Client Application Pack (Short 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

This form is intended for a single applicant applying for a single investment account. For multiple applicants and/or accounts, please complete a full Client Application Pack.

1. MAIN CONTACT DETAILS

Please enter the address and postcode of where you would like us to send correspondence (including contract notes etc).

Address

Postcode

Important note:
Communications can be via phone, post and/or email. If you have a preferred method of communication please let us know.

Preferred method of communication

2. APPLICANT INFORMATION

APPLICANT DETAILS

We are required to obtain certain information about all applicants.

PERSONAL INFORMATION

Title (Mr, Mrs, Miss, Other)

First name

Middle name(s)

Last name

Date of birth D D M M Y Y Y Y

National Insurance number

Passport number

Nationality

PERSONAL INFORMATION Continued

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 dialing codes

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.

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 Client Application Pack (Short Form).

	none	1 year or less	2-5 years	6-9 years	10 years+
Large sized UK quoted company equities	☐	☐	☐	☐	☐
Medium sized UK quoted company equities	☐	☐	☐	☐	☐
Small sized UK quoted company equities	☐	☐	☐	☐	☐
International securities	☐	☐	☐	☐	☐
Gilts	☐	☐	☐	☐	☐
Corporate bonds	☐	☐	☐	☐	☐
Unit trusts/OEICs	☐	☐	☐	☐	☐
Investment trusts	☐	☐	☐	☐	☐
Contracts for difference	☐	☐	☐	☐	☐
Spreadbetting	☐	☐	☐	☐	☐

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

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) ☐

* Utility bills / statements printed from the internet cannot be accepted

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. ACCOUNT OPENING FORM

ACCOUNTS

We offer the following types of account:

- Investment Account
- Stocks and Shares Individual Savings Account (ISA)
- Self-Invested Personal Pension Account (SIPP)

In addition, we offer two service level types for each of the above account types:

- Advisory Dealing
- Managed

This should only be used for opening a single investment account. For other types of account, or for more than one account, please complete a full Client Application Pack.

Information about each account type and service is included in the notes at the end of this Client Application Pack (Short Form)

ACCOUNT SERVICE

Please indicate the Account Service you would like for this account (Please tick ONE box only).

Advisory Dealing ☐

Managed ☐

RISK APPETITE AND INVESTMENT OBJECTIVES

In order to provide you with the right advice we need you to let us know what level of risk you are prepared to accept and what your investment objectives are. If you would like assistance with this part of the form please contact us or refer to the notes at the end of this Client Application Pack (Short Form).

Please indicate your appetite to risk and investment objectives for this account (Please tick ONE box in each section only):

Risk appetite

Low risk ☐

Medium risk ☐

High risk ☐

Investment objectives

Capital growth ☐

Income ☐

Balanced return ☐

If you require a certain level of income, please indicate it here: £ ________ (gross per annum)

Time horizon

In order to ensure we recommend suitable investments to you we need to know what time horizon you are investing for. Please indicate your investment time horizon for this account (Please tick ONE box only):

‹ 3 years ☐

3-5 years ☐

5-10 years ☐

Longer ☐

Investment restrictions/specific requirements

Please detail any type of investments or markets on which you do not want us to recommend to you, or execute a transaction on your behalf. In the absence of any restrictions set by you we may recommend to you, or purchase on your behalf, any investment on any market appropriate to your stated risk appetite and investment objectives. Additionally please detail any specific investment requirements. If none, please state 'none'.

4. OUR SERVICES

Investment advice

We will provide advice to you on individual securities across a range of markets, unless you advise us otherwise. For Advisory Dealing accounts, we will not be responsible for monitoring the performance of your investments. If, however, you would like us to monitor the performance of your investments, please select a Managed account.

Nominee service

The nominee service is a facility provided by Pershing Securities Limited to look after your investment assets safely and securely. Holdings within the nominee service are registered in the name of Pershing Nominees Limited, but remain your property at all times. Any cash pending investment (including sale proceeds) is held on a sub-account which we call the Capital Account. Dividends and other income is normally credited to another sub-account which we call the Income Account. Every account has both a Capital Account and an Income Account. If you would not like your investment holdings or cash to be held within our nominee service, please let us know.

Online service

You are able to view your account online.

If you would like to request a password to enable you to view your account online, please tick this box: ☐

5. BANK DETAILS

Please complete your bank details below.

Name of bank

Account name

Sort code

Account number

Building society roll number (where applicable)

Only UK/EU bank accounts are acceptable to receive payments using the BACS system.

6. SETTLEMENT MONIES

Please indicate how you would like settlement monies owing to you to be paid (Please tick ONE box only).

Held on my/our Capital Account pending investment ☐

Paid to my/our bank/building society by BACS on settlement ☐

7. INCOME PAYMENTS

If you wish Arjent to accrue any dividends and other income amounts allocated to you within the Income Account, please confirm how you would like these amounts to be paid (Please tick ONE box only).

- Held in my/our Income Account pending further instruction ☐
- Paid to my/our bank/building society on a quarterly basis ☐
- Paid to my/our bank/building society on a monthly basis ☐

PAYMENT OF FEES AND CHARGES

Fees and charges are levied on a quarterly basis as set out in our Rate Card. Unless you instruct us otherwise we will normally deduct these from any monies held on your Capital Account. If there is a shortfall we will seek to collect this from any money on your Income Account but in the event there is insufficient money to cover the shortfall you will be asked to make payment by cheque or bank transfer.

8. AUTHORITY TO DEAL

We would normally only take instructions to deal from the applicant named in this Client Application Pack (Short Form); if you would like to nominate a third party to give dealing instructions on this account, please provide their details below.

Full name

Relationship to applicant

Permanent residential address

Postcode

Country of residence

Home telephone number

Mobile telephone number

Work telephone number

Email address

Specimen signature ✗

9. DECLARATION

I certify that the information provided in this form is true and accurate and that I have received and read the Arjent Terms and Conditions.

Applicant signature ✗

Date

Print name

10 . CLIENT APPLICATION PACK CHECKLIST

Please complete the checklist below and return your completed Client Application Pack (Short Form) with all relevant supplementary pages (if applicable) using the pre-paid envelope provided, or to:

Arjent Limited
25 Christopher Street
London
EC2A 2BS

Please tick each box:

- ALL sections of Client Application Pack (Short Form) completed ☐
- Two ID documents for applicant: ☐
- Declaration signed by applicant: ☐

OTHER INFORMATION

Please use this section to include any other information about your application to assist us in providing you with the appropriate advice.

FOR OFFICE USE ONLY

Account executive code	
Client code	
Set-up date	
Main account number	
Checked by	

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 ACCOUNTS

We offer three types of accounts:

1.1 **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.

1.2 **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. 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.

1.3 **Self Invested Personal Pension (SIPP)** – this is a personal pension account which allows you to invest in certain eligible investments. Further information about the way we can provide access to SIPPs is available on our website – www.arjent.co.uk

3. TYPES OF SERVICE

We offer two 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 **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. We also provide you with valuations on a regular basis and a Tax Pack each year to help you in completing your tax returns.

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

4. TYPES OF RISK APPETITE

We need to assess your appetite to risk. We have three levels of risk:

4.1 **Low Risk** –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 investments could fall, but that such falls may still be possible.

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.

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.

Arjent is authorised and regulated by the Financial Services Authority. Firm Reference No. 197330
www.fsa.gov.uk/register.
Arjent is registered in England. Registered No. 4077864. Registered office: Arjent Limited 25 Christopher Street London EC2A 2BS
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