Individual Execution Only Account Application

Optiva Securities Limited requires that the form be completed fully, accurately and to the best of your knowledge and understanding. In order to comply with Anti-Money Laundering (AML) Regulations, all documentation requested must be provided before the account may be opened. We require all documents to be certified by a regulated Financial Institution, Notary or Lawyer. Where required, we reserve the right to request additional information and documentation. Terms and conditions will be sent separately.

Prospective Individual Clients (Joint account applicants must each provide requested documentation)	
Please provide the following information and documents, ticking the box to confirm their inclusion.	
A certified true copy of a government issued identity document (passport, driving license, etc)	Tick to confirm [ ]
A certified true copy of proof of address, such as a recent utility bill, bank statement, or credit card statement (from the last 3 months)	Tick to confirm [ ]

1: Personal Details	**First Applicant**	**Second Applicant** (Joint accounts only) (only complete if different from first applicant)
Title (Mr, Mrs, Ms, Miss, Other)		
Surname		
Forename(s)		
Mother's Maiden Name		
Date of Birth		
Nationality		
NI Number (UK Residents only)		
Passport Number		
Town of Birth		
Country of Residence		
Marital Status		
Number of dependants		

2: Account Title (The name in which contract notes should be issued, if different from the above names)	

3: Contact Details	First Applicant		Second Applicant (Joint accounts only)	
Home Telephone		[ ]		[ ]
Business Telephone		[ ]		[ ]
Mobile Telephone		[ ]		[ ]
Email 1		[ ]		[ ]
Email 2		[ ]		[ ]
(Please tick your preferred contact methods in the relevant boxes)				
House Number				
Street				
Town				
City				
Post Code				
At address less than 3 years?	Yes [ ] No [ ] (If Yes please provide details of your previous address)		Yes [ ] No [ ] (If Yes please provide details of your previous address)	
Previous House Number				
Previous Street				
Previous Town				
Previous City				
Previous Post Code				

4: Bank Details	First Applicant	Second Applicant (Joint accounts only)
Name of Bank		
Branch Address		
Name of Account Holder		
Account Number		
Sort Code		

5: Tax Residency	First Applicant		Second Applicant (Joint accounts only)	
Country of Tax Residency				
Tax Identification Number (TIN)				
Additional Country of Tax Residency (if applicable)				
Additional Tax Identification Number (TIN) (if applicable)				
Are you a US Citizen, US Resident, or US Green Card Holder?	Yes [ ]	No [ ]	Yes [ ]	No [ ]
The IRS defines a US Citizen as an individual born in the United States, the US Virgin Islands, Puerto Rico or Guam, an individual whose parent is a US Citizen or a former alien who has been naturalised as a US Citizen. For further information please visit: https://www.irs.gov/individuals/international-taxpayers/foreign-persons				

6: Employment Details	First Applicant		Second Applicant (Joint accounts only)	
Employer/Business Name				
Building Name/Number				
Street				
City				
Post Code				
Length of time in Business				
Nature of Business				
Position				
Employment Status	Employed (Full-time)	[ ]	Employed (Full-time)	[ ]
(tick as appropriate)	Employed (Part-time)	[ ]	Employed (Part-time)	[ ]
	Self-Employed	[ ]	Self-Employed	[ ]
	Retired	[ ]	Retired	[ ]
	Full Time Education	[ ]	Full Time Education	[ ]
	Unemployed	[ ]	Unemployed	[ ]

7: Professional Client Status

Please indicate whether you wish to be treated by us as a professional client in respect to all our services. Note that if you tick the box 'Yes' and you are not a 'per se professional client' (as defined in the FCA Rules) we shall send you a separate letter providing a warning of the protections and investor compensation rights which you may lose. We shall require your additional written agreement to this warning. Be advised that professional client status is ultimately the decision of Optiva, and we have the right to categorise you as a retail client should we feel that you lack the required expertise, experience and/or knowledge.

Do you wish to be treated as a professional client?	Yes [ ]	No [ ]

Under the Markets in Financial Instruments Directive, we may treat you as an elective professional client if, after our assessment of your expertise, experience, and knowledge, we are reasonably assured that, in light of the nature of the transactions or services envisaged, you are capable of making your own investment decisions and understanding the risks involved. In making our assessment we may rely on information we already possess about you and/or request additional information from you and/or call you to discuss your investment experience. **Please confirm which of the following statements apply to you:**

You have carried out transactions, in significant size, on the relevant market at an average frequency of 10 per quarter over the previous 4 quarters.	Yes [ ]	No [ ]
The size of your financial instrument portfolio, defined as including cash deposits AND financial instruments, exceeds EUR 500,000.	Yes [ ]	No [ ]
You work or have worked in the financial sector for at least one year in a professional position, which requires knowledge of the transaction or services envisaged.	Yes [ ]	No [ ]

8: Political Exposure

Politically Exposed Persons are individuals who are, or have been at any point in the preceding year, entrusted with prominent public functions. This includes Heads of States of Governments, senior politicians, senior government or judicial officials, senior military officers, senior executives of state-owned corporations, important political party officials, etc. Additionally, a Politically Exposed Person includes immediate family members, such as spouses, children, parents and other relatives, as well as close associates such as advisors, secretaries and other associates of a Politically Exposed Person.

Are you/either of you a Politically Exposed Person (PEP)	Yes [ ]	No [ ]

9: Source of Funds

Please tick all boxes which describe how your wealth is/was generated, and provide any relevant information to substantiate this. Providing insufficient detail may delay or prevent account opening.

Employment (current or previous, details)	[ ]
Inheritance (from whom, when received, approximate value, how created)	[ ]
Savings and Investments	[ ]
Sale of Property/Business (name of Business, address, approximate value, when)	[ ]
Other	[ ]

Please use this space to provide details regarding the above questions. (documentary evidence may be required)

10: Current Financial Position

First Applicant Annual Gross Income

£0 to £50,000	£50,001 to £100,000	£100,001 to £150,000	£150,001 to £250,000	£250,001 plus
[ ]	[ ]	[ ]	[ ]	[ ]

Second Applicant Annual Gross Income (Joint accounts only)

£0 to £50,000	£50,001 to £100,000	£100,001 to £150,000	£150,001 to £250,000	£250,001 plus
[ ]	[ ]	[ ]	[ ]	[ ]

First Applicant Estimated Net Worth (Excluding home)

£0 to £50,000	£50,001 to £100,000	£100,001 to £250,000	£250,001 to £1,000,000	£1,000,001 plus
[ ]	[ ]	[ ]	[ ]	[ ]

Second Applicant Estimated Net Worth (Excluding home) (Joint accounts only)

£0 to £50,000	£50,001 to £100,000	£100,001 to £250,000	£250,001 to £1,000,000	£1,000,001 plus
[ ]	[ ]	[ ]	[ ]	[ ]

11: Investment Objectives

Initial Investment Amount (For individual or joint account) (£)	

12: Payment Preferences

How do you wish to receive account withdrawals and/ or investment proceeds?	**By BACS** (BACS is an electronic transfer of payment directly into your bank account. Payment is made within 3 working days, and is free for Sterling denominated transactions)	[ ]	**By CHAPS** (I/We wish to receive payment by CHAPS. CHAPS payments have guaranteed same day arrival. Please see Rate Card for cost details)	[ ]

By default, income received from your investments will accumulate in your account with Optiva. If you require an alternate arrangement, please contact your account manager.

13: Mandate Authorising a Third Party to Give Instructions (Optional)

At your discretion, you can authorise a third party to give us dealing instructions. They will not have authority to transfer assets to third parties or to make payments from your account other than to yourself.

We authorise the following to give instructions relating to investments on the account:

Name of Third Party	
Relationship to the Individual	
Third Party Address	

14: Your Responsibilities	
Your responsibility to check your trades (Applicable to ALL clients): For all trades executed you will receive a contract note. You can also view the details of all your transactions via your online portfolio. It is your responsibility to ensure that these details are correct. If you do identify an error then you must notify your investment advisor immediately.	
Valuations and online access (Applicable to ALL clients): We would advise that you check your account via your online portfolio regularly and at least once a day following any trading activity to review trades executed, valuation of open positions, margin usage and general portfolio composition. It is your responsibility to monitor and address any issues that you might find. On request we will be able to send you an up to date account valuation or statement of your account at a charge in accordance with our published rates.	
Selling shares (Applicable to ALL clients): If you give Optiva an order to sell shares, it is your responsibility to ensure that the shares in question are on your account . Please consult the Optiva team if in any doubt as to whether the stock has been delivered. If you are holding a certificate, we will not accept an order to sell until the certificate has been deposited to your account.	
Can you confirm that you have understood your responsibilities and agree to them?	Yes [ ] No [ ]

15: Declarations	
I hereby certify that I am 18 years of age or over. All subscriptions made, and to be made, belong to me.	Tick to confirm [ ]
I understand that in accordance with the EC Money Laundering Directive Optiva is required to verify my identity. I accept that Optiva will carry out an electronic check where possible to verify my identity as the account holder(s). I understand and accept that if Optiva is unable to verify my identity through an electronic search, they will ask me to provide additional documents to verify my identity.	Tick to confirm [ ]
I understand that Optiva will rely on the information provided in opening this account and represent that the information is correct and complete. I agree to notify you promptly of any material change to my circumstances as this may otherwise affect the suitability of Optiva's investment decisions or recommendations.	Tick to confirm [ ]
I understand that, for my own benefit and protection I should read Optiva's Terms of Business carefully before signing this application form including, but not limited to, the risk warnings and disclosures, the order execution policy and the commission and charges. I understand that I will be bound by these Terms of Business and if I do not understand any point then I should ask for further information before signing and returning this application form.	Tick to confirm [ ]
I have not subscribed and will not subscribe, more than the overall subscription limit in total to any combination of permitted ISAs in the same tax year, particularly I have not subscribed, and will not subscribe, to another Stocks and Shares ISA in the same year that I subscribe to this Stocks and Shares ISA. I declare that this ISA application form has been signed in accordance with the ISA regulations which require direct confirmation by the ISA subscriber that they wish to open an ISA account.	Tick to confirm [ ]
I hereby authorise Jarvis Investment Management as ISA Manager, to hold my cash subscription, ISA Investments, interest, dividends and any other rights or proceeds in respect of these investments and any other cash, to make on my behalf any claims to relief from tax in respect of ISA Investments, and on my written request, to transfer or pay to me, as the case may be, ISA Investments, interest, dividends, rights or other proceeds in respect of such investments or any cash.	Tick to confirm [ ]
I confirm that I have received the associated Terms and Conditions for this Application. Moreover, I confirm my acceptance of these terms, and acknowledge that this agreement shall be undertaken in accordance with said terms. This confirmation, combined with the below signature, is sufficient in lieu of signing the Terms and Conditions document.	Tick to confirm [ ]
By ticking here, I explicitly consent to allowing Optiva Securities to collect and process my data under the terms described in the Terms and Conditions document, and in accordance with GDPR .	Tick to confirm [ ]

Signed....................................... Date...........................	Signed....................................... Date...........................
First Applicant Name	Second Applicant Name (Joint accounts only) ....