

# APPLICATION FOR A TRADING ACCOUNT

## For SIPP clients

### Complete and sign

Please send this completed and duly signed application form, along with all required documentation, to:

**Customer Services**  
**Moneycorp Markets Limited**  
2 Sloane Street  
London SW1X 9LA  
United Kingdom

Alternatively, you can return it to us by fax on  
**+44 (0)845 367 2525**

Or, you can scan and email your application to us at  
**mm-enquiries@  
moneycorpmarkets.com**

If you have any questions relating to the completion of this application form, or need further assistance, please contact our Customer Services team by telephone on **+44 (0)845 367 2424**

#### 1. Instructions for completion

The Member and the Trustee(s) must complete and sign this application form. Before completing it, please make sure you have read and understood the Moneycorp Markets General Business Terms together with the Schedules. This application form, together with its Schedules and the General Business Terms will, once completed and accepted by us, form the entire Agreement between us.

#### 2. Anti-money laundering

To comply with anti-money laundering and counter-terrorist financing regulations, we are required to ask you some questions to enable us to perform electronic identity verification on you. It is a legal requirement in the UK that we identify our clients. This is not a credit check and will not affect your credit rating in any way. Providing a satisfactory result is achieved, it may not be necessary for you to provide documentary evidence or proof of identity.

**For a complete list of identification acceptable to Moneycorp Markets, please see 'Appendix A'.**

Sections 3 to 10 are to be completed by the Member. This form should be read in conjunction with Moneycorp Markets General Business Terms. These can be accessed on our website at [http://www.moneycorpmarkets.com/pdf/moneycorpmarkets\\_terms.pdf](http://www.moneycorpmarkets.com/pdf/moneycorpmarkets_terms.pdf)

#### 3. Personal details of the Member

Title:	Surname:
_____	_____
First name:	Middle name:
_____	_____
Date of birth:	Nationality:
_____	_____
Current address:	
_____	
_____	
Post/Zip code:	Country:
_____	_____
Home phone:	Mobile phone:
_____	_____
Facsimile:	Other number:
_____	_____
Email:	
_____	

If less than 3 years at the current address, please enter details of your previous address.

Previous address:	
_____	
_____	
Post/Zip code:	Country:
_____	_____

*Our standard form of correspondence is via email and we will contact you using the email address above. If you require important notices and statements of your account in hard copy by post, please tick this box:*



Moneycorp Markets Limited is certified to ISO9001:2008 Quality Assurance

Moneycorp Markets Limited  
Registered in England: No. 5774742  
Wholly owned subsidiary of  
TTT Moneycorp Limited  
Registered in England: No. 738837  
Incorporated in 1962

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### 4. Employment information

Current situation:      Employed       Self-employed       Unemployed       Retired

Employer: \_\_\_\_\_

Nature of business: \_\_\_\_\_

Length of time with current employer: \_\_\_\_\_

Have you previously worked, for at least one year, in a regulated role in a financial institution?      Yes       No

### 5. Security information *(this will be used to verify your identity when you call us)*

Security question: \_\_\_\_\_

Security answer: \_\_\_\_\_

### 6. Financial information

Please indicate your overall personal pension funding:

Are you or have you been a member of a defined (final salary) pension scheme?      Yes       No

If so, what is your expected pension at scheme retirement age? \_\_\_\_\_

Do you have a personal pension fund?      Yes       No

If so, what is the estimated current value? \_\_\_\_\_

Are you currently making contributions?      Yes       No

If you are in retirement, what is the estimated current value of your pension fund? \_\_\_\_\_

Please indicate your annual salary/earnings, before tax:

Less than £39,999       £40,000 – £59,999       £60,000 – £99,999  
 £100,000 – £199,999       £200,000 +

Other annual income, please indicate source:

Less than £9,999       £10,000 – £19,999       £20,000 – £49,999  
 £50,000 – £99,999       £100,000 +

Please indicate regular annual financial commitments: \_\_\_\_\_

Please indicate your net worth *(i.e. total assets less total liabilities)*:

Less than £99,999       £100,000 – £199,999       £200,000 – £399,999  
 £400,000 – £599,999       £600,000 – £ 999,999       £1,000,000 +

Please indicate your readily realisable assets *(including cash and bank balances, stock market portfolios, ISAs, PEPs, investments in unit trusts and any other liquid assets)*:

Less than £49,999       £50,000 – £99,999       £100,000 – £199,999  
 £200,000 – £349,999       £350,000 – £500,000       £500,000 +

Please indicate your current property situation:

Renting       Own your property       Own several properties

Current value of your property/ies *(if owned)*: \_\_\_\_\_

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### 7. Investment experience (length of trading experience in products)

Product	None	Less than 1 year	1 – 2 years	2 – 5 years	More than 5 years	No. of deals in the last year	Average deal volume
Spot and forward FX							
Financial spread betting							
Shares, bonds and funds							
Financial/commodity futures							
Options							
Other CFDs							
Managed accounts							

Do you understand the mechanics and risks of leveraged trading, including your obligation to maintain sufficient margin at all times?

Yes  No

Are you financially able to bear the risk consistent with your investment objectives? Yes  No

**Warning:** If you have not traded leveraged products before (FX, CFDs, Futures or Spread Betting) and you are unfamiliar with the Moneycorp Markets' trading platform, then opening a trading account may not be appropriate for you. We recommend you first familiarise yourself with the platform and the traded products. You should be aware that trading leveraged products on margin carries a high level of risk and you can lose all or more than your initial investment. It may not be suitable for all investors and you should ensure you fully understand the risks involved, seeking independent advice if necessary.

- I understand the products and platform, please open my account.
- Please open my account and have a customer service representative contact me for more training on the products and demonstration account.

### 8. Initial deposit

Please indicate the sum that you wish to deposit with Moneycorp Markets: £

and/or \$

and/or €

### 9. Additional information

How did you hear about Moneycorp Markets?

If we need to contact you, what is your preferred contact time and method?

Contact time: Day  Evening  Weekend

Contact method: Home phone  Mobile phone  Email

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## For SIPP clients

### 10. DECLARATION

I hereby apply to become a client of Moneycorp Markets Limited. I have read and understood this application form, the General Business Terms and its Schedules, and the Trading Conditions (together the 'Terms') and I agree to be bound by the Terms. I understand that the Terms may be amended from time to time, in accordance with the provisions of the General Business Terms. I understand the inherent risks involved in trading the Products and I understand the risks and mechanics of trading on margin. I hereby confirm I am over 18 years old and duly authorised to sign this application form and to the best of my knowledge and belief, the information provided in this application form and any other documentation supplied in connection with this application, is correct, complete and not misleading.

- By ticking this box, I confirm that I have read and understood the General Business Terms and its Schedules, the Trading Conditions and this application form.
- By ticking this box, I confirm that I have read and understood the Order Execution Policy (contained in a Schedule to the General Business Terms) and consent to its provisions, including the ability to effect transactions outside a Multi-lateral Trading Facility or regulated market where necessary.
- By ticking this box, I confirm that I have read and understood the FSA Risk Warnings (contained in a Schedule to the General Business Terms).
- By ticking this box, I agree to Moneycorp Markets Limited completing an electronic verification of my identity, using a specialist service provider.
- By ticking this box, I confirm that I will inform Moneycorp Markets Limited of any changes to the details or information entered in this application form.
- By ticking this box, I confirm that I do not wish to receive details of third party products.
- By ticking this box, I confirm that I fully understand the risks associated with trading leveraged products on margin and that I could lose all or more than my initial investment.

### Original documentation

Any original documents that you provide to Moneycorp Markets Limited will be returned by way of recorded delivery within the UK and by way of secure delivery for all other countries.

### Data Protection

Moneycorp Markets Limited may process your information (as defined in the Data Protection Act 1998) and hold such information in an electronic database or in a manual format, in order to satisfy any regulatory, contractual or statutory requirements. Unless Moneycorp Markets Limited receives specific written instructions to the contrary, by providing this information you agree that Moneycorp Markets Limited may process and maintain this information in order to fulfil its obligations.

**Member signature:**

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**Full name:**

**Date:**

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### Member checklist

- All details are completed and checked
- All ID verification documents are enclosed (if required)
- Declaration – Sections have been read and signed

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## For SIPP clients

Sections 11 to 14 are to be completed by the Trustees of the scheme. This form should be read in conjunction with Moneycorp Markets General Business Terms. These can be accessed on our website at [http://www.moneycorpmarkets.com/pdf/moneycorpmarkets\\_terms.pdf](http://www.moneycorpmarkets.com/pdf/moneycorpmarkets_terms.pdf)

### 11. Trust details

Trust name:	
<hr/>	
Address:	
<hr/>	
	Postcode:
	<hr/>
Scheme name:	
<hr/>	
Telephone number:	Email:
<hr/>	<hr/>
HM Revenue & Customs ref:	SIPP Plan ref:
<hr/>	<hr/>

### 12. SIPP bank details

Name of bank:	Account name:
<hr/>	<hr/>
Sort code:	Account number:
<hr/>	<hr/>
Address:	
<hr/>	
	Postcode:
	<hr/>

### 13. Permitted investments

Please indicate whether, under the terms of the Trust Deed covering this scheme, the Member(s) are able to deal with the following:

Shares / ETFs     FX     FX Options     CFDs     MM-FX Managed Account     Futures

### 14. DECLARATIONS AND SIGNATURES OF THE TRUSTEES

- By ticking this box, the Trust confirms that all of the trustees and authorised signatories of the Trust are over 18 years of age and the information provided in this application form or in connection with this application form is true, complete and not misleading. The Trust will inform Moneycorp Markets Limited immediately in writing of any changes to the details contained in this application form or provided in connection with this application form.
- By ticking this box, the Trust confirms that it has read, understood and agreed to the terms of this application form, the General Business Terms and its Schedules, and the Trading Conditions (together the 'Terms'). The Trust understands that it is applying to become a customer of Moneycorp Markets Limited in accordance with the provisions of the Terms.
- By ticking this box, the Trust confirms that it has read and understood the Order Execution Policy (contained in a Schedule to the General Business Terms) and consents to its provisions, including the ability to effect transactions outside a Multi-lateral Trading Facility or regulated market where necessary.
- By ticking this box, the Trust confirms that it understands and accepts the risks associated with the permitted investments indicated in section 15 and that the Member's losses may exceed any margin deposit and may be unlimited.
- By ticking this box, the Trust confirms that it is properly constituted and validly exists under the laws of its jurisdiction. It also has the power and authority to conduct its business and enter into the Terms with Moneycorp Markets Limited. Furthermore, the Member may trade in the permitted investments indicated in section 15 and that, in doing so, the Member will not be in breach of any laws or regulations nor the Trust Deed.

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- By ticking this box, the Trust confirms that it understands that Moneycorp Markets Limited is required to verify both its corporate address(es) and identity (as well as the addresses and identities of the individuals) in order to comply with its obligations in relation to current anti-money laundering legislation and may use information held in any database or other electronic format in that connection. The Trust also confirms that it has sought the agreement of each of the individuals to the electronic identity verification searches and/or to provide relevant documentation when required.
- By ticking his box, the Trust confirms that it understands that Moneycorp Markets Limited will be sending monthly statements to the Trust for record-keeping and monitoring purposes.

**Discretionary FX Managed Investment Accounts only:**

- By ticking this box, the Trust confirms that it has read, understood and signed the investment management authority document

**Executed by Signatory 1 on behalf of its duly authorised representatives:**

Signature: \_\_\_\_\_

Full name: \_\_\_\_\_

Job title: \_\_\_\_\_

On behalf of: \_\_\_\_\_

Date: \_\_\_\_\_

**Executed by Signatory 2 on behalf of its duly authorised representatives:**

Signature: \_\_\_\_\_

Full name: \_\_\_\_\_

Job title: \_\_\_\_\_

On behalf of: \_\_\_\_\_

Date: \_\_\_\_\_

**The Trustee(s) should provide:**

- A copy of the **Trust Deed** and any **Amending Deeds**
- A completed **Trustee Resolution**

Note: Non-corporate Trustees may be required to provide evidence of identification before the application is accepted.

**Trustee checklist**

- All details are completed and checked
- All ID verification documents are enclosed
- Declaration – Sections have been read and signed

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### Appendix A – Documentation requirements for the Member:

In the event that we are unable to complete an electronic identity verification check on you, we will require clear photocopies of **four** separate forms of identification. Please provide **two** forms of identification from Category A (**one must be photographic**) and **two** forms from Category B.

#### Category A – Identification check

- A signed, valid passport.
- Both parts of a full photocard driving licence (*provisionals are not acceptable*). This can be used as proof of address **or** proof of identification.
- A national identity card or voter's card.
- An Inland Revenue tax notification (*P45s and P60s are not acceptable*).
- A shotgun licence.

#### Category B – Address check

- A utility bill which should be less than three months old (*mobile telephone bills are not acceptable*).
- Both parts of a full photocard driving licence (*provisionals are not acceptable*). This can be used as proof of address **or** proof of identification.
- A local authority tax bill (*must be valid for the current year*).
- A bank statement which should be less than three months old (*credit card statements are not acceptable*).
- A systems-generated or signed document from a regulated financial sector firm indicating that an account, investment or insurance relationship exists. This document should be less than three months old.
- A current local council rent card or tenancy agreement.
- An item of Inland Revenue correspondence (*not a tax notification*) which should be less than three months old.

**If you cannot provide photocopies of the required identification, you may post the originals to us. We will return any original documentation that you provide.**

**Moneycorp Markets is authorised and regulated by the Financial Services Authority.**