

## Personal Information

Please complete all details. Our regulator requires that we obtain this information from you, and we are unable to open your account without it.

### 01 Personal Details

Surname: \_\_\_\_\_

Forenames: \_\_\_\_\_

Title: (Mr/Mrs/Ms/other): \_\_\_\_\_ Date of birth: \_\_\_\_\_

Home address: \_\_\_\_\_  
\_\_\_\_\_

Postcode: \_\_\_\_\_

Do you own the property?  Yes  No

Time at current address: \_\_\_\_\_ Years \_\_\_\_\_ Months

Previous address if less than three years: \_\_\_\_\_  
\_\_\_\_\_

Postcode: \_\_\_\_\_

Where did you hear about us?

Advert  Article  IG Client  Internet  Other

Please give details: \_\_\_\_\_

### 02 Contact Numbers

Telephone (office hours): \_\_\_\_\_

Telephone (out of hours): \_\_\_\_\_

Mobile: \_\_\_\_\_

Fax: \_\_\_\_\_

Email (mandatory): \_\_\_\_\_

### 03 Employment Details

We shall not contact your employer for references.  
If self-employed please give details.

Employer's name and address: \_\_\_\_\_  
\_\_\_\_\_

Postcode: \_\_\_\_\_

### 03 Employment Details (continued)

Time with this employer: \_\_\_\_\_ Years \_\_\_\_\_ Months

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

Position held: \_\_\_\_\_

Is employer a quoted UK company?

### 04 Financial Details

Name and address of Bank/Building Society: \_\_\_\_\_  
\_\_\_\_\_

Postcode: \_\_\_\_\_

Account No./IBAN: \_\_\_\_\_

Sort code/BIC: \_\_\_\_\_

Approx. annual income before tax: £ \_\_\_\_\_

Approx. value of savings and investments (excluding property): £ \_\_\_\_\_

Approx. how much of these funds are available for your trading with us: £ \_\_\_\_\_

Source of these funds:  Employment  Inheritance  Investment

Other (please specify): \_\_\_\_\_

Approx. value of property: £ \_\_\_\_\_

### 05 Statement/Confirmation Instructions

In the absence of other instructions from you, we will send confirmations and monthly statements by email. If you would prefer to receive these by post, please tick this box:

# Your Knowledge and Experience

Please complete the following section so we can assess the appropriateness of our services for you. Please note that we are required to make this assessment by law. It may be that we do not consider the account type you have selected to be appropriate for you. If this is the case, we will contact you to discuss further options.

1. To what extent over the past 3 years have you traded the following?

Shares and/or bonds	<input type="checkbox"/> Frequently	<input type="checkbox"/> Sometimes	<input type="checkbox"/> Rarely/never
Exchange-traded derivatives (e.g. warrants, futures or options)	<input type="checkbox"/> Frequently	<input type="checkbox"/> Sometimes	<input type="checkbox"/> Rarely/never
OTC derivatives (e.g. CFDs, spread betting, forex, binaries)	<input type="checkbox"/> Frequently	<input type="checkbox"/> Sometimes	<input type="checkbox"/> Rarely/never

2. How have you mostly traded these products?  Execution-only and/or Advisory  Managed

3. Do you have particular experience or qualifications which would assist your understanding of our services?  Yes  No

If yes:  Occupational experience: I have a good knowledge of OTC, leveraged derivatives through working in the financial sector

Qualifications: I have a good knowledge of OTC, leveraged derivatives because of a relevant professional qualification and/or education

4.  Please tick here if your investment portfolio, including cash deposits and other financial instruments, is EUR 500,000 or more (or GBP equivalent).

## Notice Agreement: Title Transfer

In accordance with Term 17(6) of your Customer Agreement, I hereby agree that I do not require money which I transfer to you to be held in accordance with the Client Money Rules (as defined in the Customer Agreement). I authorise you to treat any transfer of money by me as a transfer of full ownership of that money to you for the purpose of securing or covering my present, future, actual, contingent or prospective obligations. I understand that any money I transfer to you will not be segregated from your own money, that you may deal with such money in your own right, and that I will rank as a general creditor of yours.

I understand that you will transfer an equivalent amount of money back to me where the money is due to be repaid to me under the terms of the Customer Agreement.

Signed by the Client \_\_\_\_\_ Date \_\_\_\_\_

### Note to Client

We are covered by the Financial Services Compensation Scheme. You may be entitled to compensation from the scheme if we cannot meet our payment obligations to you. This depends on whether you are an eligible claimant, and the circumstances of the claim. Most types of investment business are covered for 100% of the first £30,000 and 90% of the next £20,000, so the maximum compensation is £48,000. Further information about compensation arrangements is available from the Financial Services Compensation Scheme ([www.fscs.org.uk](http://www.fscs.org.uk)).

# Non-Professional User

Please complete the following declaration in order to be classified as a non-professional user of our service. This will enable us to supply you with data feeds quickly and easily. If these terms do not apply to you, please contact us for more information.

In order to be classified as a non-professional user of the market data that we provide, you must hereby declare that:

- you will subscribe to the service as an individual, and in a personal capacity for your own benefit;
  - you will use the service solely in relation to the management of your personal funds and not as an investment advisor, broker to the public or for the investment of third party or corporate funds;
  - if you are employed by an organisation carrying out professional financial or investment activities and/or if you are currently registered or qualified as a professional securities trader or investment advisor
- with any national or regional exchange, regulatory authority, professional association or recognised body, you agree and undertake that your access to the service will be strictly for your sole personal use only; and
- you will not distribute, disseminate, republish or otherwise provide or make available any data from the service to any third party in any manner whatsoever.

I declare that the above statements as they apply to me, are true and correct. Further, I undertake to notify Alexander David CFDs if there is any change to my status such that any one of the statements above become untrue.



Signature \_\_\_\_\_

Date \_\_\_\_\_

## Declarations

I understand the nature and risks of Margin Trading via CFDs. I consent to the provision to me of the following information by way of a website: the Risk Disclosure Notice, the Margin Trading Customer Agreement, the Summary Order Execution Policy and the Summary Conflicts Policy and I hereby confirm that I have read, understood and agree to be bound by the terms of these documents. Finally, I confirm that I am aged 18 years or over and that the information provided by me in this form is true and correct.



Signature \_\_\_\_\_

Date \_\_\_\_\_

**ALL APPLICATIONS MUST BE ACCOMPANIED BY: (1) A PHOTOCOPY OF YOUR PASSPORT, DRIVING LICENCE OR NATIONAL IDENTITY CARD AND (2) AN ORIGINAL RECENT UTILITY (NOT MOBILE PHONE) BILL. IF APPLYING FROM OUTSIDE THE EUROPEAN UNION, PLEASE SUPPLY NOTARISED COPIES OF THESE DOCUMENTS (INCLUDING TWO UTILITY BILLS)..**

## Notices: Your Data

You acknowledge and consent to the following matters so that we may effectively manage your account:

1. We may store, use and pass on information to Alexander David Securities Limited about you and your trading, including all transactions and account details, together with any other information about you which we may hold (all of this information to be referred to as 'Data').
2. This Data will include your personal data (as defined in the Data Protection Act 1998).
3. If you require any further information about our use of such Data, you should contact us. We make no representation or warranty about any third party's use, storage or processing of such Data.
4. The use and disclosure of your personal Data described at paragraphs (1) through (3) above is in addition to any other Data use or disclosure by us which is set out in the provisions of the relevant customer agreement to which you are a party and have agreed to separately.

# Power of Attorney

Effective from the date of signature, I (the '**Customer**') hereby appoint **Alexander David Securities Limited** (the '**Attorney**') to be the Customer's Attorney for the following purposes.

1. To do business with **Alexander David CFDs** (the '**Firm**'; please note **Alexander David Securities Limited** are not connected with **Alexander David CFDs** who are a trading name of IG Markets Ltd) pursuant to the customer agreement with them and in accordance with the rules applicable thereto; and
2. For that purpose to:
  - a. open, operate and close the Customer's account (as appropriate) with the exclusion of cash withdrawals and third party payments;
  - b. deal on the Customer's behalf with the Firm which the Attorney undertakes on such terms as the Attorney shall determine in its discretion, including (without limitation) entering into transactions using any electronic or online trading system provided by the Company to the Attorney, or by giving oral or written instructions;
  - c. make margin payments on the Customer's account;
  - d. do anything else contemplated by the customer agreement which is reasonably necessary for the purposes of the Customer's dealing with the Company pursuant to that agreement.
3. The Customer authorises the Firm to accept all instructions for its account, whether orally or in writing, from the Attorney and its servants and agents. The Firm shall not be obliged to make any enquiry of the Customer or of any other account, account holder or person before acting on such instructions.
4. The Customer accepts full responsibility and liability for all such instructions (and for all transactions that may be entered into as a result) and will indemnify the Firm and keep it indemnified against any loss, damage or expense incurred by it as a result of its acting on such instructions. This indemnity shall be effective:
  - whatever the circumstances giving rise to such loss, damage or expense;
  - whatever the knowledge, acts or omissions of the Firm in relation to any other account held by any other person or body (including the Attorney named above) with the Firm.
5. The Customer further agrees that this indemnity shall extend to loss, damage or expense incurred by the Firm in reversing incorrect or erroneous instructions submitted by the Attorney that result in a transaction that must, for the protection of the Firm or its other customers or for reasons of market integrity, be reversed.
6. The Customer acknowledges and accepts the inherent risk that online or electronic communications may not reach their intended destination or may do so much later than intended for reasons outside your control. The Customer accepts that it bears the risk of the Attorney's instructions being lost for any reason whatsoever (including, without limitation, malfunctions in any electronic or online trading system).
7. The Customer acknowledges and accepts that, in providing an electronic or online trading system to the Attorney, the Firm has the right but not the obligation to set limits, controls, parameters and/or other controls on the Attorney's ability to use such a system. The Customer accepts that if the Firm chooses not to place any such limits or controls on the Attorney's trading, or if such limits or controls fail for any reason, the Firm will not exercise oversight or control over such instructions given by the Attorney and the Customer accepts full responsibility and liability for the Attorney's actions in such circumstances.
8. The Customer undertakes to ratify whatever the Attorney does under the authority or purported authority of this power. The Customer agrees to indemnify the Attorney against all expenses, losses and liabilities incurred by it when acting in pursuance of this power.
9. This authorisation may only be amended or revoked by the Customer in writing. Unless notified otherwise in writing by the Company, any such variation or revocation shall not be effective until two working days after it is received by the Firm. The Customer acknowledges that it will remain liable for all instructions given to the Firm prior to the revocation/variation being effective, and that it will be responsible for any losses which may arise on any transactions which are open at such time. The Customer will indemnify and keep the Firm indemnified in respect of any such losses.
10. This Deed shall be governed by and construed in accordance with the laws of England and Wales and I irrevocably submit to the jurisdiction of the English courts in relation to any dispute arising out of this Deed.

Name of Client \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

*In the presence of:*

Witness (Not required if the Customer is a Company)

\_\_\_\_\_  
Name of Witness Occupation

\_\_\_\_\_  
Address of Witness (not a PO Box):

\_\_\_\_\_  
Postcode:

Signature \_\_\_\_\_ Date \_\_\_\_\_

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10 Finsbury Square  
London EC2A 1AD  
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Fax: 020 7256 9567  
Email: [info@ad-securities.com](mailto:info@ad-securities.com)