Individual Investment Account
Application form

LIBERUM Wealth

Thank you for your interest in Liberum Wealth

This form gathers the information we need to set you up as a client. We take a proactive stance to combating financial crime and the financing of terrorism and so, in addition to this completed form, we require certified copies of documents to verify your identity and address.

In order to process your application we will need the following documents (please tick to confirm):

☐ **This completed and signed application form**

☐ **Certified proof of identity:** a valid official document that includes a likeness of you, such as a passport, driving license or state issued ID card.
Note: The certifier should clearly state "I certify this is a true copy of the original document, which includes a true likeness of the individual whom I have met."

☐ **Certified proof of your permanent residence:** a utility bill or bank statement sent to your residence and dated within the last three months.
Note: The certifier should clearly state "I certify this is a true copy of the original document."

The proof of identity and address, noted above, should be certified by a fit and proper professional person (for example an accountant, lawyer, medical doctor, company director of a regulated business or notary). The certifier should sign and include their name, professional body/company, and contact details on each copy.

Should we require any further information or documentation we will be in touch with you and once we have successfully processed your application, we will send you a client agreement letter for you to sign. The client account we open for you is governed by terms and conditions, which will be included with the client agreement letter, and guidelines that our regulators stipulate to protect you.

Personal details

Title:

Surname:

First name(s):

Former name(s):

Date of birth (DD/MM/YYYY):

Telephone
Home: Work: Mobile:

Email address:

Principal residential address (must not be a PO Box No):

Postcode:

Personal details *(continued)*

Nationality:

Country of birth: Town of birth:

Country(s) of residence for tax purposes:

Tax ID / National Insurance number(s) or equivalent:

Are you or have you ever been a US Citizen, held a US passport, green card, bank account or resided/owned property in the US?

Yes ☐ No ☐

Occupation:

Public company / public service / Government positions held (Including historical, if any):

Bank details *(contact us if you require more than one designated bank account to be set up)*

Account name (the bank account should reflect the name(s) of the Liberum Wealth account holder(s)):

Account number:

Sort code: ☐☐-☐☐-☐☐ Currency:

Reference (if applicable):

Bank name:

Branch address:

For non-sterling accounts please provide the following details:

SWIFT code (for non-sterling accounts):

IBAN number (for non-sterling accounts):

Correspondent bank:

Correspondent bank SWIFT code:

Currency reporting and portfolio income

Please select a base currency of the portfolio

GBP ☐ USD ☐ EUR ☐ ☐ Other (please specify):

Approximate initial value of the account in the portfolio base currency:

Would you like income / dividends to remain in the currency of origin or converted to the portfolio base currency?

Currency of origin ☐ Portfolio base currency ☐

Please note: we provide multi currency cash accounts as standard, as well as foreign exchange services

Account classification *(Please select one of the categories below)*

Retail ☐ Elective Professional (see below) ☐

Note - In order to qualify as an elective professional, you should satisfy at least 2 of the following 3 criteria (tick at least two):

☐ 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.

☐ The size of your financial instrument portfolio, defined as including cash deposits and financial instruments, exceeds EUR 500,000 or equivalent.

☐ 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.

Anti Money Laundering Information

This section covers all account holders and is a regulatory requirement. Please tick one or more of the boxes for **both** Source of Funds **and** Source of Wealth and provide additional detail on the sources of funds and wealth.

Source of Funds ("SOF") refers to the activity that generated the cash / investments to be held on account

Source of Wealth ("SOW") refers to the activity that generated the worldwide wealth of the account holder(s)

SOF	SOW	
☐	☐	Accumulated earnings *Name of employer(s):*
☐	☐	Dividend / Sale proceeds from asset(s) *Details of asset(s):*
☐	☐	Transfer in of certificated shares or securities from another broker / custodian account *Please specify (include Broker and account code):*
☐	☐	Inheritance / Bequest / Gift *Details of where the funds have been received from:*
☐	☐	Divorce settlement *Name of ex-spouse:*
☐	☐	Pension or Employee incentive / Company share options programme *Name of contributing company:*
☐	☐	Other *Please specify:*

If further space is required for details of Sources of Funds and Wealth, please include on a separate page.

Expected account activity per annum:

1-9 trades ☐ 10-29 trades ☐ 30+ trades ☐

Expected duration of relationship:

1 year ☐ 1-3 years ☐ 3+ years ☐

By completing and signing this application form you confirm that you and any monies and/or assets held by or on behalf of you have no connection with, or exposure to, bribery, corruption or any other criminal activity.

Authority on the account

Do you wish to have another person or persons authorised to instruct on your account? Yes ☐ No ☐

Please note we may require due diligence documentation to be provided on other account instructors

If yes, please state their name(s)

I confirm that the information provided in this application form is true and accurate

Signed: **Date:**

Please scan and email the completed form and your certified proofs of identity and address to us at operations@liberumwealth.com so we can expedite your application.

Please also post this form and the original signed certified copies of proof of identity and address to:

Operations
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"We have the experience, we take responsibility, we are flexible and we always put the client first."

We make the process of buying, holding and selling shares straightforward and cost effective for you. We take a common sense and "extra mile" approach - our services are tailored to your requirements and deliver value for money.

Whether you invest in equities, fixed income, foreign exchange, derivatives, funds or private investments, our experienced and expert team always ensure your instructions are executed diligently, efficiently and at institutional prices. With our comprehensive nominee and custody service, your investments are held securely in one place.

You are always in control. Liberum Wealth will only ever act under your instructions – we do not provide advice or discretionary portfolio management services.