Corporate Accounts

Retail Client Information & Agreement Form

Please complete each section of this form as the information we gather will be used when tailoring your portfolio to suit your investment objectives. It is also important that you inform us if any of the information changes as this may impact the investment approach.

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

19 Trident Park, Blackburn, BB1 8AD   Tel: 01254 699 333
And at 13b Winckley Square, Preston, PR1 3JJ   Tel: 01772 887880

Important Documents required to open an account:

Certificate of Incorporation

List of Shareholders with percentage holding

List of Directors

Board Resolution authorising;

- **Opening of account with Hedley**
- **Naming directors to instruct**

Proof of Address for the Trading Address of the Business (Utility Bill in company name or Bank Statement)

Latest Report and Accounts (if a newly formed company then the source of it’s funds will need to be disclosed)

Identity for each director;

- **Copy of passport or Photo Drivers Licence, certified by responsible person if not face to face with Hedley Adviser**
- **Copy of Utility Bill or Bank Statement for main residence.**

Identity for each Shareholder with a holding >25% as above

FATCA Declaration for a Company

Legal Entity Identifier (LEI)

1. Client Details

Company Details	
Company Name	
Registered Address	
Business Address	

Directors

Director (1)		Director (2)	
DOB	NI number	DOB	NI number
Address		Address	
Postcode		Postcode	
Director(3)		Director(4)	
DOB	NI number	DOB	NI number
Address		Address	
Postcode		Postcode	

2 Service Category

Please tick one box representing your choice from this section. Guidance on our services is on the accompanying Rate Card & Service Description. Your prospective adviser will also explain our services and will answer any questions you might have.

Investment Management

Discretionary Managed Portfolio Service

Advisory Managed Portfolio Service

Dealing Services

Execution Only Dealing Service

Portfolio Valuation Service (dates of valuation to be notified)

3 Company 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								
Account Name								
Sort Code								
Account Number								

4 Custody of Your Investments

For our dealing services you may choose either of;

Nominee Service (your investments will be held to your order with you as beneficial owner, making settlement quicker and more efficient)

Registration in your own name (you will be sent certificates and have to deliver to settle sales, this will incur cost see Charges)

5 Cleared Funds (for dealing services)

Retained on Account for future investment (you can request monies be sent to you at any time)

Paid electronically to the company account as detailed above

Cheque to the address in Section 1, Applicant 1. (Please note there is a charge for this, see our Charges)

6 Income Instructions (for clients using nominee service)

Payments will be made of income received in the first seven days of each selected month to the company bank account on the previous page.

Monthly payments of income received

Monthly transfer to dealing account for re-investment

Monthly standing order

Amount of standing order (if applicable)	£

Quarterly standing order (Jan/Apr/Jul/Oct)

Half yearly standing order (Apr/Oct)

7 Contract Notes

Contract
Email
Mail if required
Copy
Email
Mail if required

8 Third Party Instructions

Capacity to Give Instructions	
We will accept instructions from the Directors, jointly or severally, who are named on a Board Resolution as authorised by the company unless instructed otherwise. Please insert below the full names & addresses of any authorised Financial Advisers whom you authorise to give instructions on your behalf. **Please note that this instruction does not extend to transferring stock or paying money to third parties, nor to the administration of the account.**	
Full Name	Full Name
DOB	DOB
Capacity	Capacity
Home Address	Home Address
Postcode	Postcode
Country of residence for tax purposes	Country of residence for tax purposes
Signature of nominated person	Signature of nominated person

9 Suitability

It is a rule of our Regulator that we must obtain financial information from clients before we can make any recommendation or use discretion. This information is confidential and will not be passed to any other company for marketing purposes.

Do the Directors have any relevant qualifications for the anticipated business?

Directors Knowledge of Our Services

The most experienced Director should fill this section out. Please describe your occupation and any relevant professional experience and qualifications (e.g. Lawyer, accountant, CFA, CPA etc)

Any Relevant Qualifications

Is your experience of Investing in Shares?

☐ Longer than 5 years ☐ less than 5 years ☐ none

Please tick the appropriate box for your knowledge of the investment.

Investment	Very Good	Good	Limited	None
Equities FTSE 100 (the largest 100 UK companies)	tick	tick	tick	tick
Equities FTSE 250 (the next 250 largest companies)	tick	tick	tick	tick
Equities Outside the FTSE 350 (Smaller companies on the	tick	tick	tick	tick
London Stock Exchange				
Equities AIM or PLUS Markets (markets for smaller emerging companies)	tick	tick	tick	tick
Unquoted investments	tick	tick	tick	tick
Bonds (Government or Companies interest yielding instruments)	tick	tick	tick	tick

Warrants	tick	tick	tick	tick
Options	tick	tick	tick	tick

Attitude to and Capacity for Loss

Please see our Explanation of Risk, Services Description and Charges Booklet

Inflation is a concern to most investors and many investors wish to increase their investments capital value above inflation. This objective requires a degree or risk. Which statement best describes your attitude?

We want to preserve the nominal value of investments and recognise that the value may not keep up with inflation, reducing my purchasing power. ☐

We want to the value of investments to keep up with inflation and recognise that there will be some risk to capital. ☐

We want the value of investments to grow faster than inflation and recognise that this will entail risk to capital. ☐

If an investment the company owned were to suffer a sharp fall in value would you?

Be very concerned as you are averse to losses ☐

Sell immediately, in part or in full ☐

Accept volatility as a normal part of investing and hold until it recovers ☐

See such volatility as an investment opportunity ☐

What proportion of your total assets does your investment with Hedley & Co represent?

Less than 25% ☐

Less than 33% ☐

Less than 50% ☐

Over 50% ☐

	Yes	No
Are you comfortable with the high risk and illiquid nature of some shares?	☐	☐
Are you relying on your investment a source of income?	☐	☐
Are you comfortably able to meet your financial commitments even if your investment with Hedley & Co was to be written off in its entirety?	☐	☐

If the answers to these questions are inconsistent with your chosen risk profile, your Hedley & Co executive will discuss this with you before opening the account.

10 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 understand the full agreement before signing.

To Hedley &Company Stockbrokers Limited

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

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. We confirm acceptance of the agreement.

Signed		**Signed**	
Print Name	**Director**	**Print Name**	**Director**
Date		**Date**	

We advise you to retain a copy of this form. Would you like Hedley to send you a copy?

☐ Yes ☐ No

Copy sent ________________date signed____________________ **For**

Office Use Only

Verification of Identity Checklist - Individual Directors and Beneficial Owners Identity A or B and C need completing for each.

A) Face-to-face business - verification

One box needs completing

Where possible, the account executive should photocopy the evidence used to verify the applicant's name and certify that it is a true copy of the original document. In circumstances where this is not practicable, the account executive must sight the document and record the unique reference (i.e. the passport or driving license number) on the checklist.

Name		
Documentation	Unique reference e.g. 9 digit passport number (if no copy)	Certified Photocopy
Current signed passport		Tick
UK photo-card driving licence		Tick
National Identity Card		Tick
Shotgun or firearm certificate		Tick

B) Non face-to-face business - verification

One box needs completing

A photocopy of one of the following documents should be provided by the applicant to evidence his/her name. This document must be certified by a "responsible person" who must state that it is a true copy of an original document. Hedley & Co would consider a "responsible person" to be a solicitor, accountant, doctor, a director of a financial services business, a notary public, a member of the clergy or judiciary, a senior civil servant or a police officer etc. The certifier should print his/her name and position on the document.

Name	
Documentation	Certified
Current signed passport	Tick
Photo-card driving licence (address or date of birth on)	Tick
National Identity Card	Tick

C) Verification of address

One box needs completing

A photocopy of one of the following documents should be provided by the applicant to evidence his/her name. This document must be certified by a “responsible person” who must state that it is a true copy of an original document. Hedley & Co would consider a “responsible person” to be a solicitor, accountant, doctor, a director of a financial services business, a notary public, a member of the clergy or judiciary, a senior civil servant or a police officer etc. The certifier should print his/her name and position on the document.

Address	
Evidence of Address	Certified
Utility bill/statement (mobile phone bills not acceptable)	Tick
Bank, credit card or mortgage statement	Tick
Council tax bill	Tick
Driving licence (only if not used to verify name)	Tick
EEA member state ID card (only if not used to verify name)	Tick
Local council rent card or tenancy agreement	Tick

Signed ____ adviser/investment manager

Date____________

Approved _____________________________________ director

Date___________