Account Opening Form (Platform)

7IM

PLEASE PRINT CLEARLY IN BLOCK CAPITALS AND COMPLETE ALL APPLICABLE SECTIONS OF THIS FORM.

For personal clients opening an Individual, ISA or a Joint Account.

Section 01 Account selection

Please open the following account(s) (tick **all** that apply):

	Individual Account	ISA Account
Applicant One	☐	☐
Applicant Two	☐	☐

Investment Account

Joint Account ☐ (Please note that joint accounts are not available for US clients)

Section 02 Individual details

Applicant One

If you have an existing 7IM personal account, please provide your account number below and move to **Tax Residency**.

☐☐☐☐☐☐☐☐☐☐☐

Title:

First Name(s):

Surname:

Date of Birth (DD/MM/YYYY):

☐☐/☐☐/☐☐☐☐

National Insurance Number:

☐☐/☐☐☐☐☐☐/☐

Nationality:

Permanent Residential Address (please note we cannot accept a PO Box number or a care of (C/O) address):

City:

Applicant Two

If you have an existing 7IM personal account, please provide your account number below and move to **Tax Residency**.

☐☐☐☐☐☐☐☐☐☐☐

Title:

First Name(s):

Surname:

Date of Birth (DD/MM/YYYY):

☐☐/☐☐/☐☐☐☐

National Insurance Number:

☐☐/☐☐☐☐☐☐/☐

Nationality:

Permanent Residential Address (please note we cannot accept a PO Box number or a care of (C/O) address):

City:

County (or country if not UK):

Postcode:

When did you move to this address?

/ /

Email:

Telephone Number:

If you would like correspondence to be sent to a different address, please show here:

City:

County (or country if not UK):

Postcode:

Tax Residency

Are you a US Citizen? Yes No

If you are or become a US citizen or otherwise subject to US tax on non-US income and gains, we will require you to complete an IRS W-9 Form and a supplementary declaration.

Please list all countries in which you are currently resident for tax purposes and the associated Tax Identification Number (TIN) for that jurisidiction. A UK tax resident for example, should provide a UK National Insurance Number or Unique Taxpayer Reference (UTR).

Countries of Tax Residence	Tax Identification Number

County (or country if not UK):

Postcode:

When did you move to this address?

/ /

Email:

Telephone Number:

If you would like correspondence to be sent to a different address, please show here:

City:

County (or country if not UK):

Postcode:

Tax Residency

Are you a US Citizen? Yes No

If you are or become a US citizen or otherwise subject to US tax on non-US income and gains, we will require you to complete an IRS W-9 Form and a supplementary declaration.

Please list all countries in which you are currently resident for tax purposes and the associated Tax Identification Number (TIN) for that jurisidiction. A UK tax resident for example, should provide a UK National Insurance Number or Unique Taxpayer Reference (UTR).

Countries of Tax Residence	Tax Identification Number

If a TIN is not available please select **one** of the following reasons:

- [ ] The country where you are liable to pay tax does not issue TINs to its residents.
- [ ] No TIN is required. (Note only select this reason if the authorities of your country of tax residence do not require the TIN to be disclosed).
- [ ] You are otherwise unable to obtain a TIN or equivalent number. Please explain why you are unable to obtain a TIN in the box below:

UK legislation requires us to collect information about your tax residency. In certain circumstances (including if we do not receive a valid Self-Certification from you) we may be obliged to share information on your account with HMRC who may in turn share this information with tax authorities of other jurisdictions. If you have any questions about your tax residency, please contact your tax adviser.

If a TIN is not available please select **one** of the following reasons:

- [ ] The country where you are liable to pay tax does not issue TINs to its residents.
- [ ] No TIN is required. (Note only select this reason if the authorities of your country of tax residence do not require the TIN to be disclosed).
- [ ] You are otherwise unable to obtain a TIN or equivalent number. Please explain why you are unable to obtain a TIN in the box below:

UK legislation requires us to collect information about your tax residency. In certain circumstances (including if we do not receive a valid Self-Certification from you) we may be obliged to share information on your account with HMRC who may in turn share this information with tax authorities of other jurisdictions. If you have any questions about your tax residency, please contact your tax adviser.

Section 03 Bank details

Applicant One

All payments will be made directly to this account. **Please note we are not able to open an account without a bank account in your name. Where possible, we will carry out an electronic check of the bank details you have provided. Where we are unable to verify your account electronically, we will contact you and request further verification.**

Bank:

Account Name:

Sort Code: __ __ / __ __ / __ __

Account Number:

Account Reference / Roll Number (if applicable):

Applicant Two

All payments will be made directly to this account. **Please note we are not able to open an account without a bank account in your name. Where possible, we will carry out an electronic check of the bank details you have provided. Where we are unable to verify your account electronically, we will contact you and request further verification.**

Bank:

Account Name:

Sort Code: __ __ / __ __ / __ __

Account Number:

Account Reference / Roll Number (if applicable):

Joint

All payments will be made directly to this account. **Please note we are not able to open an account without a bank account in your name(s). Where possible, we will carry out an electronic check of the bank details you have provided. Where we are unable to verify your account electronically, we will contact you and request further verification.**

Bank:

Account Name:

Sort Code: ☐☐ / ☐☐ / ☐☐ Account Number: ☐☐☐☐☐☐☐☐

Account Reference / Roll Number (if applicable):

Section 04 Dividends and income

Payments will normally be made on the first working day of the month.
Please note if there are insufficient funds in the account the payment will not be made.

Applicant One

What would you like us to do with the income from your investments?

☐ Retain in main account

☐ Retain in a separate account

☐ Pay out all income **OR** £

Please specify frequency:

Monthly / Quarterly / Half Yearly / Annually

Applicant Two

What would you like us to do with the income from your investments?

☐ Retain in main account

☐ Retain in a separate account

☐ Pay out all income **OR** £

Please specify frequency:

Monthly / Quarterly / Half Yearly / Annually

ISA ONLY

What would you like us to do with the income from your investments?

☐ Retain in main account

☐ Retain in a separate account

☐ Pay out all income OR £

Please specify frequency:

Monthly / Quarterly / Half Yearly / Annually

ISA ONLY

What would you like us to do with the income from your investments?

☐ Retain in main account

☐ Retain in a separate account

☐ Pay out all income OR £

Please specify frequency:

Monthly / Quarterly / Half Yearly / Annually

Joint

What would you like us to do with the income from your investments?

☐ Retain in main account

☐ Retain in a separate account

☐ Pay out all income **OR** £ ____________

Please specify frequency: Monthly / Quarterly / Half Yearly / Annually

Section 05 Financial Adviser details

You confirm that you have appointed the following Financial Adviser to act on your behalf under a separate agreement.

Firm:

Full name and title of contact at Financial Adviser:

Section 06 Your Financial Adviser relationship

Please tell us the basis on which your Financial Adviser will be acting:

☐ **Advisory** Your Financial Adviser will seek your approval to make investment decisions.
Contract notes will be available to view online.
If you would also like copies posted to you, please tick here ☐

☐ **Discretionary** You have authorised your Financial Adviser to make investment decisions on your behalf.
Contract notes will be available to view online.

Section 07 Fees & charges

A. 7IM fees

Please refer to the Fees and Charges information made available to you.

B. Financial Adviser charges

By signing this form, you:

- confirm that you have discussed and agreed with your Financial Adviser each of the charges set out below;
- instruct 7IM to deduct the charges from your account(s) and to pay the amounts deducted to your Financial Adviser or as they otherwise instruct. In making these payments 7IM will be acting as the agent of your Financial Adviser;
- authorise 7IM to accept any instruction from your Financial Adviser as to which portfolio or account to first deduct fees and charges from; and
- agree that unless and until 7IM receives written notice from you to amend or cancel the instructions given below, 7IM will continue to make payments to your Financial Adviser as set out in this form.

Applicant One

Initial fees

You agree to your Financial Adviser receiving an initial fee of:

	Individual Account(s)	ISA Account(s)[1]
Percentage Value	%	%
	of all new contributions (excluding regular contributions by direct debit).	
OR Fixed Value	£	£

[1]Percentage value fees apply to ISA transfers only.

Ongoing fees

You agree to your Financial Adviser receiving ongoing fees in recognition of an ongoing service of:

	Individual Account(s)	ISA Account(s)
Percentage Value	% per annum	% per annum
	of the portfolio value*.	
OR Fixed Value	£ per annum	£ per annum

*Calculated using average daily portfolio values.

Collection of 7IM and ongoing Financial Adviser fees

Fees will be collected from the account being opened, where cash is available. If you would prefer us to first look to deduct fees from elsewhere, please indicate this below:

	Individual Account	Joint Account
Individual Account(s)		☐
ISA Account(s)	☐	☐

Applicant Two

Initial fees

You agree to your Financial Adviser receiving an initial fee of:

	Individual Account(s)	ISA Account(s)[1]
Percentage Value	%	%
	of all new contributions (excluding regular contributions by direct debit).	
OR Fixed Value	£	£

[1]Percentage value fees apply to ISA transfers only.

Ongoing fees

You agree to your Financial Adviser receiving ongoing fees in recognition of an ongoing service of:

	Individual Account(s)	ISA Account(s)
Percentage Value	% per annum	% per annum
	of the portfolio value*.	
OR Fixed Value	£ per annum	£ per annum

*Calculated using average daily portfolio values.

Collection of 7IM and ongoing Financial Adviser fees

Fees will be collected from the account being opened, where cash is available. If you would prefer us to first look to deduct fees from elsewhere, please indicate this below:

	Individual Account	Joint Account
Individual Account(s)		☐
ISA Account(s)	☐	☐

Joint

Initial fees

You agree to your Financial Adviser receiving an initial fee of:

Percentage Value	%	OR Fixed Value	£
	of all new contributions (excluding regular contributions by direct debit).		

Ongoing fees

You agree to your Financial Adviser receiving ongoing fees in recognition of an ongoing service of:

Percentage Value	% per annum	OR Fixed Value	£ per annum
	of the portfolio value*.		

*Calculated using average daily portfolio values.

C. Family Fee Group

Close family members may have their accounts grouped together in order to take advantage of reduced tiered fees, where applicable.

Please provide the name(s) of your family member(s) and their relationship to you.

Please provide their account number(s), if known.

Section 08 Reporting Currency

The reporting for all your accounts will be in Sterling. If you would prefer this to be in US Dollar or Euro please specify below. **If you are an existing client your reporting currency cannot be changed therefore please move on to the next section.**

☐ US Dollar ☐ Euro

Section 09 ISA Declaration

Applicant One

Please only complete this section if you are opening an ISA. You must complete all relevant sections on this form, otherwise it will not constitute a valid ISA subscription.

I apply to subscribe for a stocks and shares ISA for tax year:

2 0 _ _ / _ _

and each successive year until further notice.

Applicant Two

Please only complete this section if you are opening an ISA. You must complete all relevant sections on this form, otherwise it will not constitute a valid ISA subscription.

I apply to subscribe for a stocks and shares ISA for tax year:

2 0 _ _ / _ _

and each successive year until further notice.

I declare that:

- all subscriptions made, and to be made, belong to me;
- 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, a stocks and shares ISA, an innovative finance ISA, and a Lifetime ISA in the same tax year;
- I have not subscribed and will not subscribe to another stocks and shares ISA in the same tax year that I subscribe to this stocks and shares ISA;
- I am 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 7IM if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties; and
- I agree to the ISA terms and conditions.

I authorise 7IM

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

Section 10 Declarations

This application form, if accepted by us, forms part of a legally binding agreement between you and us relating to the 7IM account(s) opened for you. The other parts of the agreement are contained in the applicable 7IM Terms and Conditions for the chosen 7IM investment service and the Fees and Charges provided to you.

You should read these documents and this section carefully before completing and signing this form. If there is anything you do not understand, please ask for further information.

By signing this form, you make the following declarations:

a. you:
   i. apply to open the 7IM account(s) specified in this form;
   ii. appoint 7IM to provide the chosen 7IM investment service for the purpose of your 7IM account(s); and
   iii. instruct 7IM to appoint a custodian to hold the money and investments relating to your 7IM account(s),
   in accordance with the 7IM Terms and Conditions for your chosen investment service;
b. you understand and agree that when we notify you that we have accepted your application and opened your 7IM account(s), you will be bound by the terms of our agreement with you, as amended from time to time;
c. you acknowledge that your personal data will be processed in accordance with our Privacy Policy, which is available on our website www.7im.co.uk;
d. you confirm that, to the best of your knowledge and belief, the information, declarations and confirmations given by you in this form are true, accurate and complete; and
e. you will notify 7IM immediately in writing of any changes to the information provided and any other relevant information.

Your signature(s) is required for the completion of this form

Applicant One Signature:

Signed by (please PRINT name):

Date:

Authority to sign[1]:

[1]If the person signing this form is not the named applicant, please indicate the capacity in which you are signing this form, e.g. as attorney or Court appointed deputy. If signing as an attorney or Court appointed deputy, please also ensure that you have provided us with a certified copy or original of the power of attorney or Court order.

By opening this account and signing here, the account owner:

a. represents and warrants that he/she/it is not a U.S. Person, meaning a person who is in either of the following two categories: (a) a person included in the definition of "U.S. person" under Rule 902 of Regulation S under the U.S. Securities Act of 1933, as amended, or (b) a person excluded from the definition of a "Non-United States person" as used in CFTC Rule 4.7; and
b. agrees to inform us if there are any changes in circumstances which would mean that this representation is no longer accurate, including if the account owner becomes a resident of the U.S.

Your signature(s) is required for the completion of this form

Applicant Two Signature:

Signed by (please PRINT name):

Date:

Authority to sign[1]:

[1]If the person signing this form is not the named applicant, please indicate the capacity in which you are signing this form, e.g. as attorney or Court appointed deputy. If signing as an attorney or Court appointed deputy, please also ensure that you have provided us with a certified copy or original of the power of attorney or Court order.

By opening this account and signing here, the account owner:

a. represents and warrants that he/she/it is not a U.S. Person, meaning a person who is in either of the following two categories: (a) a person included in the definition of "U.S. person" under Rule 902 of Regulation S under the U.S. Securities Act of 1933, as amended, or (b) a person excluded from the definition of a "Non-United States person" as used in CFTC Rule 4.7; and
b. agrees to inform us if there are any changes in circumstances which would mean that this representation is no longer accurate, including if the account owner becomes a resident of the U.S.

Section 11 Financial Adviser declaration

By signing this form below, your Financial Adviser declares that:

- the information provided in this form correctly reflects the contractual terms of your Financial Adviser's appointment under a separate agreement in place between you and your Financial Adviser;
- all instructions given by the Financial Adviser will be in accordance with those terms;
- your Financial Adviser has all authorisations necessary under applicable law and regulation to act as appointed and will remain so authorised;
- your Financial Adviser will notify us of any changes to its authorisation, including any disciplinary action taken against it, relevant to this appointment;
- where you are applying to open a 7IM account for a pension or bond wrapper, your Financial Adviser has provided appropriate advice to you regarding the suitability for you of the wrapper product in accordance with FCA Rules and FCA suitability requirements; and
- the signatory has the necessary authorisation to make these declarations and sign this form on behalf of the Financial Adviser.

Financial Adviser signature is required for the completion of this form

Financial Adviser Signature:

Signed by (please PRINT name):	Date:

Section 12 Identity Verification

Regulations require us to confirm the identity and address of all our clients. Where possible, we will carry out an electronic check of the personal data you have provided. Where we are unable to verify your identity electronically, we will contact you and request one form of current identification from each list below. We can only accept originals or certified copies.

List A:
Valid Personal Identification which incorporates your full name

Passport / national identity card

Photocard driving licence (full or provisional)

Firearms certificate / licence

Other government issued document

List B:
Address Verification
(issued in the last three months)

Old style full UK driving licence

Local authority issued letter / statement / bill

Solicitor's letter

Tax bill

Utility bill

Bank / credit card statement

State pension or other government issued document