



Fox-Davies

FOX-DAVIES CAPITAL LIMITED PRIVATE CUSTOMER INFORMATION FORM

Please read this Application Form carefully. This Application Form, together with our Terms of Business and Schedule of Charges, will constitute a legal agreement between you and Fox-Davies Capital Limited. If you are unsure about how to complete any section of this form, please contact us.

PLEASE USE BLOCK CAPITALS TO COMPLETE THIS FORM

APPLICANT 1

Title First Name Surname

Permanent Residential Address

Address 1

Address 2

Address 3

Post Code

Country

Date of Birth

Nationalities (all) Place of Birth

Daytime Tel No. Mobile Tel No.

Email Address Occupation

Confirm:

SERVICE LEVEL

Execution-only Dealing

Confirm:

ACCOUNT TYPES

Stockbroking Account

PLEASE USE BLOCK CAPITALS TO COMPLETE THIS FORM

APPLICANT 2

For a joint account, please complete the following for the joint applicant:

Title		First Name		Surname	
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Permanent Residential Address

Address 1

Address 2

Address 3

Post Code

Country

Date of Birth

Nationalities (all)		Place of Birth	
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Daytime Tel No.		Mobile Tel No.	
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Email Address		Occupation	
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Please provide bank details of the account to be used for settlement of your account. We can only accept payments in the name of the account holder.

BANK DETAILS FOR PAYMENT REQUESTS*

Name of Bank

Bank Address

Account Name**

U.K Account

Account Number

Sort Code

OR

Non-U.K. Account

Account Number

IBAN

SWIFT

ACH Routing
Number (US only)

* These instructions are for you, the client, in the event that you wish Fox-Davies Capital Limited to remit funds to you.

** Must be in the name of the applicant(s).

FINANCIAL DETAILS

Gross Annual Income

Quoted Equity / Bond Investments

Cash / Savings

For approximately how long have you work/ dealt in the stockmarket?

years

What is the usual size and frequency of dealing?

Usual Size

Frequency

trades per month

What is the primary source of funds for the account? (Employment income, inheritance, capital gains, etc.)

COUNTRY OF RESIDENCE FOR TAX PURPOSES

Please indicate all countries in which you are resident for the purpose of that country's income tax and the relevant national tax identification number.

COUNTRY

NATIONAL IDENTIFIER

If you are a U.K. resident or citizen (including non-resident), please provide your National Insurance Number. For all other countries please refer to Appendix B. If you are a US citizen or resident in the US for tax purposes, you must complete and return IRS Form W-9 and include any additional residencies in the table above.

POLITICALLY EXPOSED PERSONS

Are you a Politically Exposed Person (someone who has been entrusted with a prominent public function)?

YES

NO

If yes, please provide further details

Are you a Relative (including a spouse, partner, children and their spouses or partners and parents) or Close Associate (including any individual who is known to have joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations) of a Politically Exposed person?

YES

NO

If yes, please provide further details

IDENTITY VERIFICATION

We are required by law to confirm your identity, address and source of funds. By submitting this application, you authorise us to make searches about you at credit reference agencies who will supply us with information, including information from the Electoral Register, for the purpose of verifying your identity.

Please provide the physical forms of identification for the applicant(s) as outlined in Appendix A – Identity Verification

You may undertake a search with Experian (or other equivalent agencies) for the purpose of verifying my identity. To do so Experian (or other equivalent agencies) may check the details I supply against any particulars on any database (public or otherwise) to which they have access. They may also use my details in the future to assist other companies for verification purposes. A record of the search will be retained.

We reserve the right to make any additional enquiries considered necessary to confirm each applicant's identity.

I/we confirm

CUSTODIAN AUTHORISATION

I authorise Jarvis Investment Management Ltd (Jarvis) as custodian for Fox-Davies Capital Ltd :

- To hold my cash subscription, investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash.
- To make on my behalf any claims to relief from tax in respect of investments

I confirm that the information given is correct to the best of my knowledge and authorise Jarvis to make any credit reference and enquiries in connection with this application. I have read, understood, and agree to be bound by the Terms and Conditions of the service and have read, understood, and agree to the Risk Warning Notice.

I/we confirm

DATA PROTECTION

A copy of the firm's Data Protection Policy is enclosed with the Terms of Business and can also be found on our website, www.fox-davies.com. In order to develop and enhance our service to you we would like to be able to inform you of new products and services, including those of other organisations not connected with Fox-Davies Capital Limited, where we consider that they may be of interest or benefit to you. We will never pass your details on to third parties for them to contact you directly. If you consent to this, please indicate your agreement by ticking the "Yes" box below. You may of course withdraw your consent at any time by giving notice in writing to the firm.

I/we agree that you may contact me/us about your other products and services:

EXPRESS CONSENT FOR RECEIVING INFORMATION ELECTRONICALLY

We are required by regulation to obtain your express consent to provide you with information in an electronic, durable medium that is not paper (for example, by email).

If you do not consent to us providing information to you electronically, we will be unable to offer you an account. For the avoidance of doubt, by consenting to receiving information via electronic means, you remain entitled to provide us with specific requests for information via a reasonable alternative form of durable medium.

- I hereby consent to receive information from Fox-Davies Capital Limited via email, PDF document or by any other durable medium that is not paper
- I hereby consent to receive information not personally addressed to me via the websites that you provide me notice of

I/ we accept

CLIENT CLASSIFICATION

Fox-Davies Capital Limited (FDC) has classified you as a Professional Client for all regulated business. Please advise us in the event that you wish to be otherwise re-classified.

I/we agree to my/our classification as a Professional Client:

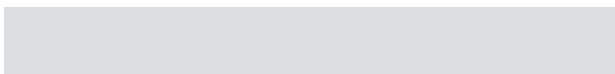
TRANSACTION REPORTING

We confirm that, for any trades we have executed, we will make a transaction report to FCA in accordance with their Rules, or to the relevant authority and that we will include an appropriate client identifier relating to you. Any reports we make to the FCA will be made via an Approved Reporting Mechanism.

DECLARATION

1. I/we undertake to notify Fox-Davies Capital Limited 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.
2. I/we am/are aware that in certain circumstances Fox-Davies Capital Limited may be obliged to share this information with UK tax authorities who may pass it on to other tax authorities.
3. I/we declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete.
4. I/we have read and understood the nature and the risk of the product(s) that I intended to trade in this account.
5. I/we act in my/our name(s) as specified on this application form and not on behalf of another party in respect of all matters related to this account. Accordingly, all funds to be deposited and transacted on the account are my own funds.
6. I/we have received or obtained from Fox-Davies Capital Limited's website (www.fox-davies.com), read and understood the following:
 - a. Terms of Business
 - b. Order Execution Policy
 - c. Data Protection Policy
 - d. Schedule of Charges
 - e. Risk Warning Notice
7. I/we accept and agree to be bound by the terms provided above and consent to such terms and information including future updates to these be provided to me by way of posting on Fox-Davies Capital Limited Website (www.fox-davies.com).
8. I/we confirm that FDC may execute my/our order(s) outside an EU regulated market or multilateral trading facility.
9. I/we confirm that where I/we place a limit order in respect of listed shares, that you are not able to immediately execute under prevailing market conditions you will not, unless instructed to the contrary, publish the order or any part of it.

Signature



Name

Date

APPENDIX A

Identity Verification

We are required by law to confirm your identity, address and source of funds for Anti-Money Laundering purposes prior to account opening. The following documents are acceptable from the below list

ONE of the following certified government-issued identification documents:

- Valid passport
- Photographic Firearms certificate or shotgun license (UK)

AND

ONE from the following original or certified documents for address verification dated within 3 months of the application:

- Original current council tax demand letter, or statement
- Original current bank statement (internet statement not accepted)
- Original utility bill statement - Gas, Water or Electric (internet statements not accepted)
- Valid photo-card driving license (full or provisional with full address) See below table for acceptable certifiers for identification documentation:

If you are a known Client/Person to Fox-Davies Capital Limited, the above identification documentation may be e-certified by video call with Fox-Davies Capital Limited or other method acceptable to Fox-Davies Capital Limited.

Otherwise, see the below table for acceptable certifiers for identification documentation:

Director, Officer or Manager of a regulated financial services business	Local Councillor
Approved Financial Professional	Lawyer
Member of Parliament (MP)	Civil servant (permanent)
Magistrate	Chartered Accountant
	Post Office - PostMaste (UK)

The required wording for certification on each photographic identification must be:

“Certified to be a true likeness and copy of the original seen by me”

The required wording for certification for non-photographic identification must be:

“Certified to be a true copy of the original seen by me”

Accompanying the above wording should clearly state the following details of the certifier:

Name	Address
Date of certification	Contact details
Position held	Official stamp of their office (if possible)
Signature	

All certifications must be dated within 3 months of the application and we cannot accept a certified copy of a copy.

NB: SELF CERTIFICATION IS NOT PERMITTED IN ANY CIRCUMSTANCES

APPENDIX B

National Identifier

We are required to confirm your nationality and National Client Identifier (NCI) to fulfil our obligations as part of the Markets in Financial Instruments Directive (MiFID II). Your NCI will depend on your nationality but for most it's something you already have been issued with. As an example, UK nationals will need to provide their National Insurance Number, but for some nationalities we'll need to confirm your nationality with a state-issued document number. Please refer to the table below to check which documentation and information is needed.

IT IS IMPORTANT THAT YOU PROVIDE THIS INFORMATION. WITHOUT IT, YOU WILL BE UNABLE TO TRADE.

Nationality	National Client Identifier
United Kingdom	UK National Insurance Number
Belgium	Belgian National Number (Numéro de registre national - Rijksregisternummer)
Bulgaria	Bulgarian Personal Number
Croatia	Personal Identification Number (OIB - Osobni identifikacijski broj)
Czech Republic	National Identification Number (Rodné číslo)
Denmark	Personal Identity Code (10 digits alphanumerical: DDMMYYXXXX)
Estonia	Estonian Personal Identification Code (Isikukood)
Finland	Personal Identity Code
Iceland	Personal Identity Code
Italy	Fiscal Code (Codice fiscale)
Latvia	Personal Code (Personas kods)
Lithuania	Personal Code (Asmens kodas)
Malta	National Identification Number
Norway	11 Digit Personal ID (Foedselsnummer)
Poland	National Identification Number (PESEL)
Portugal	Tax Number (Número de Identificação Fiscal)
Romania	National Identification Number (Cod Numeric Personal)
Sweden	Personal Identity Number
Slovenia	Personal Identification Number (EMŠO: Enotna Matična Številka Občana)
Slovakia	Personal Number (Rodné číslo)
Spain	Tax Identification Number (Código de identificación fiscal)
All other countries	National Passport Number