

# Execution Only Service Solicitor Application Form

|                 |      |                         |
|-----------------|------|-------------------------|
| Office Use Only |      | Scan ref: <b>SOLFEO</b> |
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Please complete this form using **BLOCK CAPITALS** and return to **Walker Crips Investment Management, 128 Queen Victoria Street, London EC4V 4BJ.**

The use of I/we or my/our in this form is understood to be a Key Person acting on behalf of the Solicitor practice for whom this account application is being made.

This Agreement is for use by a professional Solicitor firm, acting on behalf of a deceased estate (underlying client), subject to the rules of a designated professional body. Any regulated activities performed by the Solicitor firm are incidental to its provision of professional services under Part XX of The Financial Services and Markets Act 2000 and any successor legislation.

## **A** Account Information (To be completed by all Key Persons)

### Solicitor Practice Details

|                                                                         |               |
|-------------------------------------------------------------------------|---------------|
| Firm's name                                                             |               |
| Underlying designation                                                  |               |
| Correspondence address                                                  |               |
| Postcode                                                                |               |
| Telephone                                                               | Email address |
| Registered office address<br>(if different from correspondence address) |               |
| Postcode                                                                |               |
| Solicitors Regulation Authority Registration Number                     |               |

### Underlying Client

|                                                                        |                             |
|------------------------------------------------------------------------|-----------------------------|
| Title (Mr/Mrs/Miss/Other)                                              | Surname                     |
| Full forenames                                                         |                             |
| Residential address                                                    |                             |
| Postcode                                                               |                             |
| UK Tax Identification Number (TIN)<br>(e.g. National Insurance Number) | Date of birth<br>DD MM YYYY |
| Overseas Tax Reference<br>for Non-UK Nationals                         |                             |

### First Key Person (Main contact)

|                                                                                                   |                                |
|---------------------------------------------------------------------------------------------------|--------------------------------|
| Title (Mr/Mrs/Miss/Other)                                                                         | Surname                        |
| Full forenames                                                                                    | Previous names (if applicable) |
| Telephone                                                                                         | Email address                  |
| This Key Person is authorised to give instructions for this account. <input type="checkbox"/> Yes |                                |

### Second Key Person (if applicable)

|                                                                                                   |                                |
|---------------------------------------------------------------------------------------------------|--------------------------------|
| Title (Mr/Mrs/Miss/Other)                                                                         | Surname                        |
| Full forenames                                                                                    | Previous names (if applicable) |
| Telephone                                                                                         | Email address                  |
| This Key Person is authorised to give instructions for this account. <input type="checkbox"/> Yes |                                |

## B Account Classification

Note: For full details, please refer to the Terms of Service and Business and the FCA Handbook on "COBS: Client Categorisation", which can be found on the FCA website.

We will treat you as a Retail Client unless you advise us otherwise.

|                                                                                                                                   |                                                                                                                                                                                                                                          |
|-----------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> <b>Retail</b><br>I/we confirm that I/we wish the Solicitor practice to be classified as a Retail client. | Retail clients are offered a higher level of protection by the FCA and are entitled to have complaints handled by the Financial Ombudsman Service. You will lose these protections if you elect to be classified as a non-Retail client. |
|-----------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

## C Category of Service

By completing this form you are applying to open an account with Walker Crips Investment Management Limited (WCIM) as an Execution Only client. Please complete all sections of this form, though it is your decision which of our support services you select in Section F.

|                                        |                                                                                                                                                                                                                                                                                                                                                            |
|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Under an Execution Only Account</b> | <ul style="list-style-type: none"><li>■ You make your own investment decisions;</li><li>■ Trades are executed upon your specific instruction;</li><li>■ We will not give advice on investments relating to the merits of the transaction;</li><li>■ We will only provide factual information such as share prices or market activity on request.</li></ul> |
|----------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

|                                                                                                                                                                                                       |                      |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------|
| Please enter your Walker Crips Investment Executive's name for your Execution Only service below. If you do not have an Investment Executive yet, please leave blank and we will allocate one to you. |                      |
| Your Investment Executive's name:                                                                                                                                                                     | <input type="text"/> |

## D Investment Intentions

Please indicate below the anticipated frequency and size of transactions.

### Frequency of trading (approximate)

- ☐ A one-off Execution Only sale
- ☐ Ongoing Execution Only sales (please select frequency below)
- ☐ trading (very frequent)    ☐ more than once a month    ☐ less than once a month

### Anticipated individual trade size (approximate)

- ☐ £0 - £10,000    ☐ £10,001 - £50,000    ☐ Over £50,001

Total investment value

£

## E Solicitor Client Money Bank Account Details

Bank/Building  
Society name

Account name

Bank address

Postcode

Sort code

-

Account number

## F Support Service Requirements

Note: Please read the Terms of Service and Business, which detail the conditions governing our Managed Deposit and Nominee Services, and the accompanying tariff sheet.

### Managed Deposit Service

How would you like us to handle your money?

Do you wish to maintain a Managed Deposit Account with WCIM?

This facilitates the convenience of receiving dividends and income into your account. Maintaining a Deposit Account is the easiest way to manage funds for buying and selling of securities. Payments will be made into this account, and if there is sufficient cash, purchases will be paid from this account. This reduces the need to send monies back and forth. Any credit balances may attract interest and the current interest rates can be found on our website at:

**<https://www.wcgplc.co.uk/source/documents/Managed-deposit-interest-rates.pdf>**

For full details, please refer to the Terms of Service and Business.

☐ Yes

☐ No

Payments will be made by electronic transfer (BACS) directly to your bank account when you request withdrawals from your account in the future.

### Income Payments

When income is received from investments, how would you like us to deal with it?

I would like the income from my portfolio to:

- ☐ ■ Accumulate in the income deposit account with WCIM.
- ☐ ■ Be paid to the nominated client money bank account monthly from the income deposit account with WCIM (subject to the monthly de minimis amount).
- ☐ ■ Be paid to the nominated client money bank account as soon as possible (subject to the de minimis amount).

## The logo of the German Society for Quality Management (DGQ) is a dark gray square containing a white capital letter 'G'.

**Documents required:**

- ☐

- ☐

- 7

1. I/We request and authorise you to open an account on behalf of the Organisation;
2. I/We have full power and authority to open and operate the account in accordance with the Organisation's constitutional or governing documents, authorisation and organisational structures and without breach of any law, restriction or obligation binding on the organisation;
3. I/We have read and accept WCIM's Terms of Service and Business and tariff sheet and consent to your Order Execution Policy incorporated therein, including consent for any orders to be executed outside a regulated market or a multilateral trading facility and for any unexecuted limit orders not to be made public;
4. I/We have provided true, accurate and complete information and authorise you to make any enquiries which you may consider necessary for confirmation of such information and undertake to update WCIM of any changes to the information provided without delay;
5. I/We consent to receiving marketing information from WCIM. (Please tick if you agree Yes ☐ )
6. I/We consent to receiving contracts and statements from WCIM in electronic format only, along with other documents as and when the services become available. (Please ensure that you provide an e-mail address on Page 1).  
(Please tick if you agree Yes ☐ )
7. I am/We are aware and accept that in certain circumstances Walker Crips Investment Management Ltd will be obliged to share this information with UK tax authorities, who may pass it on to other tax authorities.
8. The evidence I/we have obtained to verify the identity of the underlying client: i) Meets the standard evidence set out within the guidance for the UK Financial Sector issued by JMLSG (Joint money laundering steering group); or ii) Exceeds the standard evidence, where a client is assessed as higher risk (written details of the further verification evidence taken are attached to this confirmation, to evidence the additional checks undertaken).

### First Key Person

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

**Second Key Person (if applicable)**

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

Note:

- This Application Form and our Terms of Service and Business, which taken together, set out the basis of your relationship with WCIM. We intend to rely on these documents and for your own benefit and protection, you should read the terms carefully before signing this Form. If you do not understand any item therein, please ask for further details.
- The Terms of Service and Business can be found on [www.wcgplc.co.uk/businessc](http://www.wcgplc.co.uk/businessc). If you require a printed copy of the Terms of Service and Business, please contact [client.services@wcgplc.co.uk](mailto:client.services@wcgplc.co.uk) or 020 3100 8662.

| For Office Use Only                                  |  |                                     |
|------------------------------------------------------|--|-------------------------------------|
| Reviewed by AE                                       |  | Executive Notes<br><br><br><br>Date |
| AE Name                                              |  |                                     |
| On-boarding approval where required (signature/date) |  |                                     |
| On-boarding Name                                     |  |                                     |

## Walker Crips Investment Management

128 Queen Victoria Street, London EC4V 4BJ | 020 3100 8000 | [client.services@wcqplc.co.uk](mailto:client.services@wcqplc.co.uk) | [walkercrips.co.uk](http://walkercrips.co.uk)

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