

# Individual Account Application Form

Please complete ALL SECTIONS in full using BLOCK CAPITALS. Failure to do so could delay the opening of your trading account.

Please call 0845 355 0801 should you have any questions.

## 1 - Account Type

Are you applying for an individual or joint account?

Spread Bet      CFD

Individual      Joint

(If you are applying for a joint account, please ensure that the Joint Account Supplementary Form is completed by the second applicant)

## 2 - Your Personal Details

Title      Mr      Mrs      Miss      Ms      Dr

Other      Please specify

First Name

Surname

Date of Birth (DDMMYYYY)

Citizenship

Please enter all the countries where you are a resident for tax purposes and provide your tax identification number or equivalent such as social security number, national insurance number, resident registration number, or personal identification code. If your country does not issue tax identification numbers, please enter NA.

Country / Jurisdiction of tax residence      Tax Identification Number

Name of Joint Applicant (if applicable)

### Your Current Address Details

Address Line 1

Address Line 2

Address Line 3

Town

County

Postcode

Country

Occupancy

Owner      Rented      Living with Parents

Time at current address      Years      Months

If you have been at the above address less than 3 years, please give your previous address.

### Previous Address

Address Line 1

Address Line 2

Address Line 3

Town

County

Postcode

Country

Time at previous address      Years      Months

## 3 - Contact Details

Preferred contact number (please tick appropriate box)

Home Tel No

Business Tel No

Mobile No

Email Address

## 4 - Employment Details

As an FCA regulated firm we are required to assess whether leveraged trading is appropriate for you. Your responses will be used to determine whether we are able to open an account for you so please complete your application carefully.

**Employment Status**      Employed      Self employed

Retired      Student      Not Working

Employer / Business Name

*We will not contact your employer*

Nature of Business

## 5 - Financial Information

Your responses will be used to determine whether we are able to open an account for you. Please ensure that you provide accurate responses to the following important questions.

Total annual income

Total savings and investments

Source of funds

Savings/Investments	Family Income	Benefits
Loans/Credits	Property Income	Pension
Other		

## 6 - Trading Experience

Understanding your trading knowledge and experience will assist us in determining if an account is appropriate for you. Please answer the following questions carefully.

How often have you traded the following products in the last 12 months?

Shares or bonds

Frequently	Regularly	Occasionally	Never
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Futures, options or ETFs

Frequently	Regularly	Occasionally	Never
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Spread Bets, CFDs or margined FX

Frequently	Regularly	Occasionally	Never
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How many times have you traded Spread Bets, CFDs or spot FX in the last 12 months? (check one)

50 or more	25 - 49	10 - 24	Less than 10
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Do you have work experience that provides you with a good understanding of trading Spread Bets or CFDs?

YES NO

If yes, please specify:

I have at least 3 years' work experience

I have at less than 3 years' work experience or at least one years' experience investing on my own behalf

*Investing experience **must** be independent of your experience provided above.*

Do you have any qualifications that assist your understanding of Spread Bets or CFDs?

YES NO

If yes, please specify:

I hold a professional qualification or degree such as the CFA, MBA, BSc or MA

I hold a qualification or degree in finance, economics, accounting OR a similar field.

## 7 - Additional Information

If you do not understand the following concepts a leverage trading account may not be appropriate for you.

I understand that Spread Bets, CFDs, and Margined FX are leveraged products and their performance may be volatile.

I understand I don't understand

I understand that it is my responsibility to monitor and manage my account.

I understand I don't understand

I understand that when trading leveraged products it is possible to lose more than my initial investment.

I understand I don't understand

## 8 - Bank Details

Name of Bank / Building Society

Account number

Sort Code — —

## 9 - Central Counterparty Clearing

Your account will provide central counterparty clearing on certain markets through an Omnibus Segregated Clearing Account (OSCA). This service is free of charge.

You have the option to choose an Individual Segregated Clearing Account (ISCA) instead of, or in addition to, the omnibus account we provide as standard. Choosing an ISCA will incur account opening and maintenance fees. Read more or request ISCA information below.

No thanks Yes send me ISCA information

## 10 - Declaration

I confirm that:

- I wish to apply for an account or if relevant, a joint account with the persons named above;
- I am over 18 and that the information provided in this application is true and correct;
- I acknowledge and understand that the service provider is GAIN Capital UK Ltd;
- I have read and agree to the Terms and Policies (including the General Terms, Supplemental Terms, Market Information and Trade and Order Execution Policy, ("Terms and Policies"));
- I consent to you providing me with information, including without limitation, your Terms and Policies together with any updates or changes thereto in electronic form, including without

limitation, by email and by posting such information on the Company's Website at [www.cityindex.com](http://www.cityindex.com);

- I understand the nature and risks of Financial Spread Trading and CFD trading. I have read and understood the Risk Warning Notice in your Terms and Policies;
- I agree to the terms of your Privacy Policy as published on the Company's website;
- I consent to my orders being executed outside a regulated market or multi-lateral trading facility

If there is anything you do not understand, please call Client Management on 0845 355 0801

#### Data Protection

To comply with anti-money laundering regulations, the Company is required to collect information about you and to undertake checks on your identity and residential address, including accessing and using information held in any database or other electronic format. The Company may request further supporting documents from you to confirm these details. Such requests could delay the processing of this application.

The Company may use your personal information, for example, for responding to credit reference enquiries, searching the electoral register and making enquiries of credit reference and other agencies, who may retain a record of the enquiry and information given to them and who may also use your information in the future to assist other organisations for crime prevention and credit purposes.

You consent to us exchanging information with the firm or person who has introduced you to us (an "Introducer") in accordance with the General Terms.

The Company will add your details (including email details) to its database and will occasionally contact you by email, telephone or by post, about products and services offered by us that are similar or related to the products and services provided or previously provided to you. This information may also be displayed on our website at [www.cityindex.com](http://www.cityindex.com). By signing this form you consent to the use of your information in this way unless you indicate to us that you would prefer not to receive such material by writing to Client Management or by ticking this box.

By ticking the box below you authorise us to pass your details to selected Associated Companies or third parties (including Introducers) for the purpose of contacting you by email, telephone or post to give you information about carefully selected products or services offered by that party that are similar or related to the products or services provided or previously provided to you by us.

You consent to us using your data for this purpose for the period you have an account with us and after you have closed it. If you no longer wish to receive such information then please write to Client Management or write directly to the third party.

For further details about how the Company will use your personal information, please click [here](#) to be directed to the Privacy and Data Protection section of the Company's General Terms.

By signing this form you represent that all the information contained herein is true and accurate and you agree to be bound by the terms of this application form and the Agreement.

#### NYSE Terms

Some of the market data that you will be able to view as part of your account includes data from NYSE (New York Stock Exchange). Please indicate below whether or not you accept data from NYSE as a Nonprofessional Subscriber (as defined by NYSE). Please note that additional charges may apply if you accept data from NYSE as a Professional Subscriber. To view the NYSE terms visit - [www.filesandimages.com/Brand/Terms/PDF/NYSE.pdf](http://www.filesandimages.com/Brand/Terms/PDF/NYSE.pdf)

Professional Subscriber

Non-Professional Subscriber

Is the country specified above in Your Current Address Details your only country of residence for tax purposes?

YES

NO

Please check the rules of any country in which you may possibly be a tax resident and/or seek further independent tax advice if you are unsure as to your tax status.

#### 11 - Signature

Signature

Date (DDMMYYYY)

#### What to do next

Please check the details that you have provided are correct and that the application form is signed. Then send your completed application to us by post, fax or email scanned copies using the details below.

#### Freepost RSAR-ULBK-KKYS

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