



**Ramsey Crookall**

**Individual Client  
Registration Form**



This Registration Form is for both individuals and joint applicants. If there are more than two applicants, please complete their details on a separate Registration Form. Please complete in block capitals and kindly note that all questions are mandatory.

## Section 1. Service required - Please tick

Discretionary Managed

Advisory Dealing

Execution Only

## Section 2. Personal details

### Applicant 1

Title Mr Mrs Miss Ms Other (please specify)

Surname

Forename(s)

Previous surname(s) (if applicable)

Date of birth (dd-mm-yyyy)

Town or city of birth

Country of nationality (if more than one, please state)

### Applicant 2

Title Mr Mrs Miss Ms Other (please specify)

Surname

Forename(s)

Previous surname(s) (if applicable)

Date of birth (dd-mm-yyyy)

Town or city of birth

Country of nationality (if more than one, please state)

## Section 3. Contact details

Home telephone number

Home telephone number

Mobile telephone number

Mobile telephone number

Email address

Email address

Residential address

Residential address

Post Code/ZIP

Post Code/ZIP

## For internal use only

Account reference

Service /designation

Account Executive

### Section 3. Contact details continued

Applicant 1.

Applicant 2.

Correspondence address (if different from residential)

Correspondence address (if different from residential)

Post Code/ZIP

Post Code/ZIP

Post

Email

Please indicate your preferred method of receiving correspondence

### Section 4. Employment details

Present occupation

Present occupation

Employer name

Employer name

Employer address

Employer address

Post Code/ZIP

Post Code/ZIP

### Section 5. Tax declaration

The Isle of Man Government participates in a number of inter-governmental agreements to share tax information, where required with tax authorities in other jurisdictions (the Common Reporting Standard and US FATCA) The requirement to collect certain information about each customer's tax arrangement and report it to the Isle of Man Tax Office is part of Isle of Man legislation and as an Investment Business, Ramsey Crookall is legally obliged to collect it. We are asking for your tax residency and tax reference number and will record this on our records, but will only disclose this information to Isle of Man Tax Office when required to under Isle of Man law. You must provide your National Insurance number (if resident in UK or Channel Islands) and your tax reference number below. By signing this form, you agree to and accept that Ramsey Crookall will disclose your personal and account details to the Isle of Man Tax Office and that these details will then be passed on to the relevant tax authorities in your country of tax residence.

Applicant 1

Applicant 2

All countries of Tax residence

All countries of Tax residence

Tax reference number / Tax identification number (TIN)

Tax reference number / Tax identification number (TIN)

National insurance number (NI) if UK or Channel Islands

National insurance number (NI) if UK or Channel Islands

If you do not have a tax reference number please state reason below

If you do not have a tax reference number please state reason below

## Section 6. Source of wealth

Ramsey Crookall is required to develop an understanding of the manner in which you will use your account. We also wish to understand your source of funds and how you obtained your wealth. We may request documentary evidence.

Please describe in as much detail as possible below how your wealth was generated:

Salary or bonus

Gift (approx. date of receipt)

Proceeds from sale of a business (date of sale)

Inheritance (approx. date of receipt)

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

Accumulated life savings (source e.g. name of bank)

Redundancy (approx. date of receipt)

Pension (approx. date of receipt)

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

Other (please specify)

## Section 7. Expected size and frequency of transactions (Advisory Dealing / Execution Only clients)

Anticipated frequency of trading

**OR** Please tick if transaction is a 'one-off' transaction

Anticipated monetary value of each transaction

## Section 8. Source of funds

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

## Section 9. Custody of assets

All investments and purchases will be held by us as Custodian on your behalf. Execution Only/Advisory Dealing clients; please refer to relevant Clauses 15.1, 18.1 and 23 of our Terms of Business.

## Section 10 (a). Valuation & 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 supply the email address below:

## Section 10 (b). Valuation & copy contracts (Advisory Dealing / 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:

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:

## 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 as well as a useful sector breakdown to enable you to effectively manage your portfolio.

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 2. 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 cash payments that are to be made to you.

Bank name

Account name

Account number

Sort code

Bank address

IBAN

SWIFT

Post code/ZIP

## Section 13(a). Income payment details

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

### Dividend income:

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

Is income to be transferred to capital account for reinvestment? Yes  No

If no, your accumulated dividends/bank interest will be paid by BACS to your bank account quarterly

### Bond interest:

Is bond interest to be transferred to capital account for reinvestment? Yes  No

If no, your accumulated 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. Security details

This is how we will identify you when dealing via telephone or email should we need to. Please indicate a secure password / memorable word and your mother's maiden name.

Applicant 1  Applicant 2   
Password or memorable word  Password or memorable word

Mother's maiden name  Mother's maiden name

## Section 15. Identification and verification (part i)

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.

Applicant 1  Applicant 2   
Are you a Politically Exposed Person (PEP)?  Yes  No  Are you a Politically Exposed Person (PEP)?  Yes  No   
Are you related to a PEP in any way?  Yes  No  Are you related to a PEP in any way?  Yes  No

If yes, please provide information below

If yes, please provide information below

## Section 15. Identification and verification (part ii)

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 document as “a true copy of the original which I have seen on (date)” 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 bills are not acceptable), Bank Account Statement, Driving Licence or Income Tax Assessment or Return form which clearly states your residential address.

## Section 16. Consent to receive marketing information from Ramsey Crookall

From time to time we would like to update you about our services or send you material you might be interested in.

Please tick the boxes below if and how you wish to receive such information.

By Email

By Post

By SMS

If you no longer wish to receive such information from us, you can let us know anytime and we will remove you from our mailing list but you will continue to receive information about your account with us.

## Section 17. Declaration and signature

1. I / we understand that Ramsey Crookall reserve the right to decline this application without being required to provide any reason.
2. I / we certify the accuracy of the information provided in this form and the legitimacy of the statements made in this Registration Form and authorise you to conduct any enquiries that you may consider necessary for confirmation of these for risk assessment purposes.
3. I / we have ensured that any alterations made to this Registration Form by me / us have been signed by me / us.
4. I / we will notify Ramsey Crookall of any changes, at any time, to the information that I / we have provided in this Registration Form.
5. I / 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. I / we have read and understood the Terms of Business, Privacy Policy, Investment Questionnaire (if applicable) and Fee Schedule.
7. I / we agree to be bound by Ramsey Crookall’s Terms of Business in addition to this Registration Form, Investment Questionnaire (if applicable) and Fee Schedule. I / we agree to be bound by the conditions included in these agreements.

Applicant 1  
Signature

Applicant 2  
Signature

Name

Name

Date

Date

Ramsey Crookall & Co Limited is licensed by the Isle of Man Financial Services Authority. Our IOMFSA registration number is: 1183. Our registered address is Securities House, 38/42 Athol Street, Douglas, Isle of Man, IM1 1QH. Our company number is: 046435C. RENE Nominees (I.O.M.) Limited is a wholly owned non-trading subsidiary of Ramsey Crookall & Co Limited, the registered office is the same as above and the company number is:001751C.

08/18