

Account opening form

Inheritance tax portfolio service
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 – Personal information

(we will treat the first member as the lead unless advised otherwise)

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/

Personal details

First account holder

Title: Mr Mrs Ms Miss Dr
Other (please specify):

Surname:

Forename(s):

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

Date of birth:

Marital status: Single Married Divorced
Civil Partner Widow/widower

Place and country of birth:

Nationality/dual nationality:

Passport number:

Expiry date:

Country of issuance:

Are you a US citizen? Yes No

Second account holder

Title: Mr Mrs Ms Miss Dr
Other (please specify):

Surname:

Forename(s):

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

Date of birth:

Marital status: Single Married Divorced
Civil Partner Widow/widower

Place and country of birth:

Nationality/dual nationality:

Passport number:

Expiry date:

Country of issuance:

Are you a US citizen? Yes No

First account holder

Permanent residential address:

Postcode:

Email:

Telephone (home):

Telephone (work):

Telephone (mobile):

Second account holder

Permanent residential address:

Postcode:

Email:

Telephone (home):

Telephone (work):

Telephone (mobile):

Dependents

First account holder

Do you have any financial dependents? Yes No

If yes, please complete the following detail:

Anticipated date of independence:

Reason for dependency:

Anticipated date of independence:

Reason for dependency:

Second account holder

Do you have any financial dependents? Yes No

If yes, please complete the following detail:

Anticipated date of independence:

Reason for dependency:

Anticipated date of independence:

Reason for dependency:

Security questions to help protect your account

First account holder

Name of the road you grew up in:

Name of your first school:

Favourite colour:

Favourite holiday destination:

Make of your first car:

Name of your first pet:

Favourite actor, musician or artist:

Second account holder

Name of the road you grew up in:

Name of your first school:

Favourite colour:

Favourite holiday destination:

Make of your first car:

Name of your first pet:

Favourite actor, musician or artist:

Please note that we may also ask additional security questions regarding activity on your account.

If you work for a company which issues securities to the public (an 'Issuer') and you are involved in the management or oversight of that company (e.g. you are a senior manager, senior executive or director); you are able to make decisions which affect the future development and prospects of the company and you have regular access to inside information relating to the Issuer then you are likely to be considered a PDMR (which stands for 'person discharging managerial responsibilities'). If you are a PDMR we have to have a record of this fact.

Are you currently a PDMR or a close associate of a PDMR or are you otherwise connected to an issuer? Yes No

If so, please confirm the name of the issuer and the nature of your role or association:

Net worth

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

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 – Tax and employment details

First account holder

National insurance number:

Tax identification number (TIN):

Tax status:

Tax payer

Non tax payer

Marginal tax rate:

Additional higher

Higher

Basic

Nil

Capital gains tax status:

Liable

Exempt

Country of domicile for tax purposes:

Country of tax residency:

Additional country of tax residency:

Tax identification number (TIN):

Additional country of tax residency:

Tax identification number (TIN):

Additional country of tax residency:

Tax identification number (TIN):

Second account holder

National insurance number:

Tax identification number (TIN):

Tax status:

Tax payer

Non tax payer

Marginal tax rate:

Additional higher

Higher

Basic

Nil

Capital gains tax status:

Liable

Exempt

Country of domicile for tax purposes:

Country of tax residency:

Additional country of tax residency:

Tax identification number (TIN):

Additional country of tax residency:

Tax identification number (TIN):

Additional country of tax residency:

Tax identification number (TIN):

Capital Gains Tax

Our investment style is an active one. We believe that once an asset appears fully valued, CGT considerations should not prohibit a sale taking place. While we will consider the CGT implications of transactions and look to mitigate gains where possible, they should not be a constraint to investment management decisions. Therefore, bearing in mind the comparatively modest annual tax free allowance, it may prove both impractical and imprudent to keep gains within the nil rate band. If this is a view with which you disagree, please inform us.

Disagree

First account holder

Occupation:

Employer:

Job title:

Employer's name and address:

Postcode:

Type of business:

Second account holder

Occupation:

Employer:

Job title:

Employer's name and address:

Postcode:

Type of business:

Section 3 – Risk warning in respect of this service

Before completing this section you should read our Guide to Risk and Investment.

The Inheritance Tax Portfolio Service should be regarded as high risk as it exclusively invests in equity securities listed on the LSE's Alternative Investment Market (AIM). Portfolios are likely to have a significant exposure to small capitalisation stocks. By their nature small capitalisation stocks have more volatile prices and may have poor or no liquidity. The portfolio is therefore exposed to significant capital losses.

We are not providing a tax adviser service and independent professional advice should be obtained. The value of shares purchased and any income derived from them may go down as well as up and investors may not get back the full amount invested. Past performance is not necessarily a guide to future performance. AIM shares can be relatively illiquid and therefore may be difficult to deal in. It may also be difficult to obtain reliable information as to the value and the risks to which the shares may be exposed.

The Inheritance Tax Portfolio Service cannot guarantee that all Investments made will continue to qualify for relief from Inheritance Tax or if they do initially qualify that they will continue to do so. The current Inheritance Tax rules may change in the future. Tax treatment depends upon individual circumstances of each client and may be subject to change in the future.

The investments discussed in this document may not be suitable for all investors. Investors should make their own investment decisions based upon their own financial objectives and financial resources and, if in any doubt, should seek advice from an investment adviser.

Section 4 – 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.

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):

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

Section 5 – 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						
Copy correspondent 2						
Copy correspondent 3						
Copy correspondent 4						

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 6 – 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

How did you become aware of CGWM's services (for example, website, social media, recommendation from family/friend, ongoing business relationship, CGWM event, CGWM marketing, initiation from CGWM employee):

Section 7 – Financial adviser's details

If you require copy contracts, statements and valuations please complete section 6.

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 8 – 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 provided in a separate schedule.
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. I/We confirm that I/we can financially bear the associated risks consistent with my investment objectives.
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 are investing excess capital and understand the value will fluctuate.
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.

Financial adviser (insert name):

Signed:

Name (block capitals):

Date:

Signed:

Name (block capitals):

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 9 – Investment Manager notes

Investment Manager:

Extension:

Time:

Date:

Notes:

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Individual Savings Account (ISA)

Application and transfer form (stocks and shares/cash)

Title:

Full name:

Permanent residential address:

Postcode:

Date of birth:

If you have an existing Canaccord Genuity Wealth Management ISA, please provide the reference:

Do you have a National Insurance (NI) Number? Please tick one box: Yes No

If yes, please enter here:

You should be able to find your NI number on a payslip, form P45 or P60, a letter from the HM Revenue & Customs, a letter from the Department of Works and Pensions (DWP), or pension order book.

I apply to:

- open and subscribe to the Canaccord Genuity Wealth Management stocks and shares ISA for the tax year 20 / and each subsequent year until further notice. (Please do not delete 'each subsequent year' as this does not commit you to subscribe each year).
- transfer my existing ISA with the manager listed overleaf.

Income will normally be retained within the ISA. However, if you want it paid to your main account please tick here.

Administration fees will normally be taken from the ISA. However, if you want them to be paid from your main account please tick here.

I declare that:

- All subscriptions made, and to be made, belong to me; (delete if you will not be subscribing to this ISA)
- I am 18 years of age or over;
- I have not subscribed and will not subscribe more than the overall subscription limit in total to a cash ISA and a stocks and shares ISA in the same tax year;
- I have not subscribed and will not subscribe to another stocks and shares ISA in the same year that I subscribe to this stocks and shares ISA; (delete if you will not be subscribing to this ISA)
- I am resident and ordinarily resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform Canaccord Genuity Wealth Management if I cease to be so resident and ordinarily resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties; (delete if you are a non resident and are only transferring your ISA, you will not be able to subscribe to this ISA) and
- I accept the fees and charges set out in the Fees & Other Charges Schedule.

I authorise Canaccord Genuity Wealth Management:

- to hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash.
- to make on my behalf any claims to relief from tax in respect of ISA investments.

Information and instruction about the ISA to be transferred (to be completed by the ISA Investor)

Name of existing ISA Manager:

Address of existing ISA Manager:

Telephone number:

Account number of existing ISA to be transferred:

I wish to transfer my ISA indicated above to a plan managed by Canaccord Genuity Wealth Management, 41 Lothbury, London EC2R 7AE, 020 7523 4610 and have informed them of my wish to transfer and ask that you liaise with them regarding all aspects of the transfer and supply all information required to effect this.

1. This is a cash ISA.

Proceed immediately with the transfer

Serve the full notice period before this instruction can be processed

or

2. Please arrange the sale of my existing stocks and shares and transfer the cash to Canaccord Genuity Wealth Management.

or

3. Please advise Canaccord Genuity Wealth Management of the existing stocks and shares in my plan and confirm the transfer arrangements with them. Please sell any that you cannot re-register and pay the proceeds and existing cash to Canaccord Genuity Wealth Management.

I am aware that often Unit trusts and OEICS cannot be transferred.

I agree to the CGWL Terms of Business and Service Agreements.

I declare that this application form has been completed to the best of my knowledge and belief.

Signature:

Date:

If you are not signing as the owner of the ISA, please state the capacity in which you are signing below:

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