

Account Opening Form (Self Invest Service)



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	Investment Account
Applicant One	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> (Please note that joint accounts are not available for US clients)
Applicant Two	<input type="checkbox"/>	<input type="checkbox"/>	

Section 02 Individual details

Applicant One

Title:

First Name(s):

Surname:

Date of Birth (DD/MM/YYYY):
 / /

National Insurance Number:
 / /

Nationality:

Applicant Two

Title:

First Name(s):

Surname:

Date of Birth (DD/MM/YYYY):
 / /

National Insurance Number:
 / /

Nationality:

ACCOUNT OPENING FORM – SELF INVEST SERVICE

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:

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 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"/>

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.

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

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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.

Applicant One

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

- Retain in account
- Pay out all income
- Pay out a fixed amount of £

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 account
- Pay out all income
- Pay out a fixed amount of £

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 account
- Pay out all income
- Pay out a fixed amount of £

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 account
- Pay out all income
- Pay out a fixed amount of £

Please specify frequency:

Monthly / Quarterly / Half Yearly / Annually

Joint

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

- Retain in account
- Pay out all income
- Pay out a fixed amount of £

Please specify frequency:

Monthly / Quarterly / Half Yearly / Annually

Section 05 Fees & Charges

A. 7IM fees

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

Collection of 7IM fees

We will first deduct cash for the payment of fees from each of the accounts you have set up. If you would prefer us to first look to deduct **ISA fees** from your individual or joint account, please select one of the boxes below:

Individual Account Joint Account

Under the 7IM Terms and Conditions if we cannot collect fees and charges due from a nominated portfolio or account, we can then collect them from cash in your other portfolios or accounts (if any). If fees and charges are still due, we will sell investments held in your account(s) to recover fees and charges due as set out in the 7IM Terms and Conditions.

Section 06 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

Inheritance

- Name of the deceased
- Relationship to client
- Amount and date received
- Origin of deceased's wealth

Divorce Settlement

- Name of divorced partner
- Amount and date received
- Origin of divorced partner's wealth

Other
Please provide details

Relevant Information:

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

Inheritance

- Name of the deceased
- Relationship to client
- Amount and date received
- Origin of deceased's wealth

Divorce Settlement

- Name of divorced partner
- Amount and date received
- Origin of divorced partner's wealth

Other
Please provide details

Relevant Information:

Section 07 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:

/

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:

/

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 08 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 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 09 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 within 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*