

# BERKELEY FUTURES LIMITED

Authorised and Regulated by the Financial Conduct Authority

## Account Opening Form for Individual Clients

Please write clearly in block capitals, if possible. Where a choice is provided, please tick your answer. Many thanks!

### 1. Personal details of the Client

#### Name, address and telephone

Mr.  Mrs.  Ms. Title, if applicable \_\_\_\_\_ Town/City \_\_\_\_\_

Surname \_\_\_\_\_ Postcode \_\_\_\_\_

First name(s) \_\_\_\_\_ Country \_\_\_\_\_

Previous name(s) \_\_\_\_\_ Marital Status

Date of birth (dd/mm/yyyy) Nationality

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_

I am  single  
 married  
 living with partner  
 divorced  
 separated

#### Permanent Residential Address

Street/No. \_\_\_\_\_

Town/City \_\_\_\_\_

Postcode \_\_\_\_\_

Country \_\_\_\_\_

Tel. (Daytime) \_\_\_\_\_

Tel. (Evening) \_\_\_\_\_

Mobile No. \_\_\_\_\_

Email address \_\_\_\_\_

How long have you been living at your current address:

\_\_\_\_ Years \_\_\_\_\_ Months

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

Street/No. \_\_\_\_\_

Number of dependants \_\_\_\_\_

#### Employment

I am  self-employed  
 employed  
 not working at present  
 retired

Occupation \_\_\_\_\_

Employers Name \_\_\_\_\_

Employers address

Street/No. \_\_\_\_\_

Town/City \_\_\_\_\_

Postcode \_\_\_\_\_

Country \_\_\_\_\_

How long have you been with your current employer?

\_\_\_\_ Years \_\_\_\_\_ Months

## 2. Your account

### About the account

Are you opening the Account on your own behalf?

Yes  No

If not, please provide the name and address of the persons or companies on whose behalf and account you act:

Surname/Company Name \_\_\_\_\_

First name(s)/Company's Registered No. \_\_\_\_\_

Nationality \_\_\_\_\_

#### Permanent Residential Address/Registered Office

Street/No. \_\_\_\_\_

Town/City \_\_\_\_\_

Postcode \_\_\_\_\_

Country \_\_\_\_\_

## 3. Your Investment

Please answer the following questions which relate to your experience and knowledge in futures/option /securities/commodities transactions and your current investment objectives and financial situation. This will ensure that we are able to provide you with the advice and product most suitable for your individual circumstances.

### Your investment experience

#### 1. Spot & Forward Foreign Exchange

Length of experience

- none  
 less than 6 months  
 6 months - 2 years  
 more than 2 years

Have you traded on the relevant markets at an average frequency of 10 times per quarter over the previous four quarters?  Yes  No

#### 2. Futures & Options

Length of experience

- none  
 less than 6 months  
 6 months - 2 years  
 more than 2 years

Have you traded on the relevant markets at an average frequency of 10 times per quarter over the previous four quarters?  Yes  No

#### 3. Over The Counter & Other Off Exchange Contracts (including Bullion)

Length of experience

- none  
 less than 6 months  
 6 months - 2 years  
 more than 2 years

Have you traded on the relevant markets at an average frequency of 10 times per quarter over the previous four quarters?  Yes  No

Do you work or have you worked in the financial sector for at least one year in a professional position which required knowledge of the transactions or services envisaged?  Yes  No

Is your financial investment portfolio greater than 500.000 €?  Yes  No

#### Your investment objectives

We understand, unless you specify otherwise, that you wish to speculate in derivative products which involves a high level of risk and that your investment horizon for individual transactions is short-term (less than 3 months).

If the foregoing is not representative of your investment objectives please specify below what your investment objectives are and what your investment horizon is.

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#### 4. Your financial situation

What is your gross annual income from all sources?

- 0 to 49,999 GBP
- 50,000 to 99,999 GBP
- 100,000 to 250,000 GBP
- 250,000 to 499,999 GBP
- over 500,000 GBP

Property Ownership

- I rent
- I own my own home
- I own more than one property

What are your net assets?

Your net assets are calculated by subtracting the sum of your liabilities (e.g. mortgages, collateral charges) from the sum of your total assets.

- 0 to 49,999 GBP
- 50,000 to 99,999 GBP
- 100,000 to 250,000 GBP
- 250,000 to 499,999 GBP
- 500,000 to 999,999 GBP
- over 1,000,000 GBP

## 5. Restrictions on Investments

Please indicate which, if any, types of investments you do not wish to invest in or any markets on which you do not wish transactions to be effected.

1. **Non-readily realisable investments:** These are investments in which the market is limited or could become so; they can be difficult to deal in and it can be difficult to assess what would be a proper market price for them. Please indicate by ticking below if you do **NOT** wish to be advised upon or to purchase such investments.

No

2. **Off-exchange transactions:** In certain circumstances we may deal for you in circumstances in which the relevant deal is not regulated by the rules of an exchange. Please indicate by ticking below if you do **NOT** wish to be advised upon or enter into such transactions.

No

If you would like more information about any type(s) of investments please speak to your usual contact at the firm.

Unless indicated below, we shall assume that there are **NO** other restrictions on the type of transaction we may recommend to or enter into with you or the markets upon which transactions may be effected.

Other restrictions (please continue on a separate sheet if necessary)

No other restrictions

## 6. Marketing

### Marketing

We would like to give you information about products and services offered by us or selected third parties which we believe may be of interest to you. We may also disclose information to third parties to enable them to contact you directly for these purposes. If you do not wish to receive such information from us or selected third parties, please would you inform us by ticking the appropriate box(es) below. If any of them are not ticked, we will assume that you would like to receive this kind of information by the means specified:

I do not want to receive information concerning products or services offered by you

I do not want to receive information concerning products or services offered by third parties.

Subject to your choices, you may be contacted either by post or by telephone. If you would prefer to receive information by email or other electronic means then please tick the following box .

**7. Declarations and Signature of the Client**

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 I have read and understood the Product Information Schedule enclosed in the application pack, that I have read, and consent to, the Order Execution Policy as published at [www.bfl.co.uk](http://www.bfl.co.uk) and that you may execute my orders outside a Regulated Market or MTF.
- **I agree to be bound by the Agreement and conditions enclosed with this form and any provisions included in this form.**

This form and the information set out in it will constitute part of the agreement between the Client and Berkeley Futures Limited. This form constitutes the Client's offer to Berkeley Futures Limited to receive the services provided by Berkeley Futures Limited. Berkeley Futures Limited will confirm acceptance of the offer.

Client Signature:

Date:

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