

Account opening form

Trusts and charities via a financial adviser

This Account Opening Form will allow you to provide Canaccord Genuity Wealth Management (CGWM) with important details. CGWM will review all the information you provide. When we are satisfied that we have all the information we need, we will be able to provide our services and meet our legal and regulatory requirements.

Section 1 – Trust/Charity information

The privacy of your data is important to us. For details of how your data will be processed, please refer to our privacy notice, which is available at: www.canaccordgenuity.com/wealth-management-uk/legal-and-regulatory-information/legal--regulatory-information-uk/

The Trust/Charity

Full name of the trust/charity:

Domicile:

Country under whose law the trust was established:

Type of trust:

Charity Commission Reference:

Legal Entity Identifier:

(If you do not have a Legal Entity Identifier please fill out the attached LEI letter)

Trustees

Trustee 1

Title:

Full name:

Premarital, former and any other name(s) by which you are known:

Permanent residential address:

Postcode:

Trustee 2

Title:

Full name:

Premarital, former and any other name(s) by which you are known:

Permanent residential address:

Postcode:

Trustee 1

Date of birth:

Country of birth:

National insurance number:

Nationality:

Country of residence for tax purposes:

Tax Identification Number (TIN):

Email:

You will receive any electronic correspondence at this email address. If you do not wish to receive email correspondence please indicate your mailing address below:

Same as above

Address if different from above:

Postcode:

Telephone (work):

Telephone (mobile):

Trustee 3

Title:

Full name:

Premarital, former and any other name(s) by which you are known:

Permanent residential address:

Postcode:

Date of birth:

Country of birth:

National insurance number:

Nationality:

Country of residence for tax purposes:

Tax Identification Number (TIN):

Trustee 2

Date of birth:

Country of birth:

National insurance number:

Nationality:

Country of residence for tax purposes:

Tax Identification Number (TIN):

Email:

You will receive any electronic correspondence at this email address. If you do not wish to receive email correspondence please indicate your mailing address below:

Same as above

Address if different from above:

Postcode:

Telephone (work):

Telephone (mobile):

Trustee 4

Title:

Full name:

Premarital, former and any other name(s) by which you are known:

Permanent residential address:

Postcode:

Date of birth:

Country of birth:

National insurance number:

Nationality:

Country of residence for tax purposes:

Tax Identification Number (TIN):

Trustee 3

Email:

You will receive any electronic correspondence at this email address. If you do not wish to receive email correspondence please indicate your mailing address below:

Same as above

Address if different from above:

Postcode:

Telephone (work):

Telephone (mobile):

Beneficiaries

Beneficiary 1

Receiving a benefit

Not receiving a benefit

Title:

Full name:

Permanent residential address:

Postcode:

Date of birth:

Country of residence for tax purposes:

Nationality:

Beneficiary 3

Receiving a benefit

Not receiving a benefit

Title:

Full name:

Permanent residential address:

Postcode:

Date of birth:

Country of residence for tax purposes:

Nationality:

Please provide details of additional beneficiaries on a separate sheet.

Trustee 4

Email:

You will receive any electronic correspondence at this email address. If you do not wish to receive email correspondence please indicate your mailing address below:

Same as above

Address if different from above:

Postcode:

Telephone (work):

Telephone (mobile):

Beneficiary 2

Receiving a benefit

Not receiving a benefit

Title:

Full name:

Permanent residential address:

Postcode:

Date of birth:

Country of residence for tax purposes:

Nationality:

Beneficiary 4

Receiving a benefit

Not receiving a benefit

Title:

Full name:

Permanent residential address:

Postcode:

Date of birth:

Country of residence for tax purposes:

Nationality:

Details of the Settlor

Is the settlor deceased? Yes No

Date of death:

Full name:

Date of birth:

Nationality:

Permanent residential address (if applicable):

Postcode:

Details of Protector/Guardian

Full name:

Date of birth:

Nationality:

Permanent residential address (if applicable):

Postcode:

Authority

You should accept instructions from:

All Trustees acting jointly

Any one Trustee

Any Trustees acting together

Please delete as appropriate - if no deletion is made all trustees must act jointly.

Consent to process your special category data

During the course of our relationship, you may disclose to us details about your health including your mental health, which may be relevant to the services which we provide to you and which we may need to know in order to protect your economic wellbeing. This falls within a class of data called 'special category data'. We require your consent to process this class of data.

Please note that if you do not give your consent, this may limit our ability to provide products and services to you.

I/we consent to CGWM processing my/our special category data.

Section 2 – Service details (Discretionary only)

Initial investment £ (or currency equivalent)

Managed Portfolio Service

Risk profile **Please tick**

Cash Plus 3

Cautious Balanced 4

Income 5

Balanced 5

Growth 6

Aggressive Growth 7

Passive Portfolio Service

Risk profile **Please tick**

Cash Plus 3

Cautious Balanced 4

Balanced 5

Growth 6

Aggressive Growth 7

ESG Portfolio Service

Risk profile **Please tick**

Cautious Balanced 4

Balanced 5

Growth 6

Other (please specify):

Net worth

Please give us an indication of your total net worth (excluding the value of your main residence) £

Risk warning in respect of this service

Your independent financial advisor has recommended this investment based on their assessment of its suitability for you in accordance with FCA rules. This assessment will be based on information you have provided to your IFA and therefore Canaccord Genuity Wealth Management bears no responsibility for the assessment of the suitability of this investment for you.

The capital you ask us to invest will be exposed to the risks of the stock market and the value of the investment and income from it can go down as well as up. You may not get back all the money you invested.

Section 3 – Account administration

Nominee and Safe Custody Services

All investments forming part of your portfolio will be held as specified in our terms of business.

Bank details

Payments will only be made to your nominated bank account.

Trust/Charity bank account

Name of account holder(s):

Name of bank/building society:

Address of bank/building society:

Postcode:

Account number:

Sort code:

IBAN/Account number:

Building society reference number (if applicable):

Beneficiary bank details

Payments will only be made to your nominated bank account.

Beneficiary bank account

Name of account holder(s):

Name of bank/building society:

Address of bank/building society:

Postcode:

Account number:

Sort code:

IBAN/Account number:

Building society reference number (if applicable):

Cash

Please indicate how the following account dividends and capital should be treated, in the absence of contrary instruction:

Income (e.g. dividends or interest):

Retain on deposit

Transfer to bank account (shown left)

Fees

Please indicate how you would prefer to settle any fees and charges on your account (please tick one):

Debit this CGWM account

I/we will settle the fees and charges directly by bank transfer/cheque

Canaccord Genuity Wealth Management bank details

When making payments to Canaccord Genuity Wealth Management please ensure that you quote the account number that you will be provided with once the account is open.

Bank name: HSBC

Sort code: 40-05-30

Account number: 63682919

Account name: CANACCORD GENUITY WEALTH LTD
CLIENT MONEY

BIC Code: HSBCMIDLGB22

IBAN: GB45MIDL40053063682919

Please contact us for non-GBP payment details.

Shareholder Rights Directive

The Shareholder Rights Directive (SRD II) requires us to vote at company meetings of the UK and EU shares you hold with us. This is offered to execution-only and advisory stockbroking clients and the charges are outlined in our schedule of charges.

Please activate this service

Please opt me out of this service

Mandate authorising third parties (other people) to give instructions on the account

Evidence of identity and address will be required for all individuals able to give instructions on your account.

I/We the account holders hereby authorise Canaccord Genuity Wealth Management to take instructions from the person(s) below, in relation to the purchase or sale of any investments and in respect of any corporate actions and payments.

Individual 1

Name in full:

Date of birth:

National insurance number:

Nationality:

Residential address:

Postcode:

Email:

Individual 2

Name in full:

Date of birth:

National insurance number:

Nationality:

Residential address:

Postcode:

Email:

Mandate authorising third parties (other people) to request information on the account

Individual 1

Name in full:

Date of birth:

Nationality:

Residential address:

Postcode:

Email:

Individual 2

Name in full:

Date of birth:

Nationality:

Residential address:

Postcode:

Email:

Section 4 – Correspondence, reporting and online access

Our reporting is provided safely and securely via our client portal, Wealth Online, where you will obtain a daily valuation of your investments with us, as well as all portfolio reports, contract notes and consolidated tax vouchers (if required). Alerts will also be sent to your chosen email address each time a new document is made available to you. Wealth Online can be accessed online through your web browser. Our mobile device app is also available from the Apple and Google stores. Your login details will be confirmed in your account opening letter.

If you do not have access to the internet, please tick here and we will contact you to agree an alternative communication method.

Mailing product and online access

	General correspondence	Valuations	Contract notes	Statements	Tax pack	Online access to be granted
Copy correspondent 1	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Copy correspondent 2	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Copy correspondent 3	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Copy correspondent 4	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Copy correspondent 1

Name:

Email:

Address:

Postcode:

Country:

Capacity: Solicitor Accountant Other

Copy correspondent 2

Name:

Email:

Address:

Postcode:

Country:

Capacity: Solicitor Accountant Other

Copy correspondent 3

Name:

Email:

Address:

Postcode:

Country:

Capacity: Solicitor Accountant Other

Copy correspondent 4

Name:

Email:

Address:

Postcode:

Country:

Capacity: Solicitor Accountant Other

All correspondence will be sent to the third party using the email address provided above. In order to secure the transmission of client data over email, we require an agreed password for the third party (this should be between 7 and 15 characters long and should comprise letter and numbers only please):

Section 5 – Marketing and communications

As part of our service, we will send you investment commentaries, market updates or similar communications and invitations to our events. We may also invite you to participate in satisfaction surveys. You can unsubscribe to these at any time.

However, we require your consent to send you direct marketing material, which includes promotional material about new products and services, including those of other companies in the Canaccord Genuity group, which may be of interest to you. If you wish to receive direct marketing material, please indicate your consent below. You can withdraw your consent at any time. Please refer to our Privacy Notice for further information.

I/we consent to receive direct marketing material

Section 6 – Financial adviser's details

If you require copy contracts, statements and valuations please complete section 5.

Financial adviser's name:

Financial adviser's address:

Postcode:

Financial adviser's telephone number:

Initial adviser fee payable:

Ongoing adviser fee payable:

I/We certify:

I/We confirm we have assessed the suitability of the service in accordance with the FCA and will notify Canaccord Genuity Wealth Management immediately of any change in circumstances that may affect the management of the portfolio.

I/We confirm the verification of identity of the Client(s) introduced in accordance with the Money Laundering Regulations 2007. We hereby provide an introductory certificate along with supporting documentation.

I/We have not been able to confirm the verification of the Client(s) for the following reasons:

I/We will inform Canaccord Genuity Wealth Management of any change in the Financial Adviser VAT status.

Introducer's signature:

Date:

Introducer's stamp:

If you wish us to facilitate the payment of your financial adviser's initial and/or ongoing adviser fee, please indicate on the signature page.

Section 7 – Agreements

These are the standard terms and conditions upon which Canaccord Genuity Wealth Management (CGWM) intends to rely. For your own benefit and protection you should read these terms carefully before signing them. If you do not understand any point please ask for further information. For the avoidance of doubt, this agreement is between Canaccord Genuity Wealth Management and the applicant(s) named in Section 1 of this form.

1. I/we have received, read and understood the guide to risk and investment, service agreements including discretionary portfolio management, advisory portfolio management, advisory stockbroking, execution-only stockbroking, as applicable, and the terms of business, including the risk warnings, custody agreement, ISA and junior ISA terms, where applicable, and confirm that I/we agree to such terms.
2. I/we accept the fees and charges set out in the Fee Schedule provided in respect of the services provided to me/us by CGWM.
3. I/we have provided details of my/our investment objectives, risk tolerance and financial situation to my financial adviser and will notify my/our financial adviser in writing of any change.
4. I/we have read your Order Execution Policy for Retail Clients and confirm that I/we accept the terms thereof including but not limited to:
 - (a) Consent to orders being executed outside a regulated market/MTF; and
 - (b) Consent not to publish limit orders.
5. I/we agree to CGWM undertaking electronic checks to verify my/our identity.
6. I/we understand that my financial adviser listed below providing me/us with financial advice will charge me/us a fee for that advice and I/we instruct and consent to CGWM facilitating the payment of such fee to that intermediary directly from my account with you.
7. Where more than one person has signed this agreement, CGWM may rely on information provided by either party regarding the others' circumstances and make their recommendations accordingly.
8. I/we agree that CGWM may communicate with us electronically (including the provision of documents), for which purposes I/we have provided my/our email address in Section 1.
9. Where I/we are also Trustees of the Trust, I/we confirm that this Account Opening Form and accompanying schedules are also accepted on behalf of the Trust.

Financial adviser (insert name):

Signed:

Signed:

Trustee name (block capitals):

Trustee name (block capitals):

Date:

Date:

Signed:

Signed:

Trustee name (block capitals):

Trustee name (block capitals):

Date:

Date:

Canaccord Genuity Wealth Management (CGWM) is a trading name of Canaccord Genuity Wealth Limited (CGWL), Canaccord Genuity Financial Planning Limited (CGFPL) and CG Wealth Planning Limited (CGWPL). CGWL, CGFPL and CGWPL are authorised and regulated by the Financial Conduct Authority. CGWL, CGFPL and CGWPL are wholly owned subsidiaries of Canaccord Genuity Group Inc. and have their registered office at 41 Lothbury, London, EC2R 7AE. CGWL is registered in England no. 03739694, CGFPL is registered in England no. 02762351. CGWPL is registered in England no 08284862.

Section 8 – Investment Manager notes

Investment Manager:

Extension:

Time:

Date:

Notes:

Canaccord Genuity Wealth Management (CGWM) is a trading name of Canaccord Genuity Wealth Limited (CGWL), Canaccord Genuity Financial Planning Limited (CGFPL) and CG Wealth Planning Limited (CGWPL). CGWL, CGFPL and CGWPL are authorised and regulated by the Financial Conduct Authority. CGWL, CGFPL and CGWPL are wholly owned subsidiaries of Canaccord Genuity Group Inc. and have their registered office at 41 Lothbury, London, EC2R 7AE. CGWL is registered in England no. 03739694, CGFPL is registered in England no. 02762351. CGWPL is registered in England no 08284862.

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Legal entity identifier (LEI) registrant authorisation

Individual entity



London Stock Exchange Plc

FAO: LEI Operations Department

4th Floor
10 Paternoster Square
London
EC4M 7LS
UK

Authorisation to apply for Legal Entity Identifier (LEI)

Dear Sirs,

The below named entity is authorised to apply for an LEI on our behalf, as well as maintain the related data (annual renewal), submit the corresponding declarations of intent in our name, and to take all necessary measures in this regard.

Requestor Entity name: CANACCORD GENUITY WEALTH MANAGEMENT

Requestor Entity address: 41 LOTHBURY, LONDON, EC2R 7AE

Requestor contact details

Full name: KEVIN NORMAN

Telephone: 0207 523 4595

Email: KEVIN.NORMAN@CANACCORD.COM

Regards

Authorising signature:

First name, last name (please print):

Organisation Name:

Email:

Telephone number:

Position within organisation

Director

Company Secretary

Compliance Officer

Treasurer

Other (please specify):

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Entity self-certification for FATCA and CRS

Section 1 – Identification of the Account Holder

The privacy of your data is important to us. For details of how your data will be processed, please refer to our privacy notice, which is available at: www.canaccordgenuity.com/wealth-management-uk/legal-and-regulatory-information/legal--regulatory-information-uk/

Legal name of Entity:

Country of incorporation or organisation:

Current residence address (do not use a P.O. Box or 'in care of' address):

Building:

Street:

City/Town:

State/Province:

Postal/Zip code:

Country:

Mailing address (if different from the current residence address):

Building:

Street:

City/Town:

State/Province:

Postal/Zip code:

Country:

Section 2 – Country of residence for tax purposes and related Taxpayer Identification Number or functional equivalent (TIN)

Please complete the following table indicating (i) the jurisdiction(s) where the Entity Account Holder is tax resident and (ii) the Entity Account Holder's TIN for each jurisdiction indicated. If the Entity Account Holder is not tax resident in any jurisdiction (e.g. because it is fiscally transparent), please indicate that on line 1 and provide its place of effective management or country in which its principal office is located. If the Entity Account Holder is tax resident in more than three countries please use a separate sheet.

Country of tax residence (of the Entity):

TIN:

Country of tax residence (of the Entity):

TIN:

Country of tax residence (of the Entity):

TIN:

If a TIN is unavailable please provide an explanation (for example, the country in which the entity is tax resident does not issue TINs):

Section 3 – Common Reporting Standard (CRS) Entity classification

Please provide the Account Holder's classification by ticking one of the following boxes.

Financial Institution – Investment Entity

An Investment Entity located in a **Non-Participating** Jurisdiction and managed by another Financial Institution
If ticking this box please also complete Section 5.

Other Investment Entity

Financial Institution – Depository Institution, Custodial Institution or Specified Insurance Company

Active NFE – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a Related Entity of such a corporation

Please provide the name of the established securities market on which the corporation is regularly traded:

If you are a Related Entity of a regularly traded corporation, please provide the name of the regularly traded corporation that the Entity in Section 1 is a Related Entity of:

Active NFE – a Government Entity or Central Bank

Active NFE – an International Organisation

Active NFE – other than above

Passive NFE

If the Entity is a Passive NFE, please also complete Section 5.

Section 5 – Identification of Controlling Persons

Controlling person information is required for the following entity types:

- Passive NFEs for CRS purposes
- Passive NFEs for FATCA purposes
- Investment Entities located in Non-Participating Jurisdiction for CRS purposes and managed by another Financial Institution

Please complete the table below for information regarding Controlling Person(s). In the table below, please indicate:

- the country where the Controlling Person/Owner is tax resident, i.e. where they are liable to pay tax (please provide full name of country and not an ISO code). If a Controlling Person is tax resident in more than one country please use a new line
- the Controlling Person/Owner’s TIN (or functional equivalent) for each country indicated
- the reason why a TIN is not available (as required). If a TIN is not available, please provide reason A, B or C where appropriate:
 - **Reason A** - The country where the Controlling Person/Owner is liable to pay tax does not issue TINs to its residents
 - **Reason B** - The Controlling Person/Owner is otherwise unable to obtain a TIN or equivalent number (please use the second table to explain why the Controlling Person/Owner is unable to obtain a TIN if you have selected this reason)
 - **Reason C** - No TIN is required (only select this reason if the authorities of the country of tax residence do not require the TIN to be disclosed)
- the Controlling Person/Owner’s date of birth
- please indicate the type of Controlling Person as per the following list:
 - **Type A** - Controlling Person of a legal person - **control by ownership**
 - **Type B** - Controlling Person of a legal person - **control by other means**
 - **Type C** - Controlling Person of a legal person - **senior managing official**
 - **Type D** - Controlling Person of a trust - **settlor**
 - **Type E** - Controlling Person of a trust - **trustee**
 - **Type F** - Controlling Person of a trust - **protector**
 - **Type G** - Controlling Person of a trust - **beneficiary**
 - **Type H** - Controlling Person of a trust - **other**
 - **Type I** - Controlling Person of a legal arrangement (non trust) - **settlor-equivalent**
 - **Type J** - Controlling Person of a legal arrangement (non trust) - **trustee-equivalent**
 - **Type K** - Controlling Person of a legal arrangement (non trust) - **protector-equivalent**
 - **Type L** - Controlling Person of a legal arrangement (non trust) - **beneficiary-equivalent**
 - **Type M** - Controlling Person of a legal arrangement (non trust) - **other-equivalent**

Name	Residential address	Country of tax residence (list all)	TIN (or functional equivalent) (provide all)	Reason TIN not available/ Country	Date of birth	Type of Controlling Person

Section 6 – Declarations and signature

I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with Canaccord Genuity Wealth Management. I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information with the country/ies in which this account(s) is/are maintained.

I certify that I am authorised to sign for the Account Holder in respect of all the account(s) to which this form relates.

I undertake to advise Canaccord Genuity Wealth Management of any change in circumstances which affects the tax residency status of the Account Holder identified in Section 1 of this form or causes the information contained herein to become incorrect or incomplete (including any changes to the information on controlling persons identified in Section 5, and to provide Canaccord Genuity Wealth Management with a suitably updated form within 30 days of such change in circumstances.

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

I certify that I am authorised to sign for the Account Holder in respect of all the account(s) to which this form relates.

Signature:

Print name:

Date:

Note: Please indicate the capacity in which you are signing the form (for example 'Authorised Officer'). If signing under a power of attorney please also attach a certified copy of the power of attorney.

Capacity:

Account executive confirmation

Reportable account

Signed:

Date:

For office use only

Account

Reportable

Not reportable

Payments

Reportable

Not reportable