

Account Opening Form – Corporate Clients

1. Company Details:

Company Name:			
Company Registration No:			
Company Contact and Position/Capacity:			
Registered Office Address:			
	Postcode		
Correspondence Address:			
	Postcode		
Company Contact Tel:		Tel Office:	
Fax:		Other Fax:	

2. Company Bank Details:

Company Bank:			
Sort Code:		Bank A/C Number for Transactions:	

3. Summary of Financial Position (tick as appropriate):

Approximate annual gross turnover:	£	
Current liabilities (representative annual figure):	£	
Size of financial instrument portfolio (defined as including cash deposits and financial instruments) of the company:	£	
Do you understand that only risk capital should be invested?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Are you the beneficial owner of the funds?	Yes <input type="checkbox"/> No <input type="checkbox"/>	
Please attach copies of the company's latest audited financial accounts.	Yes <input type="checkbox"/> No <input type="checkbox"/> (Accounts Attached)	

ONE KNIGHTSBRIDGE CAPITAL

4. Company Objectives:

Please provide a short summary of what the company is seeking to achieve through this engagement: (e.g. capital growth/income stream etc.)	
Are there any specific risks you wish to avoid (Please specify):	

5. To be completed by the person authorised to carry out transactions on behalf of the firm:

Briefly explain your experience and knowledge in relation to the transactions that you plan to execute via the firm	
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6. Company Details:

Date of incorporation:	Nature of Business:
Are you regulated by or part of a professional body (please specify):	

7. Company Investment Experience – Please note that this section should be completed with reference to the company itself and not the individual authorised to carry out transactions on behalf of the company:

SECURITIES & BONDS

Have you traded in Securities? Yes <input type="checkbox"/> No <input type="checkbox"/> If 'yes' please give further details below			
Length of activity (approx. number of years)	Frequency (number of transactions a year)		Av. Transaction size (total consideration - £000)
0-1 <input type="checkbox"/> 1-2 <input type="checkbox"/> 2+ <input type="checkbox"/>	1-39 <input type="checkbox"/> 40-80 <input type="checkbox"/> 80+ <input type="checkbox"/>	0-5 <input type="checkbox"/> 6-25 <input type="checkbox"/> 25+ <input type="checkbox"/>	
How has the company gained this experience?	As a Retail Client <input type="checkbox"/>	As a Professional Client <input type="checkbox"/>	As an Eligible Counterparty <input type="checkbox"/>
Please confirm if the company was with a UK regulated investment firm:			Yes <input type="checkbox"/> No <input type="checkbox"/>
Capacity in which traded:	Execution Only <input type="checkbox"/> Advisory <input type="checkbox"/> Discretionary Management <input type="checkbox"/>		

Declaration

I confirm that the information that we have provided in this Questionnaire is true to the best of our knowledge and may be relied upon by ABC in assessing whether our company meets the detailed requirements to be treated as a professional client.

Company Name

Authorised Signatory

Date

Initial list of documents to be provided with this application:

- A copy of the Memorandum and Articles of Association of the company.
- A copy of the Certificate of Incorporation.
- A list of authorised signatories to deal on the account.
- Register of members/shareholders.
- Latest financial statements.
- An original W8 Ben.
- Passport and Utility bill of the main signatory to deal on the account.

Notice of classification as a “Professional Client”

Dear Sir/Madam,

“Notice of Classification as a Professional Client”

Based upon the discussions we have had with you and the information you have supplied to us, we have classified you as a “professional client” ostensibly by reason of your experience and understanding. As a consequence of this categorisation, you will lose the protections afforded to “retail customers” under the rules of The Financial Conduct Authority (FCA).

If you disagree with this classification, or would like to discuss its implications further, please contact us prior to conducting any investment business with One Knightsbridge Capital.

The protections that you will forego by reason of being classified as a “professional client” include the following:

- We are not obliged to warn you of the nature of any risks involved in investments that we may advertise or recommend to you.
- You will lose the protections afforded by the FCA’s suitability rules which mean that we are reliant upon you to determine whether or not an investment that we recommend to you is suitable for your needs.
- We are under no obligation to set out in writing the basis on which the services we will provide to you will be affected.
- We are not required to inform you of the charges applicable in relation to the services that we will provide, however we will continue to charge you in accordance with the scale already agreed unless we advise you to the contrary.
- We do not have to provide you with “best execution” although, wherever it is possible, we shall endeavour to do so.
- You will have no right to compensation under the Financial Ombudsman Service.
- You will lose the right of access to the Financial Services Compensation Scheme of the FCA.
- You should also be aware that your rights to sue One Knightsbridge Capital for damages will be restricted as you will only be able to sue for breaches of obligation which do not include the private customer protections noted above.

We should be grateful if you would confirm that you have read and understood this notice and consent to be classified and treated as a “professional client” by signing and returning the attached copy of this letter. Thank you for your assistance in this matter.

Yours sincerely,

One Knightsbridge Capital.

I/we have read and understood the contents of this letter and confirm and consent that I/we should be treated as a “professional client”.

Signature: _____

Name (Printed): _____

Position/title: _____

Date: _____