



James Brearley

Investment Managers & Stockbrokers

Established 1919

Private Client Services Execution-Only

Application & Agreement Form

APPLICATION FORM

Before completing this application form, please ensure that you have read the Services, Terms & Conditions. It is important to complete this form as far as possible, as we can only act in accordance with the information provided. Forms not fully completed may be returned. Please complete this form using BLOCK CAPITALS and tick boxes where applicable.

To be completed in all cases

Primary Account Holder

Title: Mr/Mrs/Miss/Ms/Other

Surname

Forename(s)

Address

Postcode

Tel. (Home)

Tel. (Mobile)

Tel. (Work)

e-mail address

Date of Birth

NI Number

Residency

Nationality

Mother's Maiden name
(for security purposes)

Do you have any connection with a listed company?
If so please describe this below:

Company
Name(s)

Description
of Connection

Marital Status

(Delete as appropriate)

Married/Single/Divorced/Other

Number of Dependants/Children

Occupation

If retired, please state

Name of Employer

Annual Gross Income

Up to £20,000

☐

£20,001 – £30,000

☐

£30,001 – £40,000

☐

£40,001 – £50,000

☐

£50,001 – £100,000

☐

More than £100,000

☐

Tax Rate

Nil

☐

Basic

☐

Higher

☐

Additional

☐

Joint Account Holder *see Note below*

Title: Mr/Mrs/Miss/Ms/Other

Surname

Forename(s)

Address

Postcode

Tel. (Home)

Tel. (Mobile)

Tel. (Work)

e-mail address

Date of Birth

NI Number

Residency

Nationality

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£40,001 – £50,000

☐

£50,001 – £100,000

☐

More than £100,000

☐

Tax Rate

Nil

☐

Basic

☐

Higher

☐

Additional

☐

Note: If you wish to open a joint account, both parties should complete and sign the relevant section(s).
In Joint Accounts all stocks and cash will be recorded in joint names.

Are there currently any health considerations, permanent or temporary, that you feel we may need to consider in the ongoing operation of your account? For example, illness, physical disability, hearing or visual impairments.

Are there currently any other circumstances in your daily life, permanent or temporary, that you feel we may need to consider in the ongoing operation of your account? For example, caring responsibilities, recent bereavement, poor literacy or numeracy skills.

Please detail your Bank / Building Society details below in order that we can pay out funds if required.

Name of account holder:

Branch Sort Code:

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Account Number:

Any payments or withdrawals from the account will be made electronically by BACS.

Before any payments can be made, we will attempt to verify that the bank account you have provided details for belongs to you.

We will carry out electronic checks to verify the bank details provided and may contact you to provide further evidence of the details if our checks have been unsuccessful.

"I/We confirm I/We am/are a UK Tax Resident(s) and hold no other tax residency. I/We have provided my/our correct National Insurance number(s). I/We agree to promptly inform James Brearley of any changes to this within 30 days of this occurring. I/We am/are aware that my/our information will be shared with UK tax authorities who may pass it on to other tax authorities. Tick if applicable ☐

If you are not a UK Tax Resident or hold a dual tax residency then please tick here ☐ and we will provide you with our Foreign Account Tax Compliance Act (FATCA) form for your completion.

I/We consent to receiving marketing information from James Brearley. Tick if applicable ☐

I/We confirm that I/we have read and understood the terms and conditions detailed in the Services, Terms and Conditions.

I/We also confirm that information contained in this form is accurate.

Signed Date Signed Date

James Brearley

Customer Due Diligence Information

Under the rules of the Financial Conduct Authority, James Brearley has an obligation to manage the risk that the firm's business may be used to further financial crime. Specifically, we are required to take measures to prevent financial crime, to facilitate its detection and to monitor its incidence. To be able to meet our regulatory obligations, we request the following additional information relating to your account. Please answer all questions.

1. Type of account:
- 1 ☐ Private individual, including deceased estate and Self Invested Personal Pension
 - 2 ☐ Joint account
 - 3 ☐ Company, including charity and credit union
 - 4 ☐ Trust and other types of pension

Names of other persons connected to the account, including signatories, partners, directors, controlling shareholders, trustees, beneficiaries, settlor, protector, executors:

1 3 5
2 4 6

2. Trading envisaged:

- 1 ☐ One-off transaction
- 2 ☐ 0-1 transaction/month
- 3 ☐ 1-5 transactions/month
- 4 ☐ More than 5 transactions/month
- 5 ☐ Not known; to be managed by James Brearley

3. Origin of wealth for the initial funding of the account (tick all that apply):

- 1 ☐ Transfer of assets
- 2 ☐ Personal savings
- 3 ☐ Sale of property/stock market investments
- 4 ☐ Bequest (gift or inheritance)
- 5 ☐ Trust assets
- 6 ☐ Assets of estate of a deceased person
- 7 ☐ Pension Fund

4. Expected withdrawals from the account:

- 1 ☐ All surplus cash to be withdrawn
- 2 ☐ Occasional cash withdrawals
- 3 ☐ Regular amounts each month, each quarter or half yearly
- 4 ☐ No expected withdrawals

5. Expected ongoing funding of the account:

- 1 ☐ No expected ongoing funding (initial funding only)
- 2 ☐ Occasional funding
- 3 ☐ Regular monthly/quarterly amounts
- 4 ☐ Transfers of assets

Please estimate anticipated ongoing funding to your account per annum:

1 ☐ £0 2 ☐ £0-30,000 3 ☐ £30,000-100,000 4 ☐ £100,000-500,000 5 ☐ £500,000+

from (source of ongoing funding, if any):

- 1 ☐ Salary
- 2 ☐ Business profits
- 3 ☐ Personal savings
- 4 ☐ Pension Contributions
- 5 ☐ Bequest (gift or inheritance)
- 6 ☐ Sale of property/stock market investments

6. Please outline the reason for opening an account

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Signature

Name

Date

HEAD OFFICE
PO Box 34, Walpole House,
Unit 2, Burton Road,
Blackpool, FY4 4WX

Telephone: 01253 831100
Email: enquiry@jbrearley.co.uk
Website: www.jbrearley.co.uk

CONTACT DETAILS

Blackpool: Tel: (01253) 831940 Email: blackpool@jbrearley.co.uk

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James Brearley is the trading name of James Brearley & Sons Ltd.
Registered in England and Wales. Company Registration Number: 03705135.
Registered Office: Walpole House, Unit 2, Burton Road, Blackpool FY4 4NW
Member of the London Stock Exchange. Authorised & Regulated by the Financial Conduct Authority
The Financial Conduct Authority, 12 Endeavour Square, London E20 1JNS.