

First Equity Limited

ENTITY CUSTOMER APPLICATION FORM

Please read this Application Form carefully.

NOTICE

The Application Form, together with our Customer Agreement and Schedule of Charges, will constitute a legal agreement between you and First Equity Limited. If you are unsure about how to complete any section of this form, please contact us.

This Form is applicable for Customers wishing to open a nominee account to be held with Titan Settlement & Custody Ltd.

All applicants should complete **the Application Form** and provide the additional information required by the Appendix.

All clients should sign the declaration at the foot of **Application Form** and return the completed form together with any additional requested information to:

First Equity Limited
Salisbury House
London Wall
London EC2M 5QQ



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PLEASE USE BLOCK CAPITALS TO COMPLETE THIS FORM

		APPLICANT
Full Name		
Registered Address		
Post Code		Country
Mailing Address (if different)		
Post Code		Country
Email/s		
Tel No/s		
Legal Entity Identifier		
Entity Reg No.		
Web address		

Please tick one:		ENTITY TYPE
Corporate	Partnership	
Nature of Business		
Regulated By	No.	
Listing (exchange)		
Existence of Beneficial Owner/Controller (owning/controlling >25%)	Yes	No



TAXATION

Please indicate all countries in which you are resident for the purpose of that country’s income tax and the relevant tax identification number (TIN) or functional equivalent.

COUNTRY

TIN (Tax number)

Please additionally complete the Entity tax residency Self Certification Form.

Please tick:

PRODUCTS

Equities Warrants Bonds Other

Please tick one:

MARKET COVERAGE

UK Europe US/Canada Other (describe)

Please provide bank details of the account to be used for settlement of your account. We can only accept payments in the name of the account holder.

BANK DETAILS FOR PAYMENT REQUESTS*

Name of Bank

Account Name**

Sort Code

Account Number

BIC (if applicable)

IBAN (if applicable)

Bank Address

Country

Post Code

* These instructions are for you, the client, in the event that you wish First Equity Limited to remit funds to you.

** Must be in the name of the applicant(s).



PLEASE COMPLETE ALL OF THE FOLLOWING SECTIONS

INVESTMENT DETAILS & EXPERIENCE

What is the purpose for opening the account?

Approx. anticipated individual trade size	0 - £5,000	£5,001 - £25,000	£25,001 - £99,999	£100,000+	
Approx. anticipated frequency of trading (yearly)	One off	1-10	11-25	25-99	100+
Initial investment amount (£)					
What is the source of funds/ wealth?	Company Profits	Salary	Loan (details required)		
	Sale of Company	Other			
Investment Experience Previous	None	Less than 3 years	More than 3 years		
Trading Frequency	Trading (very frequently)	More than once a month	Less than once a month		

Types of instruments invested in previously. e.g. Stocks, exchange-traded funds (ETFs), mutual funds, real estate investment trusts (REITs), bonds, derivatives contracts (i.e. options, futures, and swaps), certificates of deposit (CDs), bank deposits, loans.

Please complete this page for each ultimate beneficial owner (UBO) over 25%.
Print additional pages if necessary.

UBOs (Section A)

Name (inc. Title)	Permanent Residential Address
Date of Birth	
National Insurance number	
Contact telephone number	Email
Occupation	

Were you born in the UK? And are you solely a UK citizen, solely a UK national and solely resident in the UK for tax purposes? To tick Yes, all need to apply

Yes	No (If 'No', please complete section B)
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Section B - Only complete if country of birth, nationality, citizenship or tax residency for tax purposes is non-UK.

Town and Country of Birth	First Nationality
Second Nationality	Third Nationality
Country of Citizenship	Second country of citizenship
Country of Taxation	Second country of taxation
TIN for first country of tax	TIN for second country of tax
Type of TIN for first country of tax	Type of TIN for second country of tax

If you do not have a TIN for a country, please confirm the reason:



Please complete details on this page for each director.
Print additional pages if necessary.

Directors

Director 1

Name (inc. Title)	Permanent Residential Address
Date of Birth	
National Insurance number	
Contact telephone number	Email

Director 2

Name (inc. Title)	Permanent Residential Address
Date of Birth	
National Insurance number	
Contact telephone number	Email

Director 3

Name (inc. Title)	Permanent Residential Address
Date of Birth	
National Insurance number	
Contact telephone number	Email

Director 4

Name (inc. Title)	Permanent Residential Address
Date of Birth	
National Insurance number	
Contact telephone number	Email

IDENTITY VERIFICATION

We are required by law to confirm your identity and comply with Anti-Money Laundering legislation. By submitting this application, you authorise us to make searches about you through reference agencies who will supply us with information for the purpose of verifying your identity and details to which they have access. We reserve the right to make any additional enquiries considered necessary to confirm each applicant's identity. A record of any search will be retained.

Please provide the forms of identification and documentation as outlined in APPENDIX A - additional information to be provided according to the type of account.

PRIVACY POLICY

The Firm's Privacy Policy referred to in the Customer Agreement can be made available and can also be found on our website, www.FirstEquitylimited.com. In order to develop and enhance our service to you we would like to be able to inform you of new products and services, including those of other organisations not connected with First Equity Limited, where we consider that they may be of interest or benefit to you. We will never pass your details on to third parties for them to contact you directly. If you consent to this, please indicate your agreement by ticking the "Yes" box below. You may of course withdraw your consent at any time by giving notice in writing to the firm.

I/we agree that you may contact me/us about your other products and services:

(Please tick if you agree)

YOUR CONSENTS

1. I/we confirm that the information provided in this form is, to the best of my/our knowledge and belief, accurate and complete.
2. I/we confirm that I/we have read, understood, and agree to be bound by the terms and conditions of the Customer Agreement, inclusive of the GPP custody terms set out in Schedule 1 to that Agreement, and acknowledge and understand the risks contained within the Risk Warning
3. I/we undertake to notify First Equity Limited promptly of any change in circumstances which causes the information contained herein to become incorrect or incomplete and to provide an updated declaration of such a change in circumstances.
4. I/we am/are aware that in certain circumstances First Equity Limited may be obliged to share this information with UK tax authorities who may pass it on to other tax authorities.

This application must be signed and dated by a minimum of two directors or one director and the company secretary unless it is signed in accordance with the company's signing resolution.

If there is no company secretary and only a sole director who is the company secretary then the sole director must sign in the presence of a witness.

Name

Position

Signature

Date

Witness Name

Permanent
Residential
Address

Occupation

Witness
Signature

Date

Appendix A - additional information to be provided according to the type of account

Requirement	Corporate	Partnership
Articles of Association.	✓	
Certificate of Incorporation or Registration	✓	✓
Latest audited financial statements.	✓	
Proof of identity		
Directors or Partners proof of identity	✓	✓
Proof of identity of Beneficial owner (>25%)	✓	✓
Partnership agreement		✓
Persons authorised to trade	✓	✓
Authorised signatory list	✓	✓

Proof of identity - see Appendix B

- Corporate/partnership – for 2 directors/partners, copy of passport, national identity card or driving licence with photograph together with ID showing name and home address (e.g. utility bill, bank statement etc).

Beneficial Owners

- Identity of any beneficial owner with share holding of 25% or more – for individuals we require the same proof of identity as noted above. Should it be an unregulated/unlisted corporate entity, we require share register/certificates extract until we reach the ultimate beneficial owners.

Controllers and Protectors (any other person of influence not otherwise named)

- Identity of any controller – proof of identity required (see above).

Persons authorised to trade

- Where authority has been delegated to a 3rd party we require a copy of the POA/agreement.

Further information may be requested depending upon the information initially provided, type and jurisdiction of the client.

Appendix B - Identity Verification for Individuals

APPENDIX B

Identity Verification for Individuals

We are required by law to confirm your identity, address and source of funds for Anti-Money Laundering purposes prior the account opening. The following documents are acceptable from the below list:

ONE of the following government-issued identification documents:

- Valid passport
- Valid photo-card driving license (full or provisional with full address).

ONE from the following documents for address verification dated within 3 months of the application:

- Current council tax demand letter, or statement (most recent in fiscal year)
- Current bank statement
- Utility or phone bill or statement – e.g. Gas, Water, Electricity or telephone (not mobile).

This can be supplied to us via email. Please note we are unable to accept a screen shot of an online document. This must be attached as a PDF or a clear photo of a paper document.

Further verification information and documents may be requested.