



# ACCOUNT OPENING FORM

William Albert Securities Ltd. is required to take appropriate steps to ensure that we are aware of your financial position and investment objectives in order to assess the suitability of our advice. Please complete the form and sign and return to us.

## PERSONAL DETAILS

☐ Mr. ☐ Mrs. ☐ Miss.  Other

First Name:

Middle Name:

Last Name:

DOB:

Insurance No.:

(Please note that for a joint account another form will have to be filled in.)

Current Address:  Postcode:

Time at current address:  
Less than one year ☐ 1 to 3 Years ☐ More than 3 year ☐ (If less than 3 years please give your previous address)

Previous Address:  Postcode:

### Which form of communication would you prefer?

Mobile Number:  ☐ Preferred

Daytime Phone:  ☐ Preferred

Evening Phone:  ☐ Preferred

Email:  ☐ Preferred

### Marital Status:

☐ Single ☐ Married ☐ Living with partner ☐ Divorced ☐ Widowed

Number of dependents:

## EMPLOYMENT DETAILS

Employed ☐ Self-Employed ☐ Not working at present ☐ Retired ☐

### Please complete the following (Whether employed or self-employed)

Your Occupation:

Company Name:  Is it regulated by the FSA? ☐

City:

Postcode:

Country:

### How long have you been with your current employer / been self-employed?

Years  Months

## FINANCIAL DETAILS

### Please give details of your Principle Bankers:

Name of the bank:

Address:

Postcode:

Account No.:

IBAN No.:

Sort No.:

SWIFT No.:

### What is your gross annual income from all sources?

Less than £25,000 please state amount:

☐ £25,000 - £49,999 ☐ £50,000 - £99,999 ☐ £100,000 - £199,999

☐ £200,000 - £299,999 ☐ £300,000 - £499,999 ☐ Over £1,000,000

### What is the value of your liquid assets (excluding properties)?

☐ £0,000 - £99,999 ☐ £100,000 - £299,999 ☐ £300,000 - £499,999

☐ £500,000 - £749,999 ☐ £750,000 - £999,999 ☐ Over £1,000,000

Approximately how much of these funds are available for investing?

### Source of these funds?

☐ Employment ☐ Investment ☐ Inheritance

### Property Status

☐ I rent ☐ I own my own home ☐ I own several properties

## INVESTMENT EXPERIENCE

Please indicate which of the following types of investment you have previously traded, even if you do not intend to trade any of those investments with William Albert Securities Ltd. We are requesting this information to enable us to fulfill our obligations under the rules of the Financial Services Authority.

Types of Investments	No. of years traded	Avarage frequency of traders per quarter during the last year	Approx size / value of avarage deal
Shares	<input type="text"/>	<input type="checkbox"/> Less than 10 trades/quarter <input type="checkbox"/> More than 10 trades/quarter	<input type="text"/>
Financial Futures (Including index and equity futures)	<input type="text"/>	<input type="checkbox"/> Less than 10 trades/quarter <input type="checkbox"/> More than 10 trades/quarter	<input type="text"/>
Financial Options (Including index and equity futures)	<input type="text"/>	<input type="checkbox"/> Less than 10 trades/quarter <input type="checkbox"/> More than 10 trades/quarter	<input type="text"/>
Commodity Futures	<input type="text"/>	<input type="checkbox"/> Less than 10 trades/quarter <input type="checkbox"/> More than 10 trades/quarter	<input type="text"/>
Commodity Options	<input type="text"/>	<input type="checkbox"/> Less than 10 trades/quarter <input type="checkbox"/> More than 10 trades/quarter	<input type="text"/>
Contract for Difference (CFDs)	<input type="text"/>	<input type="checkbox"/> Less than 10 trades/quarter <input type="checkbox"/> More than 10 trades/quarter	<input type="text"/>
Spot and Foreign Exchange	<input type="text"/>	<input type="checkbox"/> Less than 10 trades/quarter <input type="checkbox"/> More than 10 trades/quarter	<input type="text"/>
Funds	<input type="text"/>	<input type="checkbox"/> Less than 10 trades/quarter <input type="checkbox"/> More than 10 trades/quarter	<input type="text"/>
Unit Trust	<input type="text"/>	<input type="checkbox"/> Less than 10 trades/quarter <input type="checkbox"/> More than 10 trades/quarter	<input type="text"/>
Bonds	<input type="text"/>	<input type="checkbox"/> Less than 10 trades/quarter <input type="checkbox"/> More than 10 trades/quarter	<input type="text"/>
Over the counter and other off-exchange contracts (including bullion)	<input type="text"/>	<input type="checkbox"/> Less than 10 trades/quarter <input type="checkbox"/> More than 10 trades/quarter	<input type="text"/>
Spread Betting	<input type="text"/>	<input type="checkbox"/> Less than 10 trades/quarter <input type="checkbox"/> More than 10 trades/quarter	<input type="text"/>

## INVESTMENT OBJECTIVE

Which of the following types of investment do you intend to trade?  
DO NOT PICK any investment that do not fit your risk profile.

### Type of investments:

☐ Equities ☐ CFDs ☐ Forex ☐ Futures ☐ Options ☐ ETFs

### What is the purpose of this trading account?

☐ Investment ☐ Hedging ☐ Speculation

Most of the derivative products traded by William Albert Securities Ltd. are by their nature high risk. With this in mind, please review and confirm that your investment objectives are appropriate.

☐ I accept a low risk in order to achieve a profit

☐ I have a medium profit expectation and i am willing to accept an appropriately risk.

☐ I have a high profit expectation and accept a high level of risk

Do you work, or have you worked, in the financial sector for at least one year in a position which requires knowledge of the transactions or services you have indicated? ☐ Yes ☐ No

Do you understand the nature and risks of margin trading? ☐ Yes ☐ No



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## DECLARATION

By signing below I declare and confirm the following:

- 1. I confirm that I have read and understood the risks of margin trading.
- 2. I confirm that all details given in this form are correct. I will inform you immediately in writing of any changes to the details contained herein.
- 3. I confirm that any funds remitted to William Albert Securities Ltd. will be funds which I am prepared to risk and can afford to lose.
- 4. I confirm that I have read and understood the Risk Warning notices enclosed in the application pack. I agree to be bound by any provision included in this form.

Signature

Print name

Date

By law we are required to confirm your identity, address & source of funds. Please provide us with the following documents:

- 1. Certificate copy of photo ID (passport or driving licence)
- 2. Copies of 2 utility bills (valid for the last 3 months). Please note that the address should be your current residential address.
- 3. Please note that mobile phone bills are not accepted.

We reserve the right to make additional enquiries in order to confirm each applicant's identity and in certain circumstances may decline an application. You should be aware that prices and values can go down as well as up and that their income can fluctuate. You may get back less than the original amount invested. Past performance is not necessarily indicative of future performance. Some investments carry a higher degree of risk than others, such as shares in smaller companies or funds invested in them. If you are in any doubt you should consult your investment adviser.

Account Executive Code

Where did you hear about us?

William Albert Securities Ltd. is registered with the Data Protection Act (PZ1508975). We may process information relating to you (including personal data defined under the Data Protection Act 1998) as well as hold such information in a manual format or electronic database in order to satisfy any contractual regulatory or statutory requirements we may have. Unless we receive specific written instructions to the contrary by providing this information you agree that we may process this information in order to fulfil such obligations. William Albert Securities Ltd. (FSA 230691) is authorised and regulated in the UK by the Financial Service Authority (FSA)

## REQUEST FOR PROFESSIONAL STATUS

### LOSS OF PROTECTION

Certain investment opportunities carry a higher degree of risk to your capital and can by law only be offered to customers who have told us that they wish to be treated as an Elective Professional Client.

If you meet the criteria then you can apply to be classified as a Professional Client by sending us a signed copy of the appropriate certificate. If we consider this an appropriate classification then we will update your account status and provide you access to more complex financial products.

It is strongly recommended that anyone interested in being classified as a Professional client should seek professional financial advice to ensure that they understand the additional risks involved before applying.

**An Elective Professional Client is a person to whom the following definition applies.**

**I can confirm that I satisfy two of the following criteria:**

- 1. I have carried out transactions, in significant size, in a relevant UK market/s at an average frequency of 10 per quarter over the previous four quarters.
- 2. I work or have worked in the financial sector for at least one year in a professional position.
- 3. My financial instrument portfolio, defined as including cash deposits and financial instruments exceeds EUR 500,000.

Classification as a Professional Client will mean that you will be able to receive financial promotions that may not have been approved by a person authorised by the Financial Services Authority and the content of such financial promotions may not confirm to rules issued by the Financial Services Authority. As a Professional Client you should be in a position to understand and make a proper evaluation of the risks involved in investing in such promotions.

**Important Note:** Professional Clients are afforded less protections under the regulations than retail clients. Please note that professional clients have the right to complain to the Financial Services Authority, however they may not have the right to seek compensation from the Financial Services compensation Scheme.

### Client Classification

Thank you for your communication confirming that you wish William Albert Securities Ltd. to classify you as a Professional Client. We have, on the basis of the information you provided, concluded that you meet the requirements to be treated as an Elective Professional Client.

Under the rules of FSA we are required to set out details of the protection that you will lose by virtue of this categorisation and to seek your written consent to be categorised as an Elective Professional Client. By being categorised as an Elective Professional Client you will lose the protections of the rules which only apply to retail clients.

In particular you should note that rules relating to the following areas do not apply, or only partially apply to Elective Professional Clients:

- 1. Communicating with clients, including financial promotions**

As an Elective Professional Client the way in which we communicate with you may be different to the way in which we would communicate with a retail client. However, we must still ensure that our communications with you are fair, clear and not misleading.
- 2. Information about firm, its services and remuneration**

There are specific pieces of information about the firm, our services and remuneration that we must provide to retail clients. We are obliged to provide information on these areas to all clients but the level of detail, medium and timing of the provision is less specific for those clients that are not retail clients.
- 3. Suitability**

When making personal recommendations to you, we are entitled to assume that in relation to the products, transactions and services for which you are classified as an Elective Professional Client, you have the necessary level of experience and knowledge to understand the risks involved in the transaction or in the management of your portfolio.
- 4. Appropriateness**

For transactions where we do not provide you with a personal recommendation (e.g. an execution only trade) we may be required to assess whether the transaction is appropriate for you. In these instances we are entitled to assume that in relation to the products, transaction and services for which you are classified as an Elective Professional Client you have the necessary level of experience and knowledge to understand the risks involved in the transaction.
- 5. Dealing**

When providing best execution to you as an Elective Professional Client, price is likely to be of high relative importance. However we are not obliged to determine the best possible result in terms of the total consideration, representing the price of the financial instrument and the costs related to execution, although this will get commissions and costs relating to each of the eligible execution venues when assessing which to use in order to provide best execution.
- 6. Reporting information to clients**

When providing confirmation that we have carried out your order, the time frame we have to do so is greater than if you were a retail client.
- 7. Financial Ombudsman service**

You should note that the services of the Financial Ombudsman Service may not be available to you as an Elective Professional Client. It should be noted that you have the right to request a different client classification and are responsible for keeping William Albert Securities Ltd. informed about any change that could affect your categorisation as an Elective Professional Client.

Please complete the relevant section of the enclosed document confirming that you understand and accept the loss of protection afforded to retail clients as noted above in points 1 to 7.



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## DECLARATION

To  
The Compliance Officer  
William Albert Securities Limited

I have read and agree to the contents of your letter and in particular, points 1 to 7. I am aware that being treated as an Elective Professional Client affords less investor protection than being treated as a retail client.  
I agree to keep William Albert Securities Ltd. informed of any changes in my circumstances that could affect my categorisation as an Elective Professional Client.  
**I can confirm that I satisfy two of the following criteria** (please indicate which statements apply to you by ticking the box)

- ☐ I have carried out transaction in significant size, in a relevant UK market/s at an average frequency of 10 per quarter over the previous four quarters.
- ☐ I work or have worked in the financial sector for at least one year in a professional position.
- ☐ My financial instrument portfolio defined as including cash deposit and financial instruments exceeds EUR 500,000.

I accept that I can lose assets from making investment decisions based on financial promotions and am aware that it is up to me to seek advice from an investment adviser authorised under the financial Services and Markets Act 2000 if I am in any doubt about the suitability of an investment.

Client name:

Signature

Date

William Albert Securities Ltd. is authorised and regulated by the Financial Services Authority (FSA) 230691