

A background image showing a man with long dark hair and a beard, smiling and leaning over a swimming pool. The pool is outdoors, with a modern building and a sunset sky in the background.

INDIVIDUAL & JOINT ACCOUNTS APPLICATION FORM

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Shard Capital Partners LLP is authorised and regulated by the Financial Conduct Authority in the United Kingdom (Reference Number: 538762). Shard Capital Partners LLP has its registered office at 36-38 Cornhill, London, EC3V 3NG, United Kingdom.

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INTRODUCTION

Please read carefully

This document is designed to enable you to provide Shard Capital Partners LLP ("Shard Capital") with important information about you. The information contained in this document will be relied upon to establish an individual or joint account (as applicable) and therefore we require you to complete and sign this document in full. It is important that you provide as much relevant detail as possible and check the information that is included in this document with your relationship manager to ensure that you have understood it correctly.

Shard Capital will review all the information you provide. Once we are satisfied we possess all the information we need to comply with our legal and regulatory requirements, we will be able to provide our services to you. Any gaps in the information provided may result in Shard Capital being unable to offer its services to you.

Your privacy and your information are important to us. For details of how we manage and process your information, please refer to our Privacy Policy which is made available, and updated from time to time, on our website: shardcapital.com

This form should be completed by the main applicant intending to operate the account and, where applicable, the second applicant for the account. Any references to "I", "we", "you" or "your" in this document refer to you, the applicant. Before completing this form, please ensure that you have obtained and read all the information regarding the products and services provided by Shard Capital and all relevant terms and policies made available, and updated from time to time, on our website: shardcapital.com.

Once completed, this form and any accompanying documentation (detailed in Appendix II) should be sent to our business address (see front cover) or scanned and emailed to your contact at Shard Capital.

PART 1 – FIRST APPLICANT PERSONAL INFORMATION

This section is to be completed by the sole applicant of an individual account or the first applicant of a joint account.

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

Forename(s).....

Surname.....

Previous Name(s)

Date of Birth

Town and Country of Birth.....

Nationality (if you hold dual nationality, please provide both)

National Client Identifier (please refer to Appendix IV)

Please provide information of the countries which you are resident or a citizen of for tax purposes:

Country	Tax Resident (Y/N)	Citizen (Y/N)	Tax Identification Number
1.			
2.			
3.			

Permanent Residential Address.....

.....

.....

Postcode

Correspondence Address (if different from above)

.....

Postcode

Email address

Telephone number

Mobile number.....

You will receive electronic correspondence at the email address given above.

Individual & Joint Accounts

Application Form



Occupation (former occupation if retired)

Job Title.....

Employer's Name (if applicable)

Employer's Address (If applicable)

.....

Postcode

Nature of Business

Please provide details of any present or previous company directorships:

Role	Company	Dates

Do you have any financial dependents? ☐ Yes ☐ No

If yes, please provide the following details:

Name	Date of Birth	Reason for dependency (e.g. minor)
1.		
2.		
3.		
4.		

PART 2 – SECOND APPLICANT PERSONAL INFORMATION

This section is to be completed by the second applicant of a joint account.

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

Forename(s)

Surname

Previous Name(s)

Date of Birth

Town and Country of Birth

Nationality (if you hold dual nationality, please provide both)

National Client Identifier (please refer to Appendix IV)

Please provide information of the countries which you are resident or a citizen of for tax purposes:

Country	Tax Resident (Y/N)	Citizen (Y/N)	Tax Identification Number
1.			
2.			
3.			

Permanent Residential Address

.....

Postcode

Correspondence Address (if different from above)

.....

Postcode

Email address

Telephone number

Mobile number

You will receive electronic correspondence at the email address given above.

Individual & Joint Accounts

Application Form



Occupation (former occupation if retired)

Job Title

Employer's Name (if applicable)

Employer's Address (if applicable)

.....

Postcode

Nature of Business

Please provide details of any present or previous company directorships:

Role	Company	Dates

Do you have any financial dependents? ☐ Yes ☐ No

If yes, please provide the following details:

Name	Date of Birth	Reason for dependency (e.g. minor)
1.		
2.		
3.		
4.		

PART 3 – SOURCE OF WEALTH / SOURCE OF FUNDS

SOURCE OF WEALTH

Source of Wealth refers to the origin of your total net wealth or total assets, including how the wealth was generated. For example, the Source of Wealth can refer to the sale of a business asset or rental income. Please answer for all applicants and please tick all that apply:

Please Tick	Type	Details	Value
☐	Employment <i>Please provide details of your occupation and the nature of the business.</i>		
☐	Savings & Investment <i>Please provide details of how these were accumulated.</i>		
☐	Inheritance <i>Please provide the full name of the deceased, their relationship to you and their primary source of wealth.</i>		
☐	Gift <i>Please provide the full name of the donor, their relationship to you and their primary source of wealth.</i>		
☐	Sale of Property <i>Please provide details of the property sold, including its address and date sold.</i>		
☐	Sale of Business <i>Please provide details of the business sold, including the name of the business, the nature of its activities and the countries in which it operated.</i>		
☐	Other <i>If your Source of Wealth is 'other', please provide further details.</i>		

SOURCE OF FUNDS

Source of Funds refers to where the money being used to fund the account is currently held. For example, the name and location of a bank account.

Please provide details of where the funds are currently held, including the amount to be invested in the account:

.....

.....

.....

PART 4 – POLITICALLY EXPOSED PERSONS

Please confirm if you are, or the second applicant (if applicable) is, a Politically Exposed Person * (PEP)?

** A PEP is an individual who has been entrusted with a prominent public function. Examples include, but are not limited to, a head of state or minister, a member of parliament, members of governing bodies of political parties, members of supreme or constitutional courts, ambassadors or high-ranking officers in the armed forces.*

☐ Yes ☐ No

If the answer to the above is yes, please provide further details:

.....
.....

Please confirm if you have, or the second applicant (if applicable) has, a Relative * or Close Associate ** who is a Politically Exposed Person?

** Relative includes: a spouse, partner, child and their spouse or partner and their parents.*

*** Close Associate includes: any individual who is known to have joint beneficial ownership of a legal entity or legal arrangement, or any other close business relationship.*

☐ Yes ☐ No

If the answer to the above is yes, please provide further details:

.....
.....

PART 5 – SERVICE TYPE

Please specify which type of service you require:

WEALTH MANAGEMENT:

Please tick	Investment Service	Description
☐	Discretionary	We act and make all investment decisions to manage your investment strategy on your behalf
☐	Advisory	We advise you on your investment decisions, but you make the final decisions on your investment strategy
☐	Execution Only	You have full control over your investment strategy and all decision making

CUSTODY & DEALING:

Please tick	Service	Description
☐	Custody & Dealing	We shall safekeep your securities across our network of agent and sub-custodians, provide execution and ancillary services

PART 6 – ACCOUNT ADMINISTRATION AND REPORTING

ACCOUNT NAME

.....

ACCOUNT SET UP

What is the base currency for this account?

- ☐ GBP
 ☐ EUR
 ☐ USD
 ☐ Other (please specify):

CAPITAL AND INCOME ACCOUNT

As part of the standard account set up, we will maintain separate capital and income accounts for you. If you would like to have one account for your capital (proceeds from sales) and income (dividends and/or interest), please tick this box: ☐

FEES AND CHARGES

Our Annual Management Charge (Wealth Management) or Assets Under Administration Fee (Custody & Dealing), where levied, will be debited from your capital account. If you wish for this to be debited from your income account, please tick this box: ☐

ONLINE REPORTING

We offer online access to view your account at any time. If you would like online access, please tick this box: ☐

VALUATION REPORTS

All relevant valuation reports will be made available via our online portal. If you would also like hard copies to be mailed to your and, if applicable, the second applicant's correspondence address, please tick this box: ☐

Please indicate the preferred frequency of valuation reports: ☐ Monthly basis ☐ Quarterly basis

CONTRACT NOTES

All relevant Contract Notes will be made available via our online portal. If you would also like hard copies to be mailed to your and, if applicable, the second applicant's correspondence address, please tick this box: ☐

THIRD PARTY AUTHORITY

If you would like Shard Capital to accept instructions on the account from a third party, please tick this box: ☐

If you have ticked the above box, you will need to complete a "Limited Power of Attorney" form which will be provided on request.

THIRD PARTY INFORMATION

If you would like Shard Capital to provide certain information on the account to a third party, please tick this box: ☐

If you have ticked the above box, please provide the relevant contact information in Appendix III.

PART 7 – BANK ACCOUNT INFORMATION

NOMINATED BANK ACCOUNT

Please provide details of your nominated bank account.

Please note that payments will only be made to and accepted from your nominated bank account detailed below and that a certified copy of a bank statement will be required. For joint accounts, a certified copy of a bank statement for one individual to the account will be required.

Account Name

Account Currency

Bank Name

Bank Address

Sort Code

Account Number

IBAN Number

BIC / ABA Number (if available)

PART 8 – DECLARATIONS

By signing under Part 9 (Signatures), the following declarations apply:

1. I/We have read and understood the nature and the risk of the product(s) that I/we intend to invest in through this account.
2. I/We act in my/our name(s) as specified on this application form and not on behalf of another party in respect of all matters related to this account. Accordingly, all funds to be deposited and transacted on the account are my/our own funds.
3. I/We am/are not aware of any health or other conditions that I/we may have that might affect the proper operation of the account.
4. I/We have provided true, accurate and complete information and undertake to update Shard Capital of any changes to the information provided without delay.
5. I/We accept that in certain circumstances Shard Capital will be obliged to share information with UK tax authorities, who may pass it on to other tax authorities.
6. I/We have received, read and understood the following:

- a) Shard Capital Partners LLP Business Terms and Conditions (including the product risks disclosure)
- b) Supplemental Business Terms & Conditions for Wealth Management and Custody and Dealing Clients
- c) Conflict of Interest Policy
- d) Schedule of Charges

7. I/We have obtained the Order Execution Policies for:

- a) Third Platform Services Ltd (website link: <http://thirdfin.com/documents/>)
- b) Shard Capital Partners LLP (website link: <https://www.shardcapital.com/documents/>)

8. I/We consent to the Order Execution Policies and for any orders to be executed outside a regulated market or a multilateral trading facility.

9. I/We consent for any unexecuted limit orders not to be made public.

10. I/We accept and agree to be bound by the terms provided above and consent to such terms and information including future updates to these be provided to me/us by way of posting on the websites indicated above.

EXPRESS CONSENT FOR RECEIVING INFORMATION ELECTRONICALLY

We are required by regulation to obtain your express consent to provide you with information in an electronic, durable medium that is not paper. For example, by email.

If you do not consent to us providing you with information electronically, we will be unable to offer you an account. For the avoidance of doubt, by consenting to receiving information via electronic means, you remain entitled to provide us with specific requests for information via a reasonable alternative form of durable medium.

I/We hereby consent to receive information from Shard Capital via email, PDF document or by any other durable medium that is not paper

I/We hereby consent to receive information not personally addressed to me/us via the websites that you provide me/us notice of

I/We Accept (please tick this box): ☐

DATA PROTECTION

Your data will be processed in line with the Shard Capital Privacy Notice which can be found at:

<https://www.shardcapital.com/privacy-notice/>

MARKETING COMMUNICATION

We offer company news and market commentary which is emailed to your contact email address detailed in Part 1. If you would like to receive this, please tick this box: ☐

PART 9 – SIGNATURES

FIRST APPLICANT'S NAME AND SIGNATURE

Full Name

Signature

Date

SECOND APPLICANT'S NAME AND SIGNATURE (IF APPLICABLE)

Full Name

Signature

Date

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APPENDIX I – ADDITIONAL NOTES

APPENDIX II - ACCOMPANYING DOCUMENTATION

Please provide certified copies of the following in respect of each applicant:

- ☐ Passport or other government issued identification
- ☐ Proof of address (e.g. utility bill) which is no more than 3 months old
- ☐ Evidence of Source of Wealth. This may include:

Employment Income

- Most recent payslip
- Annual salary and bonuses (if applicable) across the previous three years
- If self-employed, latest accounts or tax declaration

Savings

- Bank statement
- Documentation illustrating the source of the savings

Property Sale

- Contract of sale
- Title deed from Land Registry

Sale of Shares and Other Investments

- Contract of sale
- Details of sale mechanism (for example, name of exchange)
- Statement of account from agent
- Transaction receipt/confirmation
- Shareholder certificate

Company Sale

- Contract of sale
- Details of nature of business

Company Profits/Dividends

- Latest audited financial statements
- Latest management accounts
- Approval from board of directors
- Dividend distribution confirmation
- Tax declaration form

Loan

- Loan agreement
- Debenture or any other security documentation

- ☐ Evidence of Source of Funds. This may include:

Bank statements

Deed of gift

GUIDANCE ON “CERTIFICATION” REQUIREMENTS

Copies of the above listed documents must be independently certified by a lawyer, bank manager or notary public, and contain both the date on which they were certified and the following wording: “certified as a true copy”. Additionally, the certification should provide the full name, signature, official stamp, business address and telephone number of the individual certifying the document(s).

It may be necessary for us to request further documentation and information in order to complete the due diligence process.

APPENDIX III – THIRD PARTY INFORMATION

THIRD PARTY INFORMATION – INDIVIDUAL

If you would like Shard Capital to provide information regarding the account to a third-party individual, please provide the relevant details of the person below.

Title: ☐ Mr ☐ Mrs ☐ Ms ☐ Miss ☐ Dr ☐ Other

Forename(s)

Surname

Residential Address

..... Postcode.....

Email address

Telephone number Mobile number

Please detail what correspondence you wish to be provided to the third party:

☐ Valuations
 ☐ Contract Notes
 ☐ Consolidated Tax Reports
☐ Statements
 ☐ Online Access
 ☐ Other (please specify)

THIRD PARTY INFORMATION - COMPANY

If you would like Shard Capital to provide information regarding the account to a third-party company, please provide the relevant details of the company below.

Company Name

Contact Address:

Postcode

Title ☐ Mr ☐ Mrs ☐ Ms ☐ Miss ☐ Dr ☐ Other

Contact - Forename(s)

Contact - Surname

Position/Role within Company

Contact email address

Contact telephone number Contact mobile number

Please detail the role of the third party:

- ☐ Lawyer
- ☐ Financial Advisor
- ☐ Other (please specify)
- ☐ Accountant
- ☐ Trustee

Please detail what correspondence you wish to be provided to the third party:

- ☐ Valuations
- ☐ Contract Notes
- ☐ Consolidated Tax Reports
- ☐ Statements
- ☐ Online Access
- ☐ Other (please specify)

APPENDIX IV - NATIONAL CLIENT IDENTIFIER

To fulfil our obligations under the Markets in Financial Instruments Directive (MiFID II), we are required to confirm your nationality and National Client Identifier (NCI). Your NCI will depend on your nationality; by way of example, for UK nationals, the NCI is the National Insurance Number. Please refer to the table below to determine the appropriate NCI.

IT IS IMPORTANT THAT YOU PROVIDE THIS INFORMATION. WITHOUT IT, YOU WILL BE UNABLE TO TRADE.

Nationality	National Client Identifier
United Kingdom	UK National Insurance Number
Belgium	Belgian National Number (Numéro de registre national - Rijksregisternummer)
Bulgaria	Bulgarian Personal Number
Croatia	Personal Identification Number (OIB - Osobni identifikacijski broj)
Czech Republic	National Identification Number (Rodné číslo)
Denmark	Personal Identity Code (10 digits alphanumerical: DDMMYYXXXX)
Estonia	Estonian Personal Identification Code (Isikukood)
Finland	Personal Identity Code
Iceland	Personal Identity Code
Italy	Fiscal Code (Codice fiscale)
Latvia	Personal Code (Personas kods)
Lithuania	Personal Code (Asmens kodas)
Malta	National Identification Number
Norway	11 Digit Personal ID (Foedselsnummer)
Poland	National Identification Number (PESEL)
Portugal	Tax Number (Número de Identificação Fiscal)
Romania	National Identification Number (Cod Numeric Personal)
Sweden	Personal Identity Number
Slovenia	Personal Identification Number (EMŠO: Enotna Matična Številka Občana)
Slovakia	Personal Number (Rodné číslo)
Spain	Tax Identification Number (Código de - fiscal)
All other countries	National Passport Number