

# 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

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 Instruction	ns				
please enter their details below	o appoint to instruct us to act on your behalf as part of this agreement v. You agree that we may act on this persons' instructions without we will fulfil any obligations entered into by them on your behalf.				
•	ntified to the same standard as the account holder and therefore ion 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 Please see the explanatory notes/instructions and/or contact your tax adviser to help complete this form						
Section A : Beneficial Owner Information						
Client Name						
Permanent Residential Address						
Mailing Address (if different from above)						
Country of birth			Date of Birth (dd/	/mm/yy)	//	
Account Number(s)						
Section B : Tax Residency	1					
Please indicate ALL count	ries in wh	nich you are a resid	dent for the purpos	ses of tha	t country's income tax.	
Country of Tax Residency		Tax Identification	Number (TIN)	Alternat	e Tax Reference (e.g. NI)	
Section C : Declaration Section						
<ol> <li>I undertake to advise Hedley &amp; Co. promptly of any change in circumstances which causes the information contained herein to become incorrect or incomplete and to provide Hedley &amp; Co. with an updated declaration within 30 days of such a change in circumstances.</li> <li>I am aware that in certain circumstances Hedley &amp; Co. will be obliged to share this information with UK tax authorities, who may pass it on to other tax authorities.</li> <li>I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete.</li> </ol>						
Signature: Print Name:						
Date:		Сар	acity:			



#### 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 (if joint account)	
Print name	Print name	
Date	Date	

# Form W-8BEN

(Rev. July 2017)

Department of the Treasury Internal Revenue Service

#### Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)

☐ For use by individuals. Entities must use Form W-8BEN-E.

Go to www.irs.gov/FormW8BEN for instructions and the latest information.

Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

Do No	OT use thi	s form if:			Instead, use Form:
• You	are NOT a	n individual			W-8BEN-E
• You	are a U.S.	citizen or other U.S. person, including a resident alie	en individual		W-9
		eficial owner claiming that income is effectively con ersonal services)	nected with the conduct of trade (	or business within th	ne U.S.
• You	are a ben	eficial owner who is receiving compensation for per	sonal services performed in the Ui	nited States	8233 or W-4
• You	are a pers	on acting as an intermediary			W-8IMY
		e resident in a FATCA partner jurisdiction (i.e., a Mod ur jurisdiction of residence.	lel 1 IGA jurisdiction with reciproci	ty), certain tax acco	unt i nformation may be
Par	t l	Identification of Beneficial Owner (se	ee instructions)		
1	Name o	f individual who is the beneficial owner		2 Country of c	itizenship
3	Perman	ent residence address (street, apt. or suite no., or rui	ral route). Do not use a P.O.	box or in-care-of ad	dress.
	City or	town, state or province. Include postal code where	appropriate.		Country
4	Mailing	address (if different from above)			
	City or	town, state or province. Include postal code where	appropriate.		Country
5	U.S. ta	xpayer identification number (SSN or ITIN), if require	ed (see instructions)	6 Foreign tax i	dentifying number (see instructions)
7	Referen	ce number(s) (see instructions)	8 Date of birth (MM-DD-YY	YYY) (see instruction	s)
Par	i II	Claim of Tax Treaty Benefits (for chap	oter 3 purposes only) (see ir	nstructions)	
9	I certify	y that the beneficial owner is a resident of			within the meaning of the income tax
		between the United States and that country.			
10	Specia	• •	ictions): The beneficial owner is cla		· - ·
		of the treaty identified	on line 9 above to claim a	% rate of withhold	ding on (specify type of income):
	Explair	n the additional conditions in the Article and paragr	aph the beneficial owner meets to	be eligible for the r	ate of withholding:
Part		Certification			
Under	penalties o	of perjury, I declare that I have examined the information or alties of perjury that:	this form and to the best of my knowl	edge and belief it is t	rue, correct, and complete. I further
	l am the	e individual that is the beneficial owner (or am authorized t	o sign for the individual that is the bend	eficial owner) of all the	e income to which this form relates or
		ng this form to document myself for chapter 4 purposes,			
•		son named on line 1 of this form is not a U.S. person, ome to which this form relates is:			
•		effectively connected with the conduct of a trade or busine	ss in the United States.		
		ctively connected but is not subject to tax under an applica			
		partner's share of a partnership's effectively connected inco	•		
•		son named on line 1 of this form is a resident of the treaty of ted States and that country, and	country listed on line 9 of the form (if a	ny) within the me anir	ng of the income tax treaty between
	For bro	ker transactions or barter exchanges, the beneficial owner i	s an exempt foreign person as defined	in the instructions.	
	any wit	more, I authorize this form to be provided to any withholdi hholding agent that can disburse or make payments of the ertification made on this form becomes incorrect.			
Sign	Here				
-		Signature of beneficial owner (or individu	ual authorized to sign for beneficial ow	ner)	Date (MM-DD-YYYY)
		Print name of signer	(	Capacity in which actin	g (if form is not signed by beneficial owner)
		D. L. C. A. (Al. C			- WODEN (