



Sucden Financial Limited

ACCOUNT OPENING FORM for INDIVIDUALS

Under the rules of the Financial Services Authority, we are required to obtain certain information before we can open an account for you. It is important, therefore that you complete **all** sections of this form. If you have any queries please call one of our account executives who will be pleased to help you (tel. no: **+44 (0)20 3207 5680**).

Data Protection and Privacy Policy

Sucden Financial Limited collects personal information from you when you open an account with us. To view our full privacy policy please go to our website at www.sucdenfinancial.co.uk. If you require a hard copy of this policy please contact us.

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Members of Liffe, LME, ICE Futures Europe, ICE Futures U.S., EDX London, LBMA, Eurex, COMEX & LCH.Clearnet

Authorised and Regulated by the Financial Services Authority

AOF-INDIVIDUAL-PCS-3



Sudcen Financial Limited

Account Opening Checklist

To assist us in the opening of your account please ensure that you submit the following documentation with this Account Opening Form:

1. A certified* copy of one of the following, which must be currently valid:

- Passport (UK passports must be copied in black and white only)
- Drivers License
- National Identity Card

2. An original or certified copy of a 'utility bill' in your own name, which must show your home address and be dated within the last three months, for example:

- Telephone bill (landline, not mobile)
- Electricity, gas or water utility bill
- Bank statement (not credit card statement)
- Council Tax bill (for the current year)

* Certified copies of personal identification documents must be dated and signed "original seen", preferably by a government department or a regulated or professional person covered by money laundering regulations. Examples of regulated or professional persons covered by money laundering regulations include bankers, accountants or other persons employed by firms authorised by the Financial Services Authority. If a good reproduction of the photograph cannot be achieved, then the copy should also be certified as providing a good likeness of the applicant.

Please give details of the person certifying the copy:

Title Mr Mrs Ms Other _____

Surname _____

First name(s) _____

No / Name and Street _____

Town / City _____

Postcode _____ Country _____

Occupation _____

Please write clearly in block capitals and black ink, and answer all questions. If you have any queries, please contact one of our account executives who will be pleased to help you (tel. no: +44 (0)20 3207 5680).

1 Your personal details

a) Name:

Title Mr Mrs Ms Other _____

Surname _____

First name(s) _____

Previous name(s) _____

b) Date of birth:

_____ / _____ / _____ (dd/mm/yyyy)

c) Nationality:

d) Permanent residential address:

No / Name and Street _____

Town / City _____

Postcode _____ Country _____

How long have you been living at your current address?

_____ Years _____ Months

If less than 3 years, please give your previous address:

No / Name and Street _____

Town / City _____

Postcode _____ Country _____

e) Contact information

Daytime telephone number _____

Evening telephone number _____

Mobile telephone number _____

Fax number _____

E-mail address for the receipt of Daily Trading Statements _____

f) Marital status

I am: married divorced
 single widowed

Number of dependants _____

1.1 Your employment details

a) I am:

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

b) Please complete the following (whether employed or self-employed):

Your occupation _____

Company name _____

Type of business _____

Company address (place of business):

No / Name and Street _____

Town / City _____

Postcode _____ Country _____

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

_____ Years _____ Months

If you have been employed by your current employer or have been self employed, for less than 6 months, please provide details of your former employer:

Your occupation _____

Company name _____

Type of business _____

Company address (place of business):

No / Name and Street _____

Town / City _____

Postcode _____ Country _____

1.2 Your financial situation

a) What is your gross annual income from all sources?

- Less than £25,000, please state amount _____
- £25,000 to £49,999
- £50,000 to £99,999
- £100,000 to £199,999
- £200,000 to £299,999
- Over £300,000

b) What is the value of your net assets (excluding the value of your principal residence)? The value of your net assets is calculated by subtracting the sum of your liabilities from the sum of your assets.

- Less than £25,000, please state amount _____
- £25,000 to £49,999
- £50,000 to £99,999
- £100,000 to £199,999
- £200,000 to £299,999
- £300,000 to £499,999
- £500,000 to £749,999
- £750,000 to £999,999
- over £1,000,000

c) Property ownership

- I rent I own my own house I own several properties

2 Opening a trading account

Please indicate the type of account you wish to open with Sucden Financial Limited:

- Telephone trading account SMART electronic trading account Telephone & SMART account

2.1 About the account

a) Are you investing your own money?

- Yes No

If No please provide details _____

b) Is this account to be an Individual account or a Joint account?

- Individual Joint

If 'Joint' please give name of joint account holder _____

We will require a separate Account Opening Form to be completed by any joint account holder

c) Are you related to an employee of Sucden Financial?

- Yes No

If Yes please provide name of employee _____

d) Are you related to an employee of any other investment company?

- Yes No

If Yes please provide name of company _____

2.2 Your investment objectives

a) Your risk profile – this section is designed to establish your risk profile. If you have any questions regarding this section please call one of our account executives.

Please select the one category that reflects your risk profile:

- I want to hedge
- I want to keep my capital safe and avoid any risk
- I accept a calculable risk in order to achieve a profit (maximum potential downside is calculable before entering a trade)
- I have a high profit expectation and am willing to accept a high level of risk

b) Types of investment

Which of the following types of investment do you intend to trade? Do not tick any investment that does not fit your risk profile.

Type of investment	Futures	Options	Physicals
Financials (Currencies, Bonds, Interest rates)			
Indices			
Equities			
Equity / Stock Options			
Universal Stock Futures			
Soft Commodities			
Precious Metals			
Base Metals <input type="checkbox"/> LME <input type="checkbox"/> Comex			
Energy			
Grains, Meats and Miscellaneous			
Equity Contracts for Difference (CFDs)			
Foreign Exchange			

c) 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 in question 2.2 b) above?

- Yes No

3 Your experience and knowledge of investments

a) 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 Sucden Financial Limited. We are requesting this information to enable us to fulfil our obligations under the rules of the Financial Services Authority.

Type of investment	Number of years traded	Average frequency of trades per quarter during the last year		Approximate size/ value of average deal
Shares	_____	<input type="checkbox"/> less than 10 trades /quarter	<input type="checkbox"/> 10 or more trades /quarter	_____ (value)
Financial Futures (including Index & Equity Futures)	_____	<input type="checkbox"/> less than 10 trades /quarter	<input type="checkbox"/> 10 or more trades /quarter	_____ (lots)
Financial Options (including Index & Equity Options)	_____	<input type="checkbox"/> less than 10 trades /quarter	<input type="checkbox"/> 10 or more trades /quarter	_____ (lots)
Commodity Futures	_____	<input type="checkbox"/> less than 10 trades /quarter	<input type="checkbox"/> 10 or more trades /quarter	_____ (lots)
Commodity Options	_____	<input type="checkbox"/> less than 10 trades /quarter	<input type="checkbox"/> 10 or more trades /quarter	_____ (lots)
Contracts for Difference (CFDs)	_____	<input type="checkbox"/> less than 10 trades /quarter	<input type="checkbox"/> 10 or more trades /quarter	_____ (value)
Spot & Forward Foreign Exchange	_____	<input type="checkbox"/> less than 10 trades /quarter	<input type="checkbox"/> 10 or more trades /quarter	_____ (value)
Funds	_____	<input type="checkbox"/> less than 10 trades /quarter	<input type="checkbox"/> 10 or more trades /quarter	_____ (value)
Unit Trusts	_____	<input type="checkbox"/> less than 10 trades /quarter	<input type="checkbox"/> 10 or more trades /quarter	_____ (value)
Bonds	_____	<input type="checkbox"/> less than 10 trades /quarter	<input type="checkbox"/> 10 or more trades /quarter	_____ (value)
Over the Counter & Other Off Exchange Contracts (including Bullion)	_____	<input type="checkbox"/> less than 10 trades /quarter	<input type="checkbox"/> 10 or more trades /quarter	_____ (value)
Spread Betting	_____	<input type="checkbox"/> less than 10 trades /quarter	<input type="checkbox"/> 10 or more trades /quarter	_____ (value)

b) Does your financial instruments portfolio (including the types of investment listed in question 3 a) above and cash deposits) exceed £350,000?

Yes No

4 Access to your telephone trading account (not applicable for SMART Electronic trading accounts)

Do you wish to view details of your account activity on Sudden Financial's website?

Yes No

If 'Yes'

- Access to your account will be via a unique password, which will be issued for your sole use on the basis that it will remain your responsibility to keep it confidential and secure.
- This facility incorporates a number of security features and data stored and transmitted will not have any reference to your name, address or account number.
- An account key to enable you to access the facility will be mailed to your permanent residential address, as shown in section 1 of this form.

5 Your bank details

Please give details of your principal bankers. If you intend to fund your account with us using a Debit Card, please give details of the bankers with whom you hold your Debit Card account.

Full name of bank _____

Full address _____

Account number _____ Sort code/SWIFT code _____

6 Your declarations and signature

By my signature I declare and confirm the following:

- **I confirm that all the details given in this form are correct. I will inform you immediately in writing of any changes to the details contained herein.**
- **I confirm that any funds remitted to Sudden Financial Limited will be funds which I am prepared to risk and can afford to lose, and that my lifestyle would not be affected by that loss.**
- **I agree to be bound by any provisions included in this form.**

Client signature _____ Date _____

Please print name in full _____

Should Sudden Financial Limited and the client enter into an agreement this form and the information set out in it will constitute part of the contract.

Marketing

We would like to inform you about new products and services which we offer our clients. Please tell us if you wish to receive such information from us or any of our associates.

- I agree to receive information by mail.
- I agree to receive information by e-mail.
- I agree to receive information by telephone.
- I do not want to receive information.

