CANACCORD Genuity
Wealth Management

To us there are no foreign markets.™

Private Client Application form for the Discretionary Portfolio Service via a Financial Advisor

Insurance Company Bond

Part A to be completed by the Policyholder

Part B to be completed by the Insurance Company

Part C to be completed by the Financial Advisor

Once completed, please return to: Private Client Intermediary Team, Canaccord Genuity Wealth Management, 41 Lothbury, London, EC2R 7AE

Part A

The services we provide to you will be based upon the information in this application form. It is therefore important that you give us as much relevant detail as possible. By completing this form, you confirm that you have provided details of your investment objectives, risk tolerance and financial situation to your financial advisor and that you will notify your financial advisor in writing of any change. You confirm that you can financially bear the associated investment risks consistent with your investment objectives.

If you are unsure about this you should contact your financial advisor regarding the risks involved. The capital you ask us to invest should be capital that you are comfortable to invest in the stockmarket where the future value of your investment will fluctuate.

Section 1 – Information About the Bond

Name of Insurance Company: _____

Policyholder's details

First Policyholder

Surname: _____

Forename(s): _____

Title: _____

Date of birth: _____

Nationality: _____

Address: _____

_____

_____

Postcode: _____

Telephone (home): _____

Telephone (business): _____

Telephone (mobile): _____

Second Policyholder (if applicable)

Surname: _____

Forename(s): _____

Title: _____

Date of birth: _____

Nationality: _____

Address: _____

_____

_____

Postcode: _____

Telephone (home): _____

Telephone (business): _____

Telephone (mobile): _____

First Policyholder

E-mail: _____

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

____ Same as above

____ Address if different from above: _____

_____

_____

Postcode: _____

Second Policyholder **(if applicable)**

E-mail: _____

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

____ Same as above

____ Address if different from above: _____

_____

_____

Postcode: _____

Section 2 – Correspondence

If this section is not completed, correspondence will only be sent to the main account holder as indicated in section 1
Please indicate other addresses where the following should be forwarded.

First Addressee

i. Copy Contracts

Name: _____

E-mail: _____

ii. Copy Statements

Name: _____

E-mail: _____

Address: _____

_____

_____

Postcode: _____

iii. Copy Valuations

Name: _____

E-mail: _____

Address: _____

_____

_____

Postcode: _____

Second Addressee

i. Copy Contracts

Name: _____

E-mail: _____

ii. Copy Statements

Name: _____

E-mail: _____

Address: _____

_____

_____

Postcode: _____

iii. Copy Valuations

Name: _____

E-mail: _____

Address: _____

_____

_____

Postcode: _____

Section 3 – Service Section

Your financial advisor will assist you with selecting the service which is most suitable for you. Please tick one of the boxes below to indicate which service you wish to utilise:

Amount of money to be invested: £ _____

Please tick	Benchmark
____ Fixed Interest Portfolio	100% EFFAS* £3-7
____ Cash Plus Portfolio	UK Base Rate +2%
____ Income Portfolio	FTSE/APCIMS[2] Income
____ Cautious Balanced Portfolio	FTSE/APCIMS[2] Income
____ Balanced Portfolio	FTSE/APCIMS[2] Balanced
____ Growth Portfolio	FTSE/APCIMS[2] Growth
____ Aggressive Growth Portfolio	FTSE/APCIMS[2] Growth

*EFFAS - European Society of Financial Analysts Societies
[2]APCIMS - Association of Private Client Investment Managers and Stockbrokers

Capital Gains Tax

Whilst conscious of UK Capital Gains Tax and exemptions, Canaccord Genuity Wealth Management's policy is not to let it dictate investment strategy or decision-making. In view of this, capital gains in excess of the exemption may be incurred during the course of the management of the portfolio. If you have a different philosophy on investment and CGT of which you want us to be mindful please let your advisor know.

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 4 – Assent

These are standard terms upon which Canaccord Genuity Wealth Limited 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.

1. I/we have received, read and understood the Discretionary Portfolio Management Agreement, the Terms of Business, ISA and Junior ISA terms, Nominee and Safe Custody Services Agreement, where applicable, and confirm that I/we have read and agreed to such terms.

2. I/we accept the charges set out in the Schedule of Charges in respect of the services provided to me/us by Canaccord Genuity Wealth Limited.

3. I/we have provided details of all information necessary to assess the suitability of this investment for me to my/our financial advisor and will notify my/our financial advisor 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 / Multilateral Trading Facility (MTF); and

   b. Consent not to publish limit orders.

5. Where we are also Trustees of the Trust, I/we confirm that this Client Agreement and accompanying Schedules are also accepted on behalf of the Trust.

6. I/we confirm I/we have received a copy of, read and understood the Canaccord Genuity Wealth Management Guide to Risk and Investment.

7. I/we understand that my financial advisor listed below is providing me/us with financial advice and will charge me/us a fee, detailed in section 11, for that advice and I/we instruct and consent to Canaccord Genuity Wealth Limited facilitating the payment of such fee to my financial advisor from my account with you.

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 e-mail address in Section 1.

Financial advisor: (insert name) _____

Name: (Block Capitals) _____

Signed: _____

Date: _____

Name: (Block Capitals) _____

Signed: _____

Date: _____

Part B - To be completed by the Insurance Company

This service is provided to the Insurance Company for the assets of the bond subscribed by the Policyholder.

When investing money in the stockmarket, it should be appreciated that the value of investments and income generated will fluctuate.

Retail Classification

We shall treat this account as a Retail Customer for the purposes of the FCA rules.

Section 5 – Basic Information

Name of Insurance Company: _____

Registered office: _____

_____

_____

Registered number: _____

Authorised by: _____ Reference: _____

Name of contact: _____

Name of Policyholder(s) and any reference to be quoted: _____

_____

Address: _____

_____

_____

Postcode: _____

Contact details, if necessary: _____

Contact details

First contact

Name: _____

Telephone number: _____

Fax number: _____

E-mail: _____

Second contact

Name: _____

Telephone number: _____

Fax number: _____

E-mail: _____

Section 6 – Investment Objectives and Attitude to Risk

The Policyholder's Financial Advisor is responsible for assessing the suitability of the selected investment for the Policyholder.

The Policyholder has represented in Section 5 that he/she has provided all information necessary to assess the suitability of the investment to his/her Financial Advisor.

Section 7 – Correspondence

Valuations and other correspondence will only be sent to the address supplied in Part A Section 2.

Section 8 – Charges

Please see attached Schedule of Charges.

Section 9 – Additional Information, if any

_____

_____

_____

Section 10 – Assent

These are standard terms upon which Canaccord Genuity Wealth Limited 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.

1. I/we have received, read and understood the Discretionary Portfolio Management Agreement, the Terms of Business, ISA and Junior ISA terms, Nominee and Safe Custody Services Agreement, where applicable, and confirm that I/we have read and agreed to such terms and agree that they will apply from 31st January 2013.
2. I/we accept the charges set out in the Schedule of Charges in respect of the services provided to me/us by Canaccord Genuity Wealth Limited.
3. 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 / Multilateral Trading Facility (MTF); and
   b. Consent not to publish limit orders.
4. Where we are also Trustees of the Trust, I/we confirm that this Client Agreement and accompanying Schedules are also accepted on behalf of the Trust.
5. I/we confirm I/we have received a copy of, read and understood the Canaccord Genuity Wealth Management Guide to Risk and Investment.
6. I/we understand that the Policyholder's financial advisor listed below is providing the Policyholder with financial advice and will charge the Policyholder a fee, detailed in section 12, for that advice and I/we instruct and consent to Canaccord Genuity Wealth Limited facilitating the payment of such fee to the Policyholder's financial advisor from his/her account with you.

Financial advisor: (insert name) _____

Name: (Block Capitals) _____

Signed: _____

Date: _____

Name: (Block Capitals) _____

Signed: _____

Date: _____

Part C - To be completed by the financial advisor

Name of client: _____

Section 11 - Financial Advisor's Details

To be completed by your financial advisor.

If you require copy contracts, statements and valuations please complete section 2.

Financial Advisor's Name: _____

Financial Advisor's Address: _____

_____

_____

Postcode: _____

Financial Advisor's telephone number: _____

Initial advisor fee payable: _____

Ongoing advisor fee payable: _____

VAT Applicable:

____ Yes ____ No

I/We certify,

____ I/We confirm we have assessed the suitability of the service in accordance with the FCA rules and will notify Canaccord Genuity Wealth Management immediately if we make any change to the suitability assessment.

____ 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.

Introducers signature: _____

Date: _____

Introducer's Stamp:

Canaccord Genuity Wealth Limited is authorised and regulated by the Financial Conduct Authority, and is a wholly owned subsidiary of Canaccord Genuity Group Inc. Registered office: 41 Lothbury, London, EC2R 7AE. Registered in England & Wales no.03739694.