

# Supplementary Applicant Form

# ARJENT

Thank you for choosing Arjent for your investment needs.

Please complete all sections as regrettably we are unable to accept incomplete applications. If a section is not applicable, please enter 'N/A'. If you require any assistance in completing any part of this form, please contact us on **020 7965 0650** between 9am to 5pm, Monday to Friday.

Please print clearly in **BLOCK** capitals

## 1. ACCOUNT NAME

Please enter the Account Name which should be as shown on page 1 of the Client Application Pack.

Account Name

## 2. APPLICANT

### PERSONAL INFORMATION

Title (Mr, Mrs, Miss, Other)

First name

Middle name(s)

Last name

Date of birth

National Insurance number

Passport number

Nationality

Are you a UK tax resident? Yes  No  (Please tick ONE box)

If 'No' please provide Tax ID Number and country of residence

Tax ID number

Country of residence

Permanent residential address

Postcode

Country of residence

Home telephone number\*

Mobile telephone number\*

Work telephone number\*

\*Including international/area dialling code

Email address

If you would like to nominate a third party to receive copy contract notes, please provide contact details below. If there is another third party you would like copy contract notes sent to, please contact us on 020 7965 0650 between 9am to 5pm, Monday to Friday, or fill out the details in Section 12 'Other Information'.

Name of contact

Company name

Address

Postcode

Telephone number

## KNOWLEDGE AND EXPERIENCE

In order to provide you with appropriate advice, we need to understand your knowledge and experience of investments. Please indicate your previous experience of the following types of investments (please tick one for each line). Further information about each type of investment is included in the notes at the end of this form.

	none	1 year or less	2-5 years	6-9 years	10 years+
Large sized UK quoted company equities	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Medium sized UK quoted company equities	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Small sized UK quoted company equities	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
International securities	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Gilts	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Corporate bonds	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Unit trusts/OEICs	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Investment trusts	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Contracts for difference	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Spreadbetting	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Alternative Investments  
(please provide details)

Have you ever dealt with investments  
in a professional capacity?

Yes

No

(Please tick ONE box)

If 'YES', please provide relevant experience and investment qualifications. If none, please state 'none'.

## FINANCIAL DETAILS (not applicable for corporate or trust clients)

Occupation

Value of savings

Value of investments

Value of other assets  
(including property)

Total annual commitments  
(e.g. school fees etc.)

Outstanding liabilities  
(not including mortgage repayment)

Known future commitments  
(e.g. mortgage repayment etc.)

Please indicate the value of assets  
being transferred to Arjent

Annual income

Please indicate your marginal rate of tax by ticking ONE of the boxes below.

Non-UK taxpayer

Basic rate taxpayer

Higher rate taxpayer (40%)

Higher rate taxpayer (50%)

## REGULATORY REQUIREMENTS

The Anti-Money Laundering Regulations require all financial institutions to verify the identity of their clients. As a result we require you to provide certain documents as shown in the lists below. Please indicate which items you are submitting by ticking ONE of the boxes in each list.

### One item from the following (photo ID).

- Current EEA/UK/other photo driving licence
- Current EEA/UK/other passport
- State issued Identity Card

### PLUS one item from the following (address ID).

- Bank/mortgage statement from a recognised UK/EEA bank (no more than 3 months old)
- Valid non-photo UK driving licence
- Council tax letter/statement from last 3 months
- Credit card statement from last 3 months
- Utility bill (not mobile phone) from last 3 months
- HMRC tax notification (e.g. P45, P60 or self-assessment forms)

### In order to comply with this requirement, you can either:

1. Present the documents at any Arjent branch office.
2. Send certified copies of the documents to Arjent.

**Note:** Copies must be certified by a regulated professional (e.g. lawyer or accountant).

## 3. DECLARATION

I certify that the above information is true and accurate and that I have received and read the Arjent Terms and Conditions and Arjent Rate Cards. I also confirm that I have reviewed the completed Client Application Pack including all Supplementary Account Opening Forms (if applicable) which this Supplementary Applicant Form relates to.

I will inform Arjent of any changes to the information provided or to my personal circumstances that may affect the provision of services by Arjent to me.

We may contact you with details of other relevant products, services and investment seminars, which we believe will be of interest to you. If you would like to receive such information, please tick this box

We may email you with our weekly and monthly comments, and details of other relevant products, services and investment seminars, which we believe will be of interest to you. If you would like to receive such emails, please tick this box

Supplementary applicant signature	<input type="text"/>
Date	<input type="text"/>
Print name	<input type="text"/>

### FOR OFFICE USE ONLY

Account executive code	<input type="text"/>
Client code	<input type="text"/>
Set-up date	<input type="text"/>
Main account number	<input type="text"/>
Checked by	<input type="text"/>

## 1. TYPES OF INVESTMENT

We can advise on a range of different investment types including:

- 1.1 **Low risk investments** – these can include cash and cash equivalents, gilts and higher rated\* corporate debt, and may include certain larger UK quoted company equities.
- 1.2 **Medium risk investments** – as above, but can also include medium sized UK quoted company equities, large/medium sized overseas company equities and medium rated\* corporate debt.
- 1.3 **High risk investments** – as above, but can also include smaller UK quoted company equities (including AIM), smaller sized overseas company equities, lower rated\* corporate debt, derivatives, warrants, illiquid, unlisted and alternative investments.

\*Please note, credit rating agencies Moody's, Fitch and Standard and Poor's are responsible for applying credit ratings to corporate debt. These ratings reflect those agencies views of the investment quality of those bonds.

## 2. TYPES OF ACCOUNT

We offer two types of accounts:

- 2.1 **Investment account** – this is an account which can be used to buy, sell and hold all types of investments which we offer. Depending on your tax status you may be required to pay tax on any gains and income received on investments held in these accounts.
- 2.2 **Stocks and shares individual savings account (ISA)** – this is a tax-efficient savings account where individual residents in the UK can invest up to the yearly ISA allowance in eligible investments. Further information about the tax benefits of this type of account is provided on our website – [www.arjent.co.uk](http://www.arjent.co.uk). If you select an ISA account please remember to complete the Stocks and Shares ISA Application Pack and read the ISA Supplementary Terms and Conditions.

## 3. TYPES OF SERVICE

We offer three types of service:

- 3.1 **Advisory dealing** – with this type of service we provide advice on specific investments but you retain responsibility for managing your portfolio. This means we are not responsible for providing you with ongoing information and advice about any of the investments we recommend to you, although we may choose to do so. Typically this type of account is appropriate for those clients who have experience and knowledge about the markets they are investing in.
- 3.2 **Execution only** – with this type of service we do not provide advice on specific investments and you retain responsibility for managing your portfolio. Our role is simply to execute orders you give us, although we can provide market information on investments before executing your orders. Typically this type of account is appropriate for those clients who have experience and knowledge about the markets they are investing in and wish to retain full responsibility for investment decisions

- 3.3 **Managed** – with this type of service we provide you with not only advice about specific investments but also the construction of your portfolio and ongoing information and advice. Alternatively we can manage your portfolio on a discretionary basis where we make the investment decisions without reference to you. We also provide you with valuations on a regular basis and tax pack each year to help you in completing your tax returns.

## 4. TYPES OF RISK APPETITE

We need to assess your appetite to risk.

For Advisory Dealing clients, only, the following rules apply:

- 4.1 **Low risks** – if your appetite to risk is low, we will only advise you on low risk investments (see section 1 for investment types). These are typically very liquid (i.e. easy to buy and sell) and less volatile investments (i.e. in terms of price movements). By selecting low risk, we will assume you are looking for capital preservation with the focus on income and that you are only prepared to accept a low probability that the value of your investment could fall.
- 4.2 **Medium risk** – if your appetite to risk is medium we will only advise you on medium and low risk investments (see section 1 for investments types). By selecting medium risk as your appetite to risk, we assume that you are looking for a combination of income and capital growth and are prepared to accept some risk that the value of your investments could fall.
- 4.3 **High risk** – if your appetite to risk is high, we will advise you on all types of investments including those that are medium and low risk (see section 1 for investment types). By selecting high risk as your appetite to risk, we assume you are focusing on capital growth and that you accept there is a strong possibility that you could lose some or all of your capital.

For Managed Services clients, we measure risk on an overall portfolio basis. Specifically, we measure how far the returns on that asset/portfolio, over a given period, can be expected to deviate from the mean return of that asset/portfolio over the same period.

The Managed Services client portfolio is compared against industry benchmarks to ensure that the risk of that client portfolio is aligned with the client's stated risk objectives.

## 5. TYPES OF INVESTMENT OBJECTIVES

We offer three types of investment objectives for you to choose from:

- 5.1 **Capital growth** – this is designed for those clients who wish us to focus on investments which are likely to grow in value rather than those which provide income in the form of interest and dividends.
- 5.2 **Income** – this is designed for clients seeking income from their investments rather than capital growth.
- 5.3 **Balanced** – this is designed for clients looking for a balance between income and growth.

We can hold your investments within a Pershing nominee account or in your own name.