

APPLICATION TO JOIN THE FREQUENT TRADER SERVICE⁶

This application will open a General Account. If you also wish to also set up an ISA, or access Complex Financial Instruments, please also complete the relevant form. Please complete in block capitals and send to: Clubfinance Ltd, PO Box 1036, Hemel Hempstead, Hertfordshire, HP1 2WU.

A. Personal Details

Title:	Surname:	Gender:	<input type="checkbox"/> male	<input type="checkbox"/> female
First name:	Middle name(s):			
Address line 1:		Telephone (day):		
Address line 2:		Telephone (evening):		
Address line 3:		Nationality:		
Address line 4:		Country of birth:		
Post Code:	Date of birth:	D D M M Y Y Y Y	Country of residence:	
NI no.:	Email:			

FATCA Declaration

Please indicate ALL countries in which you are resident for the purpose of that country's income tax. If you are a US citizen, Green Card holder, or US resident, you must complete and return an IRS W-9 form and include any additional tax residencies in the table below.

Country of Tax residence:	Tax Identification No. (TIN):	<input type="checkbox"/> No TIN
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B. Joint Holder Details (if any)

Title:	Surname:	Gender:	<input type="checkbox"/> male	<input type="checkbox"/> female
First name:	Middle name(s):			
Address line 1:		Telephone (day):		
Address line 2:		Telephone (evening):		
Address line 3:		Nationality:		
Address line 4:		Country of birth:		
Post Code:	Date of birth:	D D M M Y Y Y Y	Country of residence:	
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C. Identity verification of applicants

Unless already provided to Clubfinance, please enclose two identification documents as set out in our Identification Requirements.

Applicant: enclosed previously supplied Joint holder (if any): enclosed previously supplied

D. Nominated Bank Account and funding your account

Additional bank statement /void cheque: enclosed

Name(s) of account holder(s):	Account number:
Opening fund value: £	Sort Code:

(cash payment(s) plus approximate value of transfers in)

Tick all that apply: cheque enclosed online payment debit card over phone transfer(s) in, form(s) enclosed

Please include an original bank statement less than 3 months old to support your Nominated Bank Account. If this is not possible, please provide a cheque from this account crossed with "VOID". This is in addition to your two identity verification documents.

Your Nominated Bank Account is used to receive cash withdrawals – it must be a UK account with a bank or building society on the FCA Register and you must be a named account holder. If the account number and sort code you provide are incorrect, we will not accept responsibility for any loss incurred. You can use a cheque drawn on a personal account in your name made payable to 'James Brearley & Sons' to fund your account. Once your account is set up, you can pay money into your Frequent Trader account(s) from your Nominated Bank Account using online banking, BACS, or CHAPS. Please quote the letter 'C' (General Account) or 'I' (ISA account) followed by your account number then surname e.g. 'C123456 Smith', 'I123456 Smith'. You can also use a Switch or Delta debit card by calling the James Brearley Online Services Team on 01253 831211.

E. Anti-money laundering requirements

Clubfinance Ltd 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. Please answer all questions.

1. Type of Frequent Trader account (if 'other' please specify)

private individual joint account society / club company other : _____

Names of other persons connected to the account, including signatories, partners, directors, controlling shareholders, trustees, beneficiaries, settlor, protector (continue on an additional sheet if more names are required):

Name(s): 1: _____ 2: _____ 3: _____

How connected: 1: _____ 2: _____ 3: _____

2. Intended use of account (if 'other' please specify)

one-off transaction 0-1 transaction/month 1-5 transactions/month 5+ transactions/month other: _____

3. Source of initial funding of the account (if 'other' please specify)

in specie transfer of assets personal savings property sale bequest (inheritance) other: _____

4. Expected withdrawals from account (if 'other' please specify)

all surplus cash occasional withdrawals regular, monthly regular, quarterly other: _____

5. Expected ongoing funding of the account (if 'other' please specify)

none expected occasional funding in specie transfer of assets regular savings other: _____

source of ongoing funding (if any; if 'other' please specify)

salary business profits personal savings other: _____

6. Employment status / details

Employment status: _____ Nature of occupation &/or business: _____

Expected annual salary / business profits / pension income, before tax: £0-30k £31-100k £100k+

7. Purpose for joining the service (tick all that apply, & if 'other' please specify)

investment tax planning other: _____

CLIENT DECLARATION & SIGNATURE

The Clubfinance Ltd ('Clubfinance') Frequent Trader platform is a discount arranging service only (i.e. an execution-only service). As part of the Service you will not receive advice or recommendations. The appropriateness of the Service or individual investments will not be assessed for you.

It is important that you understand the following before opening an account and each time you use the Service.

- The importance of carefully reading, understanding and retaining copies of current documentation relating to the Service and fund(s) (if applicable) you are arranging (Service-related documentation is available here: www.frequent-trader.co.uk/documents.php or on request):
 - the terms and conditions that apply to the Service, as set out in Clubfinance's Frequent Trader Terms of Business;
 - the fees and charges for the Service as set out in the current Clubfinance Frequent Trader Charges Schedule; and
 - for a fund, the key features document (& key features illustration), &/or Key Investor Information Document, &/or simplified prospectus/mini-prospectus/prospectus, &/or other product document applicable to each fund (these will be provided online as part of the Service or on request).
- The risks attached to a particular investment – risk information may be contained in fund-specific documentation (see above), &/or in Clubfinance's Frequent Trader Terms of Business, &/or in a separate risk warning document or information sheet (see www.frequent-trader.co.uk/documents.php).
- If you have not received, or have any doubt that you have received, or been unable to access, all the relevant information, you should contact us.
- Clubfinance Frequent Trader is an execution-only service. Both Clubfinance and James Brearley & Sons Ltd, their employees, servants &/or agents cannot provide you with advice or recommendation as to the suitability or appropriateness* of a particular investment or the Service, the use of trusts, or other taxation matters.
- If you are not confident that you are able to determine whether the Service or individual investments are suitable and appropriate for you, you should not use the Service, and should seek advice from a firm that can advise you.
- It is your responsibility to monitor and determine the ongoing suitability and appropriateness* of the Service and your selected investments. If you are unable or have any doubt that you are able to do this, you should seek advice from a firm that can provide this.
- Your use of this Service will be on an execution-only basis and subject to this declaration. This includes, but is not limited to: variations, cessations, purchases, sales, switches, transfers, and corporate actions.
- *You will not have access to Complex Financial Instruments – this is subject to a separate appropriateness assessment.

Please read this Declaration carefully. When you sign this form you accept the terms & conditions for the Service. If there is anything you do not understand, please ask us before signing.

I/We request that for this and applications to open additional accounts (e.g. ISA), the relevant services will commence on receipt and acceptance of the application (*please strike through this point if you wish to delay until expiry of the applicable cancellation period (if any), which is 14 days for this application or an ISA*).

I/We undertake to advise promptly of any change in circumstances which causes the information contained herein to become incorrect or incomplete and to provide an updated declaration within 30 days of such a change in circumstances.

I/We am/are aware that in certain circumstances this information will be shared with UK tax authorities, who may pass it on to other tax authorities.

I/We confirm that I/we have answered accurately on this application form, that I/we are acting on my/our own behalf and not as a trustee, nominee, agent or in a fiduciary or any other capacity for any other person(s).

I/we have instructed Clubfinance to register me/us for Clubfinance's Frequent Trader Service.

Applicant signature:	Date:
Joint holder signature (if any):	Date:

Our Terms of Business allow us to include marketing information from Clubfinance with other communications to you. Clubfinance will not supply your information to third parties for marketing purposes.

Would you like to be featured in the national press?

The personal finance pages of national newspapers are often looking for investors to be featured in a case study. If you would be interested in appearing in a case study in relation to the Frequent Trader Service, please tick this box

Clubfinance Ltd - Marketing Opt in

If you would like to receive additional marketing information from Clubfinance please tick your areas of interest:

general investments , EIS & VCT , other higher risk investments , insurance , mortgages

Methods by which Clubfinance can send you this information (or leave blank for both): e-mail , post

If you leave the boxes above blank, we will retain any previous preferences unless you opt out by ticking this box