



Ramsey Crookall

Company / Trust / Pension
Registration Form



This Application Form is for a company, trust, pension, charity, partnership or foundation. Please complete in block capitals and kindly note that all questions are mandatory.

Section 1. Service required

Please indicate which service you require

Discretionary Managed

Advisory

Execution Only

Section 2. Registration details

Registered / Trading name

Introduced by (if applicable)

Entity type

Company

Trust

Pension

SPP

Charity

Foundation

Partnership

Other (please specify)

Place and date of incorporation / formation / creation

Entity registration number

Nature of Entity, background information and history

Section 3. Contact details

Telephone number 1

Telephone number 2

Email address 1

Email address 2

Registered address

Correspondence address (if different from registered address)

Post Code/ZIP

Post Code/ZIP

For internal use only

Account reference

Nominee Reference

Account Executive

Section 4. Entity control

PLEASE COMPLETE THE FOLLOWING FOR ALL DIRECTORS, TRUSTEES AND AUTHORISED SIGNATORIES

Name and address (Individual 1)

Name and address (Individual 2)

Post Code/ZIP

Post Code/ZIP

Date of birth (dd-mm-yyyy)

Date of birth (dd-mm-yyyy)

Country of tax residence 1

Country of tax residence 1

Country of tax residence 2

Country of tax residence 2

Tax reference number /Tax Identification Number (TIN)

Tax reference number /Tax Identification Number (TIN)

National Insurance Number

National Insurance Number

Position held within Entity (Please tick)

Position held within Entity (Please tick)

Director Trustee Authorised Signatory

Director Trustee Authorised Signatory

Name and address (Individual 3)

Name and address (Individual 4)

Post Code/ZIP

Post Code/ZIP

Date of birth (dd-mm-yyyy)

Date of birth (dd-mm-yyyy)

Country of tax residence 1

Country of tax residence 1

Country of tax residence 2

Country of tax residence 2

Tax reference number /Tax Identification Number (TIN)

Tax reference number /Tax Identification Number (TIN)

National Insurance Number

National Insurance Number

Position held within Entity (Please tick)

Position held within Entity (Please tick)

Director Trustee Authorised Signatory

Director Trustee Authorised Signatory

Section 5. Ultimate Beneficial Owners & related parties

PLEASE COMPLETE THE FOLLOWING FOR ALL SHAREHOLDERS, SETTLORS AND BENEFICIARIES

Name and address (Individual 1)

Name and address (Individual 2)

Post Code/ZIP

Post Code/ZIP

Date of birth (dd-mm-yyyy)

Date of birth (dd-mm-yyyy)

Country of tax residence 1

Country of tax residence 1

Country of tax residence 2

Country of tax residence 2

Tax reference number /Tax Identification Number (TIN)

Tax reference number /Tax Identification Number (TIN)

National Insurance Number

National Insurance Number

Position held within Entity (Please tick)

Position held within Entity (Please tick)

Shareholder

Settlor

Beneficiary

Shareholder

Settlor

Beneficiary

Name and address (Individual 3)

Name and address (Individual 4)

Post Code/ZIP

Post Code/ZIP

Date of birth (dd-mm-yyyy)

Date of birth (dd-mm-yyyy)

Country of tax residence 1

Country of tax residence 1

Country of tax residence 2

Country of tax residence 2

Tax reference number /Tax Identification Number (TIN)

Tax reference number /Tax Identification Number (TIN)

National Insurance Number

National Insurance Number

Position held within Entity (Please tick)

Position held within Entity (Please tick)

Shareholder

Settlor

Beneficiary

Shareholder

Settlor

Beneficiary

Section 7. Self-certification declaration form for an entity

Ramsey Crookall is a participating Financial Institution under the U.S. FATCA reporting regime and is a financial institution under the OECD's Common Reporting Standard. Enclosed with this form is an Entity Self-Certification form which you are required to complete on behalf of the entity.

If you require a 'Controlling Person' form please let us know and we will forward it to you.

Section 8. Source of wealth

Ramsey Crookall is required to develop an understanding of the manner in which the account will be used. We also wish to understand your source of funds and how the Entity's wealth was derived. We may request documentary evidence.

Please provide information below, in as much detail as possible, how the Entity's wealth was generated:

Beneficial owner's salary

Proceeds from charity

Proceeds from sale of a business (date of sale)

Inheritance (approx. date of receipt)

Proceeds from sale of property or assets (date of sale)

Funds from a parent company / trust

Transfer of holdings from another company / trust

Pension investment

Sale of shares / share save scheme (please indicate company)

Other (please specify)

Section 9. Source of funds

Please state where the initial funds are coming from i.e. Bank, solicitors, parent / group company etc. and how you will send them to us (evidence may be requested)

Section 10 (a). Valuations & copy contracts (Discretionary clients only)

Formal valuations will be sent to you quarterly. If you also require a valuation at your tax year end, e.g. 5th April, please input date :

Do you wish to have copy contract notes on all purchases and sales sent to another address Yes No

If Yes, please provide the details of the individual or company that you wish us to send copy contracts to:

If you would like to receive copy contracts by email, please provide the email address:

Post Code/ZIP

Section 10 (b). Valuation & copy contracts (Advisory/Execution Only clients)

Will you require any valuations? Yes No
(Please note there is a charge of £5 per item with a minimum charge of £50)

If yes, please state what date you would like valuation at:

Section 11. Client web access & daily market report

Ramsey Crookall offers you the ability to view your portfolio online using our secure online service which allows you to monitor holdings and cash balances on your account which details recent trade history, dividends and the current market value.

The online service also has a free valuation service which allows you to produce a valuation of your portfolio instantly that can be saved or printed.

Do you wish to sign up for Client Web Access (CWA), an online portfolio and valuation service? Yes No

If yes, upon completion of the account opening procedure, your user name and password will be emailed directly to the email address provided in section 3. Please note that only one login is issued per account.

We also offer the Ramsey Crookall mobile app which utilises the same login details – This is available on the App store and Google Play store.

Do you wish to receive our twice daily market report via email Yes No

Section 12. Bank details

Your bank account details, for any payments that are to be made to you.

Bank name

Account name

Account number

Sort code

Bank address

IBAN

SWIFT

Post Code/ZIP

NB. Where the client entity does not have a bank account, payments can be made to the client money account of a licensed corporate service provider or to the beneficial owner.

Section 13 (a). Income payment details

Please provide instructions below in regards to income and how it is to be applied.

Dividend Income

Cash

Shares

Are dividends to be taken in cash or, where possible, in shares

Yes

No

Is income to be transferred to the Capital Account for reinvestment?

If no, your accumulated dividend income will be paid by BACS to your bank account quarterly

Bond Interest

Yes

No

Is bond interest to be transferred to the Capital Account for reinvestment?

If no, your bond interest will be paid by BACS to your bank account upon receipt

Section 13(b). Confirmation of income payments

When an income payment is made, confirmation and tax vouchers should be sent to:

Me

Registered Agent

Registered agent name

Registered agent address

Relationship to me

Post Code/ZIP

Section 14. Politically Exposed Person

In financial regulation, "politically exposed person" (PEP) is a term describing someone who has been entrusted with a prominent public function, or an individual who is closely related to such a person.

Are any of the associated individuals classed as a Politically Exposed Person (PEP) Yes No

Are any of the associated individuals related to a PEP in any way Yes No

If Yes, please provide further information

Section 15 (a). Identification and verification – for all individuals

In order to comply with Anti-Money Laundering Guidelines you must provide us with a minimum of 2 documents as evidence of your identity – Primary ID and Secondary ID as detailed below for each applicant. You must either:

- A) Provide us with the original documents so that we can arrange for copies to be taken and certified in the office (the originals will then be returned to you) or
- B) Arrange for one of the following individuals to certify your documents:
- a member of the judiciary, a senior civil servant, serving police or customs officer,
 - an officer of an embassy, consulate or high commission of the country of issue,
 - a lawyer or notary public who is a member of a recognised professional body,
 - an actuary who is a member of a recognised professional body,
 - an accountant who is a member of a recognised professional body,
 - a company secretary who is a member of a recognised professional body or a director
 - a director, company secretary or manager of a business regulated in the Isle of Man or an external regulated business as defined in the IOM Anti-Money Laundering Handbook.

The certifier must certify each copy as "*a true copy of the original*" stating clearly his / her qualification, position / capacity, organisation's name, address and date certified.

Primary ID – Valid Passport, Driving Licence or Government Issued National Identity Card.

Secondary ID – Rates, Council Tax or Utility Bill (mobile phone bill is not acceptable) Bank Account Statement, Driving Licence or Income Tax Assessment or Return form which clearly states your residential address.

Section 15 (b). Identification and verification – for Company / Trust / Pension

Entities must also provide the following in addition to the above:

For a Company

- Certified copy of the company's Certificate of Incorporation
- Certified copy of the company's Memorandum & Articles of Association
- An up to date signatory list for the account detailing those individuals who have signing authority on the account

For a Trust / Pension

- Certified copy of the Trust / Pension deed
- An up to date signatory list for the account detailing those individuals who have signing authority on the account

Please delete as appropriate and have the following resolution signed by the directors/trustees

Company / Trust Name

DIRECTORS"/TRUSTEES" RESOLUTION IN WRITING

We, the undersigned, being all the Directors/Trustees for the time being of the above named Company/Trust hereby pass the following Resolution and agree that the said Resolution shall for all purposes be as valid and effective as if the same had been passed at a Meeting of the Directors/Trustees of the Company/Trust duly convened and held.

RESOLUTION:

That the application form received from Ramsey Crookall & Co to open an account with them is completed and signed by the directors/trustees and forwarded to Ramsey Crookall & Co Ltd.

Signature

Signature

Name

Name

Position

Position

Date (dd-mm-yyyy)

Date (dd-mm-yyyy)

Signature

Signature

Name

Name

Position

Position

Date (dd-mm-yyyy)

Date (dd-mm-yyyy)

Section 17. Declaration and signature

1. We understand that Ramsey Crookall reserve the right to decline this application without being required to provide any reason.
2. We certify the accuracy of the information provided in this Registration form and the legitimacy of the statements made in this Registration Form and authorise you to conduct any enquires that you may consider necessary for confirmation of these for risk assessment purposes.
3. We have ensured that any alterations made to this Registration Form by me / us have been signed by me / us.
4. We will notify Ramsey Crookall of any changes, at any time, to the information that I / we have provided in this Registration Form.
5. We accept full liability and responsibility for any correspondence that is sent from Ramsey Crookall to me / us and understand that it is done so at my /our own risk.
6. We have read and understood the Terms of Business for the service we have chosen, the Client Investment Questionnaire (if applicable) and Fee Schedule.
7. We agree to be bound by Ramsey Crookall's Terms of Business in addition to this Registration Form, Client Investment Questionnaire (if applicable) and Fee Schedule for the service I have selected. I / we agree to be bound by the conditions included in these agreements.
8. We agree that those signatories in Sections 6 have authority to place instruction on behalf of the entity.

Signature

Signature

Name

Name

Position

Position

Date (dd-mm-yyyy)

Date (dd-mm-yyyy)

Section 18. Where did you hear about us

Magazine Newspaper Radio Events Sponsorship Online Recommendation Other

Section 19. About us

Ramsey Crookall was established in 1946 and is the Isle of Man's longest established independent firm of stockbrokers and investment managers. Over the decades we have developed considerable expertise in offering bespoke services to our private and institutional clients, charities, trusts and pension funds.

For more information please feel free to contact us:

Address:

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Nominee holding

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