



**Hedley**  
& Company

STOCKBROKERS LTD

## **Retail Client Information & Agreement Form**

### **For Execution Only Clients**

Hedley & Company Stockbrokers Limited

19 Trident Park, Blackburn, Lancashire, BB1 3NU  
Tel: 01254 699333

And at 13b Winckley Square, Preston, PR1 3JJ  
Tel: 01772 887880

[www.hedleyandco.co.uk](http://www.hedleyandco.co.uk)

**Authorised and Regulated by the Financial Conduct Authority  
Member of the London Stock Exchange**

## 1. Personal details

|   | Applicant 1 | Applicant 2 (if joint account) |
|---|-------------|--------------------------------|
| Title   |             |                                |
| Surname   |             |                                |
| Forename(s)   |             |                                |
| Date of birth                                       |             |                                |
| Place of birth                                      |             |                                |
| Nationality   |             |                                |
| Address   |             |                                |
|   |             |                                |
|   |             |                                |
|   |             |                                |
| Postcode  |             |                                |
| Country (if not UK)                                 |             |                                |
| National Insurance Number                           |             |                                |
| Tax Identification Number (overseas residents only) |             |                                |
| Non EEA National: Passport number                   |             |                                |
| Email address                                       |             |                                |
| Home Telephone                                      |             |                                |
| Work Telephone                                      |             |                                |
| Mobile Telephone                                    |             |                                |
| Fax   |             |                                |

## 2. Online account access

We are pleased to be able to offer online access where you can view your current investments together with contract notes and valuations. Please note there is no facility to trade on the online platform; it is a viewing only system. To register for online account access please complete the section below:

| Security information | Answer |
|----------------------|--------|
| Mothers maiden name  |        |
| Name of first school |        |

## 3. Your bank details

Principal UK bank account details are required even if no income is to be taken.

**PLEASE CHECK YOUR BANK DETAILS ARE CORRECT AS MISTAKES IN PAYMENTS SOMETIMES CANNOT BE RECTIFIED.**

If you have a foreign bank account please supply full details separately

|                           |  |  |   |  |  |   |  |  |
|---------------------------|--|--|---|--|--|---|--|--|
| Bank or Building Soc Name |  |  |   |  |  |   |  |  |
| Sort Code                 |  |  | - |  |  | - |  |  |
| Account Number            |  |  |   |  |  |   |  |  |
| Account Name              |  |  |   |  |  |   |  |  |
| Building Soc Ref          |  |  |   |  |  |   |  |  |

#### 4. Contract notes

Contract notes will normally be sent to you at the address listed in Section 1. However should you wish contracts to be sent elsewhere or require copies to be sent elsewhere, please indicate below.

|  |
|--|
|  |
|--|

#### 5. Third Party Instructions

If there is someone you wish to appoint to instruct us to act on your behalf as part of this agreement please enter their details below. You agree that we may act on this persons' instructions without further reference to you and you will fulfil any obligations entered into by them on your behalf.

The person will need to be identified to the same standard as the account holder and therefore provide two forms of identification such as a passport and utility bill.

|                           |  |
|---------------------------|--|
| Full name                 |  |
| Date of birth             |  |
| National insurance number |  |
| Residential address       |  |

## 6. FATCA Certification

|   |                                 |                                   |              |
|---|---------------------------------|-----------------------------------|--------------|
| Self-Certification for Individuals to comply with FATCA<br>Please see the explanatory notes/instructions and/or contact your tax adviser to help complete this form   |                                 |                                   |              |
| <b>Section A : Beneficial Owner Information</b>   |                                 |                                   |              |
| Client Name   |                                 |                                   |              |
| Permanent Residential Address   |                                 |                                   |              |
| Mailing Address (if different from above)   |                                 |                                   |              |
| Country of birth  |                                 | Date of Birth (dd/mm/yy)          | __ / __ / __ |
| Account Number(s)   |                                 |                                   |              |
| <b>Section B : Tax Residency</b>  |                                 |                                   |              |
| Please indicate ALL countries in which you are a resident for the purposes of that country's income tax.  |                                 |                                   |              |
| Country of Tax Residency  | Tax Identification Number (TIN) | Alternate Tax Reference (e.g. NI) |              |
|   |                                 |                                   |              |
|   |                                 |                                   |              |
|   |                                 |                                   |              |
| <b>Section C : Declaration Section</b>  |                                 |                                   |              |
| 1) I undertake to advise Hedley & Co. promptly of any change in circumstances which causes the information contained herein to become incorrect or incomplete and to provide Hedley & Co. with an updated declaration within 30 days of such a change in circumstances.<br>2) I am aware that in certain circumstances Hedley & Co. will be obliged to share this information with UK tax authorities, who may pass it on to other tax authorities.<br>3) I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete. |                                 |                                   |              |
| Signature: _____  |                                 | Print Name: _____                 |              |
| Date: _____   |                                 | Capacity: _____                   |              |

## 7. Assent and Signature

IF THERE IS ANYTHING OF WHICH YOU ARE UNSURE, OR DO NOT UNDERSTAND PLEASE CONTACT HEDLEY & CO BEFORE YOU SIGN THIS FORM.

If this form has been completed by someone else please take the time to read through, check its accuracy and make sure that you fully understand the agreement before signing.

You assent to your investments being held in the Platform Securities Nominee Service where your investments will be held to your order with you as beneficial owner.

To Hedley & Company Stockbrokers Limited

By opening this account and signing below, the account owner represents and warrants that he/she/it is not a US person for the purposes of US Federal Income Tax and that he/she/it is not acting for, or on behalf of, a US person. A false statement of misrepresentation of tax status by a US person could lead to penalties under US law. If your tax status changes or you become a US citizen or resident, you must notify us within 30 days.

YOU ARE ENTERING INTO AN EXECUTION ONLY DEALING SERVICE

I/We acknowledge receipt of the Terms of Business and the Rate Card and Services Description which together with this Retail Client Agreement forms the agreement between us. I/We confirm acceptance of the agreement.

|               |  |                              |  |
|---------------|--|------------------------------|--|
| Signed        |  | Signed<br>(if joint account) |  |
| Print<br>name |  | Print name                   |  |
| Date          |  | Date                         |  |

