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Corporate Account Opening Form

COMPANY INFORMATION

Company name

Company registration number

Country of incorporation

Legal Entity Identifier (LEI) number
We require this in order to trade

Registered address

Postcode

Postal address (if different)

Postcode

Beneficial owner(s) name(s)

Email address

Telephone number

Fax

Entity type: (please tick all that apply)

- ☐ PLC
- ☐ Hedge Fund
- ☐ Broker/Dealer
- ☐ LTD
- ☐ Pension Fund
- ☐ Insurance Company
- ☐ LLP
- ☐ Asset Management
- ☐ Private Investor
- ☐ Partnership
- ☐ Bank
- ☐ Institutional Investor
- ☐ Trust
- ☐ Other

Business description

Directors

Primary source of income

Annual revenue

Total value of investments

How many years has your company dealt in investment products?

In what instruments

Compliance officer name

Compliance officer number

Name of regulator

PRIMARY CONTACT

Title **Surname**

Forenames

Date of birth

Town/City of birth

Country of birth

Nationality

National Client Identifier (See page 4)

National Client Identifier Document (e.g. Passport. See page 4)

National Insurance Number

Residential address

Postcode

PRIMARY CONTACT DETAILS

Phone (office hours)

Phone (out of hours)

Mobile

E-mail

STRATEGY & RISK PROFILE

What Products would you like to trade?

- ☐ Equities
- ☐ Fixed Income/Bonds
- ☐ CFDs
- ☐ Other (please specify)

What is your current investment objective?

- ☐ Capital Growth
- ☐ Capital Growth & Income
- ☐ Dividend Income

Please indicate any investment restrictions (if any) you wish us to consider when advising you

In order for Shard Capital Partners to provide you with suitable advice it is important we understand your attitude to risk. Please indicate areas you are interested in receiving advice

- ☐ FTSE 100 (Low Risk)
- ☐ FTSE 350 (Medium Risk)
- ☐ Small Cap & AIM (High Risk)
- ☐ ISDX Market (High Risk)
- ☐ CFDs (Very High Risk)

What is your expected trade size?

- ☐ Under £500
- ☐ £5001 - £10,000
- ☐ £10,001 - £25,000
- ☐ £25,001 - £50,000
- ☐ Over £50,000

Risk Capital to invest in Equities

£

Risk Capital to invest in CFDs

£

DECLARATIONS

By Signing

1. You agree that the information we hold about you can be held on computer and/or paper files.
2. You agree that the information provided may only be disclosed to necessary service providers (e.g credit reference agencies and product providers) for the purpose of processing your application.
3. You agree that we may use the information that we hold about you to contact you from time to time by post, email or telephone to bring to your attention to additional products/services which may be of benefit to you.
4. We agree that any consent given by you under paragraph 3 (above) may be withdrawn by you at any time by contacting us in writing at the above address.
5. You warrant that the information you have supplied for the purposes of our providing to you services under the Agreement is complete and accurate and you furthermore agree to keep us informed of any changes to this information as we may reasonably request from time to time in order for us to fulfil our regulatory, and/or contractual obligations in each case promptly following such a request. You acknowledge that a failure to provide complete and accurate information may adversely affect our ability to provide services under the Agreement.

I/We acknowledge receipt of the Terms and Conditions of Business and confirm that I/We have read and understood the same and agree to be bound by them.

Director Name

Signature

Date

Client Name

Signature

Date

Please return by mail, fax or email to:

Shard Capital Stockbrokers, 23rd Floor, 20 Fenchurch St, London, EC3M 3BY

fax +44 (0)20 71 86 99 79
email scsb@shardcapital.com

NATIONAL CLIENT 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
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)
United Kingdom	UK National Insurance number
All other countries	**National Passport Number**