

**Before completing this application form, please ensure that you have obtained and read the information regarding your One Knightsbridge Capital account including the Terms of Business.**

**PERSONAL**

Name of SSAS:

Care-Of (C-O):

Home Address:  (previous address if less than 3 years):

Date of Birth:  Driver's Licence No:

Marital Status:  Passport MRZ:   
(NB: long alphanumeric at bottom)

Occupation:  Place of Birth:

Home Telephone No:  Nationality:

Mobile No:  Non- UK Resident:   
 [ add address if non-UK resident]:

Business No:

Email address:

**FINANCIAL SNAPSHOT**

Please indicate the source(s) of your funds for trading:

Employment     
  Pensions(s)     
  Inheritance     
  Self-employed  
 Savings & Investments     
  Other (please state): \_\_\_\_\_

Net Worth (GBP):     
  1M - 4M     
  5M - 10M     
  11M-24M     
  25M+

Annual Income (GBP):     
  100K - 250K     
  251K - 500K     
  501K - 1M     
  1M+

Portfolio Value (GBP):     
  100K - 400K     
  401K - 1M     
  1M - 5M     
  5M+

Average Monthly Incomes after Tax:

Average Monthly Outgoings:   
 (Living expenses, Mortgage & other payments)

Portfolio Makeup:

Cash, Equities, Bonds or equivalent   
 A blend including; blue chip and speculative stocks, fund, property,   
 Speculative portfolio including; tech stocks, high risk funds, derivatives

## INVESTMENT HISTORY - INVESTMENT EXPERIENCE (YEARS)

Number of Years' Experience:

 **Good Experience**

The company has a good knowledge of investing and has a competent understanding of different types of investments, markets and strategies

 **Sophisticated Experience**

The company is a sophisticated investor and has extensive experience in different types of investments, markets and strategies

What type of investment services have previously been provided to you?

 Execution Only    Advisory    Discretionary    High Frequency Trading

## TRADING FREQUENCY

What is the average number of trades made by you each quarter?

 6-10 trades 10 + trades

## PROFESSIONAL ELECTIVE CLIENTS

Our services are solely provided to Professional and Eligible Counterparty clients. If you wish to qualify as a Professional Elective client **it will be necessary for you to meet two of the three criteria shown below:**I have carried out transactions in significant size on the relevant market(s) at an **average frequency of 10 per quarter over the previous four quarters.**The size of my investment portfolio, defined as including financial instruments and cash deposits, **exceeds €500,000 (£400,000 approx).**I work or have worked **in the financial sector for at least one year in a professional position**, which requires knowledge or the transactions or services envisaged.

## INVESTMENT OBJECTIVES

 Primarily Income    Primarily Capital Growth    Balanced Return    High Frequency Trading Medium Risk    High Risk

\* By selecting medium risk you will not trade leveraged or complex products.

**RISK DISCLOSURE**

Trading in financial products always involves a risk. You may not recoup the original amount invested with the Company. There is no assurance given by the Company that your investment objectives will be achieved. As a general rule you should only trade in financial products if you understand the products and the risks associated with them.

High Frequency Trading and investment in leveraged as well as non-leveraged instruments, including Contracts for Differences (CFD's) and similar instruments is:

- highly speculative
- may involve a high degree of risk; and
- is appropriate only for persons who, if they trade on margin, can assume the risk in excess of their margin deposit and hold sufficient funds to meet margin calls on demand.

Due to the low margin normally required in CFD's and similar instrument trades, price changes in the underlying asset may result in significant losses, which may substantially exceed your investment and margin deposit.

When you direct the Company either by instruction or under discretionary powers to enter into any transaction on your behalf, any profit or loss arising as a result of a fluctuation in the value of the asset will be entirely for your account and at your risk.

You will be solely responsible for the risks inherent in high frequency trading, trading CFD's and similar instruments.

**I hereby declare that I have read, acknowledge and understand this Risk Disclosure statement**

**GENERAL DISCLOSURE**

Are you going to be trading for any third party?  Yes  No

Does this account hereto control or have financial interest in the trading of any other account(s) with this firm?  Yes  No

Do you have any other trading account(s) with other financial firms?  Yes  No

Do you have pending litigation, disputed accounts or other unresolved matters with any other financial firm?  Yes  No

Have you ever been subjected to bankruptcy or insolvency?  Yes  No

**If the answer is YES to any of the above, please provide details:**

I acknowledge receipt of One Knightsbridge Capital Terms of Business. **I confirm and accept** that this form, **the Terms of Business** and accompanying documentation form **all** of the agreement between us. I accept and agree to be bound by the terms provided within these documents and consent to the terms of such documents including future updates to these to be provided to be by way of posting them on the website or being advised to me in writing. **If this document has been completed on your behalf, please take time to check its accuracy, before signing and returning it to us.**

Signature:

Print Name:

Date:

## 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 LLP.

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: \_\_\_\_\_