amount of initial funding

### 5. Expected withdrawals from the account

- ☐ All surplus cash to be withdrawn
- ☐ Occasional cash withdrawals
- ☐ Regular amounts - monthly
- ☐ Regular amounts - quarterly
- ☐ Regular amounts - half-yearly
- ☐ No expected withdrawals
- ☐ Other (please specify)

- ☐ £0 - £30k
- ☐ £30k - £100k
- ☐ £100k+

### 6. Expected ongoing funding of the account

- ☐ No expected ongoing funding (initial funding only)
- ☐ Occasional funding
- ☐ Regular monthly/quarterly amounts
- ☐ In specie transfer of assets
- ☐ Other (please specify)

Source of ongoing funding (if any)

- ☐ Salary
- ☐ Pension contributions
- ☐ Business profits
- ☐ Other (please specify)
- ☐ Personal savings

Size of expected ongoing funding

- ☐ £0 to £30k
- ☐ £31k to £100k
- ☐ £100k+

## Risk

Before deciding whether to invest in the stock market you should take into account your savings, including pension arrangements, other short and long term savings schemes, life assurance and protection policies, as well as your levels of indebtedness. You should be prepared to invest your funds for a minimum of five years and preferably longer. Investors should be aware that past performance is not necessarily a guide to the future.

**The value of your capital will fluctuate and may fall as well as rise and you may not get back your original capital investments.**

Should you need to withdraw invested funds quickly, this also may adversely affect the amount you receive. If, having considered the above, you have made the decision to invest in the stock market; you should then decide the level of funds you wish to invest and your investment strategy. All investment decisions involve risk.

## Professional Advisers

### Accountants

Name

Contact

Telephone

Address

Postcode

Email

Copy contract notes

☐ Yes ☐ No

Copy statements

☐ Yes ☐ No

Copy valuations

☐ Yes ☐ No

### Solicitors

Name

Contact

Telephone

Address

Postcode

Email

Copy contract notes

☐ Yes ☐ No

Copy statements

☐ Yes ☐ No

Copy valuations

☐ Yes ☐ No

## Cash Balances

☐ To be retained

☐ Paid to home

## Bank Details

Principal Bank

Address

Postcode

Name(s) of account holder(s)

Number

Sort code

## Valuations (for nominee clients only)

Portfolio reports will be made up to the dates you request and sent out at six-monthly intervals. Please indicate preferred date/month. Otherwise the valuations will be sent on 5th April and 5th October each year.

☐ January

☐ February

☐ March

☐ April

☐ May

☐ June

☐ July

☐ August

☐ September

☐ October

☐ November

☐ December

## Dividends (for nominee clients only)

(If you do not complete this section, we will take up cash on your behalf)

☐ To accrue

☐ To be paid (see below)

☐ Reinvest

**If to be paid:**

☐ Monthly

☐ Quarterly

☐ Half yearly

☐ Annually

☐ By cheque

☐ To bank via BACS

**Scrip Dividends**

☐ Take cash

☐ Take shares

**DRIP**

☐ Take cash

☐ Take shares

## Regulatory Requirements - Client Categorisation

(We will class all clients as Retail unless we are informed otherwise).

☐ Retail Client

☐ Elective Professional client

☐ Per Se Professional client

## Elective Professional client

A firm may treat a client as an elective professional client if he meets the "qualitative" and "quantitative" test.

**Qualitative:**

The firm must undertake an adequate assessment of the expertise, experience and knowledge of the client, that gives reasonable assurance, in the light of the nature of the transactions or services envisaged, that the client is capable of making his own investment decisions and undertaking the risks involved. (Please provide documentary evidence.)

**Quantitative:**

At least two of the following are met:

a) the client has carried out transactions, in significant size, on the relevant market at an average frequency of 10 per quarter over the previous four quarters; ☐

b) the size of the client's financial instrument portfolio exceeds EUR 500,000; ☐

c) the client works or has worked in the financial sector for at least one year in a professional position which requires knowledge of the transactions envisaged. ☐

## Per Se Professional client

**An entity that is required to be authorised or regulated to operate in the financial markets, such as:**

A credit institution ☐

An investment firm ☐

Any other authorised or regulated financial institution ☐

An insurance company ☐

A collective investment scheme or the management company of such a scheme ☐

A pension fund or the management company of a pension fund ☐

A commodity or commodity derivatives dealer ☐

A local ☐

Any other institutional investor ☐

**And/or a large undertaking meeting two of the following size requirements on a company basis**

a) balance sheet total of EUR 20,000,000 ☐

b) net turnover of EUR 40,000,000 ☐

c) own funds of EUR 2,000,000 ☐

**And/or a national or regional government, a public body that manages public debt, a central bank, an international or supranational institution.** ☐

**And/or another institutional investor whose main activity is to invest in financial instruments** ☐

## Third Party Account Authority

Please complete this section only if you wish to give authority for a third party, i.e. husband or wife, solicitor, accountant, friend etc, to give instructions on your account. By completing this section, you authorise Vartan Ravenscroft to accept instructions given on your account, in writing or by telephone, from the person below.

Full name of third party

Address

Postcode

Telephone

Verification of authorised intermediaries

Where the third party is an authorised intermediary, please specify their FCA number.

Where the third party is not an authorised intermediary, we will need to verify their identity electronically as stated earlier in this form. Therefore, please provide the following additional information.

Date of birth

Place of birth

Nationality

How many years have they lived at their current address?

National Insurance No.

Existing Vartan Ravenscroft account number where applicable

Any limitations / restrictions

Signed (First Applicant)

Print name (First Applicant)

Date (First Applicant)

Signed (Second Applicant)

Print name (Second Applicant)

Date (Second Applicant)

## Declaration

All account holders must sign and date this declaration.

I/We confirm that I/we wish to open a Execution Only account, that the details provided on this application form are correct and that I/we have read, understood and accept Vartan Ravenscroft's 'Our Business Terms and Conditions' and this Agreement and any Supplemental Terms relating to the account.

Signed (First Applicant)

Signed (Second Applicant)

Print Name (First Applicant)

Print Name (Second Applicant)

Date (First Applicant)

Date (Second Applicant)

## Conflicts of Interest Policy

We have received a summary of Vartan Ravenscroft's Conflict of Interest Policy.

☐ Yes ☐ No

Signed

Date

**Disclaimer**

Vartan Ravenscroft is a trading name of A Vartan Limited ("AVL") (FCA number 609277) whose registered office address is at The Singing Men's Chambers, 19 Minster Precincts, Peterborough, PE1 1XX. AVL is authorised and regulated by the Financial Conduct Authority. All calls to AVL will be recorded and monitored for training and security purposes.

Ravenscroft is a trading name of Ravenscroft Limited ("RL") (company number 42906) and Ravenscroft Investment Management Limited ("RIML") (company number 49397) both of which have their registered office addresses at P.O. Box 222, 20 New Street, St Peter Port, Guernsey, GY1 4JG. The business address for Ravenscroft Limited Jersey office is PO Box 419, First Floor, Weighbridge House, Liberation Square, St Helier, Jersey JE2 3NA.

RL is licensed and regulated by the Guernsey Financial Services Commission to conduct investment business and the Jersey Financial Services Commission to conduct investment and funds services business.

Ravenscroft Investment Management is a trading name of RIML. RIML is licensed and regulated by the Guernsey Financial Services Commission to conduct investment business.

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Ravenscroft is a trading name of Ravenscroft Limited (RL) and is a wholly owned subsidiary of Ravenscroft Holdings Limited (RHL).
For further details, including Legal and Regulatory Information, please refer to our Terms of Business or visit our website www.ravenscroftgroup.com.