

# ARNOLD, STANSBY & Co LIMITED DEALING APPLICATION

Arnold, Stansby & Co Limited  
Alexandra Buildings  
28 Queen Street  
Manchester M2 5JJ

Tel 0161 832 8554  
Fax 0161 834 7710  
Regulated by the Financial Conduct Authority  
Members of the London Stock Exchange

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This form should be completed if you require any personal recommendations to be made to you regarding your investments

We are required to obtain information regarding your investment objectives, your attitude to risk, your financial situation now and any likely changes. We will still be able to effect transactions for you without these details but these will be made without our recommendation

The current terms of business sets out the services we offer and the charges we make.

If you require an execution only dealing service a separate application is available upon request.

Please ensure you have completed, signed and returned a Client Verification Form which is needed to open a dealing account

## PLEASE COMPLETE IN BLOCK CAPITALS

### PERSONAL DETAILS

Title \_\_\_\_\_  
Surname \_\_\_\_\_  
Forenames \_\_\_\_\_  
Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Postcode \_\_\_\_\_  
Home Tel \_\_\_\_\_  
Work Tel \_\_\_\_\_  
Mobile Tel \_\_\_\_\_  
Fax \_\_\_\_\_  
E-mail address \_\_\_\_\_  
Date of Birth \_\_\_\_\_  
Nat Ins No \_\_\_\_\_  
Marital status \_\_\_\_\_  
Homeowner \_\_\_\_\_  
If not please give details \_\_\_\_\_  
Place of Birth \_\_\_\_\_  
Nationality \_\_\_\_\_  
Occupation \_\_\_\_\_  
Bank account \_\_\_\_\_  
Previous address (if less than 3 years at above) \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Postcode \_\_\_\_\_  
Who recommended Arnold, Stansby & Co Limited to you ? \_\_\_\_\_

### ADMINISTRATOR DETAILS

Name \_\_\_\_\_  
Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Postcode \_\_\_\_\_  
Fax No \_\_\_\_\_  
Work Tel \_\_\_\_\_  
E-mail address \_\_\_\_\_  
Bank account \_\_\_\_\_  
Previous address (if less than 3 years at above) \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Postcode \_\_\_\_\_

### Risk Warning

The price and value of securities and any income derived from securities can fall as well as rise and that when realized you may receive less back than you originally invested.

The following sections are to be completed by applicants where advice and a personal recommendation may be sought from us. If you are in any doubt what your investment objectives and attitude to risk is you should contact us before completing the section below. The definition of risk shown below is for guidance.

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## Investment Objectives / Definition of risk

As a general rule if you require a high return (in terms of both income and growth) you must be aware that there is likely to be a high degree of risk to your investment. You should consider what risk you are prepared to accept and inform us if you require a personal recommendation on any investment. The classify risk as:

**LOW RISK** – Cash, gilt edged stocks (including index linked gilts), some corporate bonds, some leading UK ordinary shares and some ungeared collective investments.

**MEDIUM RISK** – Ordinary shares in the top 350 UK companies, some corporate bonds, some leading overseas company shares and many collective investments.

**HIGHER RISK** – All other types of investment.

## INVESTMENT OBJECTIVES / ATTITUDE TO RISK

**A)** What are you trying to achieve from your investments?

i) Primarily Income \_\_\_\_\_

ii) Mixed Income & Growth \_\_\_\_\_

iii) Primarily Growth \_\_\_\_\_

iv) Other (please state) \_\_\_\_\_

**B)** What is your *overall* attitude to risk?

i) Low Risk \_\_\_\_\_

ii) Medium Risk \_\_\_\_\_

iii) Higher Risk \_\_\_\_\_

iv) Other (please state) \_\_\_\_\_

If applicable please indicate more than one objective or attitude to risk.

**If your investment objectives change it is important that you advise us.**

## CUSTODY STATEMENTS/VALUATIONS

Do you have specific dates you wish to receive periodic information from us? \_\_\_\_\_

Custody statements are sent six monthly as at 5<sup>th</sup> April & 5<sup>th</sup> October

## INVESTMENT RESTRICTIONS

You may wish to avoid investing in a particular company, industry sector or geographical area for example. If this is the case please enter the details below.

i) Companies to be avoided \_\_\_\_\_

ii) Sectors to be avoided \_\_\_\_\_

iii) Geographical areas to be avoided \_\_\_\_\_

iv) Other (please state) \_\_\_\_\_

**If you wish to change or add to your investment restrictions you should advise us immediately.**

## NON-READILY REALISABLE INVESTMENTS

Do you want to deal in non-readily realizable investments **Yes/No** \*

\* Please delete as appropriate

If you have shown "Yes" you may wish to deal in non-readily available investments, these securities may be difficult to buy and sell due to their limited marketability and the market price may be difficult to determine.

## COLLECTIVE INVESTMENTS

Do you want to deal in collective investments **Yes/No** \*

\* Please delete as appropriate

If you do not know the meaning of Collective Investments please contact us for more information

## OFF-EXCHANGE INVESTMENTS

Do you want to deal in off-exchange investments **Yes/No** \*

\* Please delete as appropriate

If you have shown "Yes" you may wish to deal in off-exchange investments. We will be able to deal for you in securities that are not subject to the regulations of a recognized investment exchange.

Please complete the following sections in addition to your Investment objectives and attitude to risk shown above if may require advice or a personal recommendation from us.

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If you may require any advice or personal recommendation we ask that you give us as much information about your financial circumstances as possible.

### FINANCIAL CIRCUMSTANCES (not administrator)

Do we know all of your investments \_\_\_\_\_ \*

If not total value of investments £ \_\_\_\_\_

\* please list investments not known by us separately

Value of home £ \_\_\_\_\_

Value of other properties £ \_\_\_\_\_

Amount of mortgage (if any) £ \_\_\_\_\_

Total savings £ \_\_\_\_\_

Annual Income (Gross) £ \_\_\_\_\_

Do you foresee any change in your income \_\_\_\_\_

Tax rate \_\_\_\_\_

Do you foresee any change in your tax status \_\_\_\_\_

Total loans, overdrafts etc £ \_\_\_\_\_

Annual Commitments (list separately if necessary) £ \_\_\_\_\_

Details of any likely future exceptional expenditure \_\_\_\_\_

Expected retirement date if working (if known) \_\_\_\_\_

Other pension details (if any)  
\_\_\_\_\_

No of dependents \_\_\_\_\_

Dates of birth of any dependents

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_ \*

\* List separately if more than four dependents

### OTHER INFORMATION

Please include separately any other information you feel may be relevant to your financial circumstances.

### STABILISATION

Do you want to deal in securities whose price may be subject to and therefore affected by stabilization Yes/ No \*

\* Please delete as appropriate.

If you have shown "Yes" you may wish to deal in securities that are subject to stabilization. Stabilization allows prices to be supported after a security is issued, this may make the price higher than it would be without stabilization. This may also affect securities that are already listed which are related to the new issue. Stabilization is undertaken to ensure issues of securities are introduced in an orderly fashion and is allowed for a limited period after issue.

**The authority for us to hold Client Money have Safe Custody of your investments may be important if you are considering an Individual Savings Account (ISA) or investing in stocks where certificates are not issued, for example most corporate bonds**

**If you are in any doubt regarding the meaning of Client Money and Safe Custody please contact us for further information.**

### CLIENT MONEY

Money held by the firm will be treated as client money in accordance with the rules of the FCA. The client bank accounts have statutory trust status and are segregated from the firm's own funds. Money is held at an approved bank. Money may be held in an account which is pooled with money of other clients, this means you may not have a claim against a specific sum of money in a specific bank account but your claim may be against the client money pool. Money other than that held for settlement of a transaction will attract interest in accordance with the terms of business. Interest rate paid is shown in the terms of business. All interest on non ISA bank accounts pays net interest unless the correct Bank of Scotland tax forms are completed and accepted by the bank. No liability can be accepted by the firm for loss of gross interest where it may be payable gross but is paid net due to the forms being incomplete. If a transaction is undertaken which requires that your money is paid to a third party in connection with that transaction the legal and regulatory regime may be different than in the United Kingdom. This may mean that in the event of default your money may be treated differently than it would in the UK.

I/We authorize Arnold, Stansby & Co Limited to hold money on my/our behalf Yes/No \*

\* Please delete as appropriate. **It may be important that you give this authority if we control any of your investments.**

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## REGISTRATION / CUSTODY OF SECURITIES

Securities will be registered in our nominee name and/or another custodian the firm gives authority to hold your investments in safe custody. We will transfer securities held on your behalf to meet obligations you may have, such as sales of securities. All securities held by the firm will be registered in the name of ASCO Nominees Limited an associated company of the firm. Securities may also be held by other eligible custodians that have authorization to do so. These custodians may be subject to and have different rules than those applying to UK custodians. Investments held may be pooled with those of one or more client's. You may also receive less than you may expect from a corporate action as they may favour small shareholders. You will not receive documentation issued by companies to shareholders held directly on the company share register. The firm does not accept responsibility for the safe custody of third parties, except for its own fraud or negligence. For investments held by the firm (except where the address on the share register is the clients) we will be responsible for advising regarding rights issues, take-overs, receiving dividends and other rights of shareholders. The client's instructions will be sought where necessary, should the client fail to advise what action to take by any deadline given by the firm no action will be taken. This may lead to a loss to the client (for example non take-up of open offer shares).

I/We authorize Arnold Stansby & Co to control my securities. I/We authorize Arnold, Stansby & Co Limited to register securities in the name of Asco Nominees Limited (the nominee company associated with Arnold, Stansby & Co Limited) and/or an eligible custodian nominated by Arnold, Stansby & Co Limited. **Yes/No** \*

\* Please delete as appropriate. **It may be important that you give this authority if we control any of your investments, in particular where these are ISA's.**

## PERSONAL INFORMATION & DATA PROTECTION ACT

Services provided are on the basis of information provided by you. You warrant that all this information given is true and full. You agree to notify us of any change in the information provided. Handling and processing of all financial personal information complies with the Data Protection Act. This information is kept strictly confidential and will not be disclosed to any other party.

Arnold, Stansby & Co Limited are authorized and regulated by the Financial Conduct Authority. Details about complaints handling, Financial Services Compensation Scheme (FSCS) and Financial Ombudsman Service (FOS) are available by request.

SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_

SIGNATURE \_\_\_\_\_ DATE \_\_\_\_\_