

PERSONAL FINANCIAL QUESTIONNAIRE

MANAGED ACCOUNTS – PRIVATE CLIENTS

Authorised and regulated by
the Financial Services Authority

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Registered in England No 2296619

PRIVATE CLIENT - PFQ

PERSONAL DETAILS

Applicant 1

Applicant 2

Prefix (Mr, Mrs, Miss, Ms)

Details (if other)

Surname

Forename name(s)

Date of birth

Marital status

Dependents (Number and Age)

Current address

Postcode

Own/Rent/Parental Home

Tel no - daytime

Tel no - evening

Mobile

Preferred contact method

Best contact time

Email

Benchmark currency

Investment Size

Margin Amount

Source of funds

Employment

Investment

Inheritance

Other (please specify)

Special instructions

EMPLOYMENT (FOR SELF-EMPLOYED SEE NEXT PAGE)

Applicant 1

Applicant 2

Occupation

Time with current employer

Employment type (Full/Part time)

Previous occupation if less than 1 year

Previous employment start date

 / /
 / /

Previous employment end date

 / /
 / /

Details of any current probation period

Employer's name

Employer's address

Postcode

Employer's phone number

Basic income (Gross)

Is bonus guaranteed?

Yes No

Yes No

Bonus History (last 3 years)

When is it paid?

Any other income?

Please give details:

PRIVATE CLIENT - PFQ
EMPLOYMENT (SELF-EMPLOYED)

Applicant 1

Applicant 2

Date business established	<input type="text"/>	<input type="text"/>
Nature of business	<input type="text"/>	<input type="text"/>
Company name	<input type="text"/>	<input type="text"/>
Address	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>
Postcode	<input type="text"/>	<input type="text"/>
Year end date	dd /mm /yy	dd /mm /yy
Percentage shareholding	<input type="text"/>	<input type="text"/>
PAYE income	£ <input type="text"/>	£ <input type="text"/>
Net profit - current year	£ <input type="text"/> Yr end	£ <input type="text"/> Yr end
Net profit - last year	£ <input type="text"/> Yr end	£ <input type="text"/> Yr end
Net profit - previous year	£ <input type="text"/> Yr end	£ <input type="text"/> Yr end
Any other income?	£ <input type="text"/>	£ <input type="text"/>

Please give details:

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ATTITUDE TO RISK

Trading in margined foreign exchange is inherently high risk. Bearing this in mind, please review and confirm your investment objectives:

I want to hedge against current and future market exposure.

I accept a moderately high degree of risk in order to secure a profit.

I have a very high profit expectation and accept an appropriately higher level of risk.

Please confirm that you understand and accept that you may lose in excess of any margin provided. Yes No

Can you afford to lose in excess of the margin provided without materially affecting your lifestyle? Yes No

INVESTMENT EXPERIENCE

	Number of years	Investment Size	Frequency
Shares and/or Bonds	<input type="text"/>	<input type="text"/>	<input type="text"/>
Exchange-traded derivatives (future, options, etc.)	<input type="text"/>	<input type="text"/>	<input type="text"/>
OTC derivatives (ForEx, CFDs, spread-betting, etc.)	<input type="text"/>	<input type="text"/>	<input type="text"/>

Relevant professional qualifications and/or education/experience of trading OTC derivatives on the financial sector:

ASSETS / LIABILITIES DETAILS (JOINT AS APPROPRIATE)

Assets	£	Liabilities	£
Principal residence	£	Mortgage(s) principal residence	£
Other property	£	Mortgage(s) other property	£
Quoted investments	£	Overdraft(s)/Loan(s)	£
Capital in business	£	Credit card(s)	£
Cash deposits	£	Other (please give details below)	£
Other (please give details below)	£		
Total	£	Total	£

Additional details:

DECLARATIONS

I/We declare by my/our signature(s):

- To have received, read and understood the product information material relating to the relevant product;
- To have received additional in-depth verbal information about the product and the inherent risks; and
- To have received satisfactory answers to all my/our questions regarding the terms, conditions and other issues relating to the managed account product.

Furthermore, I/we confirm:

- That the information provided by me/us and inserted in this form is correct; and
- That the investment amount has been chosen by me/us taking my/our financial circumstances into consideration and is by me/us considered appropriate under such circumstances,

Signature
(Applicant 1)

Signature
(Applicant 2)

Date

Date

NB: PLEASE NOTE THAT WE ARE UNABLE TO PROCESS YOUR APPLICATION UNLESS ALL QUESTIONS ARE ANSWERED

ADDITIONAL INFORMATION