KING & SHAXSON

Account Opening Form for Standard Ethical Portfolios

Please write clearly in BLOCK CAPITALS if possible. Where a choice is provided, please tick your answer. For a joint account, each applicant needs to complete an Account Opening Form. Unless otherwise stated we will assume joint accounts are held in equal proportions between the applicants.

1. Client information

1.1 Personal Details

Title (Mr/Mrs/Miss/Ms)

Surname

First Name(s) (in full)

Previous Name(s)

Tel No Daytime | Mobile

Evening | Fax

Email

Date of Birth D D M M Y Y Y Y | Nationality

National Insurance Number

1.2 Marital Status

Married ☐ Single ☐ Living with partner ☐ Number of dependents

Divorced ☐ Separated ☐ Widowed ☐

1.3 Permanent Residential Address

Street & Number

Town/City

County | Postcode

Time at address Years | Months

If less than 3 years, please give your previous address

Street & Number

Town/City

County | Postcode

1.4 Employment

Self-employed ☐ Employed ☐ Not working at present ☐ Retired ☐

Occupation

Employer's Name

Employer's Address

Street & Number

Town/City

County | Postcode

Time with current employer Years | Months

Have you ever worked in the Financial Industry in a relevant professional role? ☐ Yes ☐ No

If yes, please provide details

King & Shaxson Capital Limited Reg. No. 2863591 and King & Shaxson Limited Reg. No. 869780, members of the London Stock Exchange, and King & Shaxson Asset Management Limited Reg. No. 3870667. The Registered Office for all companies is 6th Floor, Candlewick House, 120 Cannon Street, London, EC4N 6AS. All companies are registered in England and are part of the PhillipCapital Group.

King & Shaxson Capital Limited (FSA Reg. No. 169760), King & Shaxson Limited (FSA Reg. No. 179213), and King & Shaxson Asset Management Limited (FSA Reg. No. 193698) are Authorised and Regulated by the Financial Services Authority, 25 The North Colonnade, Canary Wharf, London E14 5HS.

EQUITIES
BONDS & CASH
ASSET MANAGEMENT
TREASURY SOLUTIONS
KING & SHAXSON

KING & SHAXSON

Are you acting on behalf of another party, e.g. a company or trustee? ☐ Yes ☐ No

If yes, please provide details

1.5 Principal Bankers

Please ensure that all cheques/bank transfers are delivered from the bank account shown on this form

Name

Street & Number

Town/City

County | Postcode

Account No | Sort Code

2. Your investment

Please answer the following questions which relate to your current investment objectives and financial situation. This will ensure that we are able to provide you with advice and product most suitable for your individual circumstances.

2.1 Your financial situation

2.1.1 What is your gross income from all sources? Annual salary £

Other income £

2.1.2 Current top tax rate

2.1.3 Property ownership ☐ Rent ☐ Own my own house ☐ Own several properties

2.1.4 Are you investing your own money? ☐ Yes ☐ No

2.1.5 What would you consider as Risk Capital for Equity £

for Derivatives £

Assets		**Liabilities**	
Principal residence	£	Mortgage(principal residence)	£
Investment properties	£	Other property loans	£
Bank/B.Society accounts	£	Bank loans/overdrafts	£
Shares/Unit trusts	£	Credit cards/HP	£
Other assets (please detail)	£	Other commitments	£
TOTAL (A)	**£**	**TOTAL (B)**	**£**
NET ASSETS (A-B)	**£**		

King & Shaxson Capital Limited Reg. No. 2863591 and King & Shaxson Limited Reg. No. 869780, members of the London Stock Exchange, and King & Shaxson Asset Management Limited Reg. No. 3870667. The Registered Office for all companies is 6th Floor, Candlewick House, 120 Cannon Street, London, EC4N 6AS. All companies are registered in England and are part of the PhillipCapital Group.

King & Shaxson Capital Limited (FSA Reg. No. 169760), King & Shaxson Limited (FSA Reg. No. 179213), and King & Shaxson Asset Management Limited (FSA Reg. No. 193698) are Authorised and Regulated by the Financial Services Authority, 25 The North Colonnade, Canary Wharf, London E14 5HS.

KING & SHAXSON

2.2 Your investment objectives

All Stock Exchange investments carry a degree of risk but some carry greater risks than others.

Each portfolio includes equity, bond, property, and commodity funds plus exchange-traded funds (ETFs). To enhance these holdings each portfolio will also include direct equity and bond holdings.

Please indicate the portfolio you wish to invest in and hence the degree of risk you wish to accept.

☐ **Cautious**
The "Cautious" standard ethical portfolio seeks to provide a high level of capital protection whilst still allowing investors the ability to achieve long-term growth. The portfolio is suitable for risk-averse investors whose financial temperament cannot tolerate much variation in performance.

☐ **Income**
The "Income" standard ethical portfolio seeks to provide both capital appreciation and enhanced income by investing in a diversified portfolio of assets that have a bias towards income generation. The portfolio is suitable for those whose financial situation can tolerate a moderate level of volatility in performance.

☐ **Balanced**
The "Balanced" standard ethical portfolio seeks to provide a balance between capital appreciation by investing in a diversified portfolio of asset classes over the long term. The portfolio is suitable for those whose financial situation can tolerate a moderate level of volatility in performance.

☐ **Growth**
The "Growth" standard ethical portfolio seeks to have a higher bias towards capital appreciation and will adopt a higher risk profile than the balanced portfolio. The portfolio is suitable for those whose financial situation can tolerate a moderate level to high level of volatility in performance.

☐ **Adventurous**
The "Adventurous" standard ethical portfolio seeks to achieve high returns. Investors must be prepared to accept a higher level of risk and volatility in the expectations of higher than average returns over the long term.

2.3 Reporting

Access to your portfolio and the underlying transactions is provided through an internet portal. You will also receive separate valuation statements. Capital Gains Tax Statements or Consolidated Tax Vouchers can be provided to you. These additional reports are charged at their cost to us. Please refer to our rate card for these charges.

☐ **Capital Gains Tax Statement**

☐ **Consolidated Tax Voucher**

3. Restrictions on investments

Unless indicated below, we shall assume that there are NO restrictions on the type of transaction we may recommend to or enter into with you or the markets upon which transactions may be affected.

Investment restrictions (please continue on a separate sheet if necessary)

King & Shaxson Capital Limited Reg. No. 2863591 and King & Shaxson Limited Reg. No. 869780, members of the London Stock Exchange, and King & Shaxson Asset Management Limited Reg. No. 3870667. The Registered Office for all companies is 6th Floor, Candlewick House, 120 Cannon Street, London, EC4N 6AS. All companies are registered in England and are part of the PhillipCapital Group.

King & Shaxson Capital Limited (FSA Reg. No. 169760), King & Shaxson Limited (FSA Reg. No. 179213), and King & Shaxson Asset Management Limited (FSA Reg. No. 193698) are Authorised and Regulated by the Financial Services Authority, 25 The North Colonnade, Canary Wharf, London E14 5HS.

EQUITIES
BONDS & CASH
ASSET MANAGEMENT
TREASURY SOLUTIONS
KING & SHAXSON

KING & SHAXSON

4. Assets to be managed

Assets to be managed by King & Shaxson Capital Limited

Please supply us with full details of each asset to be included within your King & Shaxson Capital Limited portfolio, quoting the fund, ISA, PEP, pension or offshore bond plan managers and account or plan numbers

Asset type	**Name of Fund Manager or Investment Company**	**Self** Account or Plan Number	**Spouse** Account or Plan Number
Investment Portfolio(s)			
Pension(s) (SIPP, SSAS)			
ISAs			
Shares			
Cash Investments			
Trusts			
Total			

NB. If you require more space please use the 'further information section' at the end of this agreement, to list any further assets to be managed by King & Shaxson Capital Limited.

5. Communication

Which is your preferred method of communication? Post ☐ Email ☐

How frequently would you like valuations? Quarterly ☐ Semi-annually ☐

If applicable, who is your appointed adviser?

Adviser Full Name

Email address

Firm

Address

Postcode

FSA Reference No.

Do you wish your adviser to receive contract notes? Yes ☐ No ☐

Do you wish to receive contract notes yourself? Yes ☐ No ☐

Do you wish to receive all other correspondence from King & Shaxson Capital Limited?

Yes, send all correspondence to me, with copies to my adviser ☐

Yes, send all correspondence to me only ☐

No, send all correspondence to my adviser only ☐

6. Income

Do you wish to receive any income from your investments?
(If you select no all dividends and income will be accumulated) Yes ☐ No ☐

If yes,
would you like to receive all dividend and bond income once all fees are paid? ☐
(please note this option is only appropriate for clients for whom a varying income distribution is acceptable)
or
how much would you like to receive as a regular fixed amount? £

How often would you like to receive any income?

Monthly ☐ Quarterly ☐ Semi-annually ☐ Annually ☐

When would you like to start receiving income? M M Y Y Y Y

King & Shaxson Capital Limited Reg. No. 2863591 and King & Shaxson Limited Reg. No. 869780, members of the London Stock Exchange, and King & Shaxson Asset Management Limited Reg. No. 3870667. The Registered Office for all companies is 6th Floor, Candlewick House, 120 Cannon Street, London, EC4N 6AS. All companies are registered in England and are part of the PhillipCapital Group.

King & Shaxson Capital Limited (FSA Reg. No. 169760), King & Shaxson Limited (FSA Reg. No. 179213), and King & Shaxson Asset Management Limited (FSA Reg. No. 193698) are Authorised and Regulated by the Financial Services Authority, 25 The North Colonnade, Canary Wharf, London E14 5HS.

EQUITIES
BONDS & CASH
ASSET MANAGEMENT
TREASURY SOLUTIONS
KING & SHAXSON

KING & SHAXSON

7. Declarations and signature of the client

By signing this document I declare and confirm the following:

- I confirm that all the details given in this form are correct, and I will inform you immediately of any changes to the details contained herein
- I confirm that I have read and understood the Risk Warnings in the application pack
- **I agree to be bound by the Agreement and conditions enclosed with this form and any provisions included in this form. I have received the Terms of Business of King & Shaxson Capital Limited as set out in the annexed agreement, and agree to such terms. I agree to my investments (as listed above, including those on any continuation sheets attached to this agreement) being registered as set out under the heading 'Custody'.**
- By opening this account and signing below, the account owner represents and warrants that he/she/it is not a U.S. person for the purposes of U.S. Federal income tax and that he/she/it is not acting for, or on behalf or, 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. This form and the information set out in it will constitute part of the agreement between the Client and King & Shaxson Capital Limited. This form constitutes the Client's offer to King & Shaxson Capital Limited to receive the services provided by King & Shaxson Capital Limited. King & Shaxson Capital Limited will confirm acceptance of the offer when the Company's account opening procedures have been completed.

Signature	**Date**

Marketing

We would like to inform you about new products and services offered by ourselves and associated companies. Please tell us if you do not wish to receive such information from us or any of our associates.

☐ I do not want to receive information

Data Protection

We may exchange information held about you with licensed credit reference agencies or other organisations that help us and others make credit decisions and reduce the incidence of fraud or in the course of carrying out identity, fraud prevention or credit control checks.

I/We authorise King & Shaxson Capital Limited to use the information it holds about me/us in accordance with the Client Agreement.

King & Shaxson Capital Limited Reg. No. 2863591 and King & Shaxson Limited Reg. No. 869780, members of the London Stock Exchange, and King & Shaxson Asset Management Limited Reg. No. 3870667. The Registered Office for all companies is 6th Floor, Candlewick House, 120 Cannon Street, London, EC4N 6AS. All companies are registered in England and are part of the PhillipCapital Group.

King & Shaxson Capital Limited (FSA Reg. No. 169760), King & Shaxson Limited (FSA Reg. No. 179213), and King & Shaxson Asset Management Limited (FSA Reg. No. 193698) are Authorised and Regulated by the Financial Services Authority, 25 The North Colonnade, Canary Wharf, London E14 5HS.

EQUITIES
BONDS & CASH
ASSET MANAGEMENT
TREASURY SOLUTIONS
KING & SHAXSON

KING & SHAXSON

8. Adviser section

If applicable, please indicate how you would prefer to receive contract notes
Email ☐ Post ☐

I/we confirm that:

- the appropriate Know Your Customer information has been obtained from and advice given to the Applicant;
- this investment is suitable for the Applicant's circumstances;
- client identification has been obtained in order to comply with the Money Laundering Regulations, and
- certified copies will be forwarded to King & Shaxson Capital Limited with this Agreement.

Signed by Adviser	**Date**

What rate of initial charge is to be paid to you as appointed adviser?

£ OR % of the initial portfolio value

What rate of annual service charge is to be paid to you as appointed adviser?

£ OR %

9. Further information

King & Shaxson Capital Limited Reg. No. 2863591 and King & Shaxson Limited Reg. No. 869780, members of the London Stock Exchange, and King & Shaxson Asset Management Limited Reg. No. 3870667. The Registered Office for all companies is 6th Floor, Candlewick House, 120 Cannon Street, London, EC4N 6AS. All companies are registered in England and are part of the PhillipCapital Group.

King & Shaxson Capital Limited (FSA Reg. No. 169760), King & Shaxson Limited (FSA Reg. No. 179213), and King & Shaxson Asset Management Limited (FSA Reg. No. 193698) are Authorised and Regulated by the Financial Services Authority, 25 The North Colonnade, Canary Wharf, London E14 5HS.

EQUITIES
BONDS & CASH
ASSET MANAGEMENT
TREASURY SOLUTIONS
KING & SHAXSON