

Account opening form (Platform Offshore)



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

For personal clients opening an Individual or a Joint Account.

Section 01 Account selection

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

Individual 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:

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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 jurisdiction. 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
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

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 jurisdiction. 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
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

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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 that we are not able to open an account without a bank account in your name.

Please provide a bank statement (dated within the last three months) in order for us to verify your account.

Currency of Account (tick **one**):

GBP ☐ USD ☐ EUR ☐

Bank:

Account Name:

Branch Sort / Swift Code / BIC:

IBAN Number:

Account Number:

Further Payment Details / Reference (if applicable):

Applicant Two

All payments will be made directly to this account.

Please note that we are not able to open an account without a bank account in your name.

Please provide a bank statement (dated within the last three months) in order for us to verify your account.

Currency of Account (tick **one**):

GBP ☐ USD ☐ EUR ☐

Bank:

Account Name:

Branch Sort / Swift Code / BIC:

IBAN Number:

Account Number:

Further Payment Details / Reference (if applicable):

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Joint

All payments will be made directly to this account.

Please note that we are not able to open an account without a bank account in your name.

Please provide a bank statement (dated within the last three months) in order for us to verify your account.

Currency of Account (tick one):

GBP

☐

USD

☐

EUR

☐

Bank:

Account Name:

Branch Sort /

Swift Code/ BIC:

IBAN Number:

Account Number:

Further Payment Details / Reference (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

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)

Percentage Value %

of all new contributions.

OR Fixed Value £

Ongoing fees

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

Individual Account(s)

Percentage Value %

per annum

of the portfolio value*.

OR Fixed Value £

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)

☐
Joint**Initial fees**

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

Percentage Value %

of all new contributions

OR Fixed Value £

Ongoing fees

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

Percentage Value %

per annum

of the portfolio value*.

OR Fixed Value £

per annum

*Calculated using average daily portfolio values.

Applicant Two**Initial fees**

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

Individual Account(s)

Percentage Value %

of all new contributions.

OR Fixed Value £

Ongoing fees

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

Individual Account(s)

Percentage Value %

per annum

of the portfolio value*.

OR Fixed Value £

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)

☐

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, if known.

Please note that a fee group cannot include both onshore and offshore accounts.

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 Source of Wealth**Applicant One:**

Occupation:

Name of current / last employer:

If your investment wealth is derived from sources other than your current or past employment, please tick the appropriate box(es) and provide the relevant information in the box below:

☐
Gift

- Name of donor and relationship to client
- Donor's source of wealth
- Reason for the gift

☐
Compensation Payment

- Payment source and amount

☐
Company / Asset Sale

- Name / nature of the asset
- Date of sale and amount
- Total share of the asset

Applicant Two (if applicable):

Occupation:

Name of current / last employer:

If your investment wealth is derived from sources other than your current or past employment, please tick the appropriate box(es) and provide the relevant information in the box below:

☐
Gift

- Name of donor and relationship to client
- Donor's source of wealth
- Reason for the gift

☐
Compensation Payment

- Payment source and amount

☐
Company / Asset Sale

- Name / nature of the asset
- Date of sale and amount
- Total share of the asset

<input type="checkbox"/>	Inheritance <ul style="list-style-type: none"> • Name of the deceased • Relationship to client • Amount and date received • Origin of deceased's wealth
<input type="checkbox"/>	Divorce Settlement <ul style="list-style-type: none"> • Name of divorced partner • Amount and date received • Origin of divorced partner's wealth
<input type="checkbox"/>	Other Please provide details

Relevant Information:

<input type="checkbox"/>	Inheritance <ul style="list-style-type: none"> • Name of the deceased • Relationship to client • Amount and date received • Origin of deceased's wealth
<input type="checkbox"/>	Divorce Settlement <ul style="list-style-type: none"> • Name of divorced partner • Amount and date received • Origin of divorced partner's wealth
<input type="checkbox"/>	Other Please provide details

Relevant Information:

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.

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

Applicant One Signature:

Signed by (please PRINT name):

Date:

Authority to sign¹:

¹If 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 sign¹:

¹If 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 Intended Investment Information and Identity verification

Investment amount £ Location of funds (where funds are currently held, including Bank and Country of where Bank is located)

Expected 7IM account activity within the next 3 years: (e.g. additional sums expected and from where and/or inflows/ outflows including estimated timing and frequency.)

Regulations require us to confirm the identity and address of all our clients. We will carry out an electronic check of the personal data you have provided. Please note, 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. If you are unable to provide the standard documentation please contact us for further guidance.

List A:**Valid Personal Identification**

Passport / national identity card
Photocard driving licence (full or provisional)
Firearms certificate / licence
Other government issued document

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

Local authority issued letter / statement / bill*
Solicitor's letter*
Tax bill
Utility bill*
Bank / credit card statement*
State pension or other government issued document*