

EXECUTION ONLY CLIENTS – Joint Account
Nominee / Certificated / ISA* delete as applicable

Please complete this form to provide us with the information needed to open your account

Please tell us about your Investment Knowledge and Experience

When you make a transaction with us we will use the information you provide here to assess the appropriateness of our products or services. If we determine that the product or service is not appropriate we will warn you.

If you do not provide enough information to allow us to assess your knowledge and experience then we will not be able determine whether our services are appropriate for you. Therefore you will not benefit from the protection of the Financial Services Authority rules on assessing suitability.

Appropriateness of our Services to You

The number of years I have been investing in Stocks and Shares is:	<input type="text"/>
The average number of trades I place every 3 months is:	<input type="text"/>
I have previously invested in shares traded on the following markets:	
<input type="checkbox"/>	LSE Official List (Main Market)
<input type="checkbox"/>	Alternative Investment Market (AIM)
<input type="checkbox"/>	PLUS Markets Quoted
<input type="checkbox"/>	Initial Public Offerings (IPOs)
<input type="checkbox"/>	Venture Capital Trusts (VCTs)
<input type="checkbox"/>	Unlisted shares
<input type="checkbox"/>	Overseas shares
I would describe my understanding of trading stocks and shares to be:	<input type="checkbox"/> Good <input type="checkbox"/> Average <input type="checkbox"/> Poor
I have relevant professional experience of trading stocks and shares:	<input type="checkbox"/> Yes <input type="checkbox"/> No

TSCTRADE is a trading name of All IPO Plc, which is authorised and regulated by the Financial Services Authority (FSA Register number 428754) and is a member of the London Stock Exchange.

TSCTRADE, 26 Throgmorton Street, London, EC2N 2AN. Tel: +44 (0)20 7070 0954 Fax: +44 (0)20 7628 7220
Registered Office/Accounts Dept: Suite 27, Essex Technology Centre, The Gables, Fyfield Road, Ongar, Essex, CM5 0GA. Tel: +44 (0)1277 368300 Fax: +44 (0)1277 368340

Company registered in England and Wales: Number 3230460 VAT No: GB 752 3202 64

1st Account Holder - Personal Details [if less than 3 years, please also supply previous addresses]	
Title	<input type="text"/>
First Name	<input type="text"/>
Middle Name(s)	<input type="text"/>
Last Name	<input type="text"/>
Date of Birth	<input type="text" value="/"/> <input type="text" value="/"/> (DD/MM/YYYY)
Nationality	<input type="text"/>

1st Account Holder - UK Home Address	
Address Line 1	<input type="text"/>
Address Line 2	<input type="text"/>
Address Line 3	<input type="text"/>
Address Line 4	<input type="text"/>
City / Town	<input type="text"/>
County	<input type="text"/>
Post code	<input type="text"/>
Years at address	<input type="text"/>

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2nd Account Holder - Personal Details

Title

First Name

Middle Name(s)

Last Name

Date of Birth

(DD/MM/YYYY)

Nationality

2nd Account Holder - UK Home Address

Address Line 1

Address Line 2

Address Line 3

Address Line 4

City / Town

County

Post code

Years at address

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Contact Details	
Home Telephone	<input type="text"/>
Mobile Telephone	<input type="text"/>
Email Address	<input type="text"/>

Financial Information about You

1st Account Holder

Notes

Employed Self-employed Retired Unemployed Other

National Insurance Number

UK Tax Status Nil Rate Basic Rate Higher Rate

Annual Income (£) Salary Other Income

2nd Account Holder

Notes

Employed Self-employed Retired Unemployed Other

National Insurance Number

UK Tax Status Nil Rate Basic Rate Higher Rate

Annual Income (£) Salary Other Income

Joint Information

Assets (£)	Property <input type="text"/>	Liabilities (£)	Mortgage <input type="text"/>
	Share Portfolio <input type="text"/>		Investment Liabilities <input type="text"/>
	Cash on deposit <input type="text"/>		Other borrowings <input type="text"/>
	Other <input type="text"/>		Other <input type="text"/>
	Total Assets <input type="text"/>		Total Liabilities <input type="text"/>

Notes

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Employment Information for 1st Account Holder

Occupation: Director of a Firm: Yes No

Name of Employer:

FSA Registered Firm: Yes No

FSA Reg No:

If you wish for copies of contract notes to be sent to your Compliance Department, please supply the following details:

Name of Compliance Officer:

Email:

Address:

Employment Information for 2nd Account Holder

Occupation: Director of a Firm: Yes No

Name of Employer:

FSA Registered Firm: Yes No

FSA Reg No:

If you wish for copies of contract notes to be sent to your Compliance Department, please supply the following details:

Name of Compliance Officer:

Email:

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Your UK Bank Details

Please enter your bank account details. We will use these account details to make payments to you when you request a withdrawal from your account.

Name of Bank

Name on Account

Sort Code

Account Number

Anti-Money-Laundering Requirements

Before we can carry out investment business with you, we are required by the Financial Services Authority (FSA) to carry out adequate checks to ensure your true identity and other matters in relations to money laundering and address checks.

We shall attempt to identify you using an electronic verification provider. This is not a credit reference search; therefore it leaves no foot print trail on your credit file.

In the unfortunate event that we are unable to verify you electronically we may call upon you to provide us with the following documents:

1. A UK photocard driving license or a valid passport

If you wish, you may send a photocopy of your photocard driving license or of the photograph page of your passport and this **must be signed** by a bank manager, accountant, or lawyer to be a true likeness of yourself. The signing party must clearly state their name, position, and contact address.

2. We also require you to enclose a second original and recently dated document showing your name and address. This can be one of:

- a) Bank statement
- b) Credit card statement
- c) Gas, electricity, or water bill
- d) Fixed line telephone bill (sorry, mobile telephone bills cannot be accepted)

We will take photocopies of any originals and return them to you by post (at your own risk, however official documents if originals will be sent by recorded delivery – please note that we do not recommend that you send your passport or driving license originals to us by non-recorded delivery in case they are mislaid).

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Accept Terms and Conditions

I confirm that the details I have provided herein are a true and accurate representation of my current status, I have read and accept the terms of the Execution and Conflicts of Interest Policy and the Risk Warning Notice and I hereby agree to be bound by the TSCTRADE Terms of Business.

I also agree for TSCTrade to instigate electronic verification checks for Anti-Money Laundering purposes in order to verify my true identity and validate me at my residential address and or I enclose one proof of identity and one proof of address with my application

Customer Signature
1st Account Holder

Print Name
1st Account Holder

Customer Signature
2nd Account Holder

Print Name
2nd Account Holder

Dated

(DD/MM/YYYY)

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