



## ISA CLIENT APPLICATION FORM

Before completing this ISA application, please ensure that you have obtained and read the information regarding the products and services provided by Saxo Capital Markets UK Ltd ("SCML") and all relevant terms and policies made available, and updated from time to time, on our website [www.saxomarkets.co.uk](http://www.saxomarkets.co.uk).

The Saxo ISA, a Stocks & Shares ISA, is provided by SCML, authorised and regulated by the Financial Conduct Authority, Firm Reference Number 551422. Registered address: 26th Floor, 40 Bank Street, Canary Wharf, London E14 5DA. Company number 7413871, in their capacity as an ISA Plan Manager no. Z1849.

Once completed this form should be sent to Saxo Capital Markets Ltd at the business address above or alternatively please email a scanned copy of the completed application to [ISAaccounts@saxomarkets.com](mailto:ISAaccounts@saxomarkets.com).

**PLEASE COMPLETE THE FORM IN BLOCK LETTERS AND BLACK OR BLUE INK. ALL ITEMS MARKED WITH \* MUST BE PROVIDED.**

Saxo Capital Markets UK Ltd, 40 Bank Street, Canary Wharf, London E14 5DA, United Kingdom  
Company registered in England and Wales No.: 7413871  
Authorised and regulated by the Financial Conduct Authority



# SAXO ISA APPLICATION

## Part 1 | Personal Details

NAME AS ON PASSPORT

\*Forenames: First Name Other Name(s)  
\*Surname: \_\_\_\_\_  
\*Gender:  Male  Female  
\*Date of Birth: DD / MM / YYYY

\*Town/City of Birth: \_\_\_\_\_  
\*Country of Birth: \_\_\_\_\_  
UK National Insurance No.:   
\*Nationality: \_\_\_\_\_

\*IF YOU HAVE BEEN AT YOUR CURRENT ADDRESS FOR LESS THAN 3 YEARS, PLEASE ALSO PROVIDE YOUR PREVIOUS ADDRESS

\*Current residential address: \_\_\_\_\_  
\*House Name/No. & Street: \_\_\_\_\_  
\*Town/City: \_\_\_\_\_  
\*County: \_\_\_\_\_  
\*Postcode: \_\_\_\_\_  
\*Country: \_\_\_\_\_

\*Previous residential address: \_\_\_\_\_  
\*House Name/No. & Street: \_\_\_\_\_  
\*Town/City: \_\_\_\_\_  
\*County: \_\_\_\_\_  
\*Postcode: \_\_\_\_\_  
\*Country: \_\_\_\_\_

## Part 2 | Contact Details

\*Primary Telephone No.: (Including country and area code) \_\_\_\_\_  
\*Secondary Telephone No.: (Including country and area code) \_\_\_\_\_  
\*E-mail Address: \_\_\_\_\_

## Part 3 | Sources of Fund & Employment Details

\*Please indicate the source(s) of your funds for trading  
(select by ticking all that apply):

- Employment
- Pension(s)
- Inheritance
- Self-employed business
- Savings & Investments only
- Other (Please state): \_\_\_\_\_

If you have indicated that a source of funds is 'Employment', please confirm your employer details. Please note that no reference will be sought.

\*Employer Name: \_\_\_\_\_  
\*Nature of the Business: \_\_\_\_\_  
\*Job Title: \_\_\_\_\_  
Other (Please state): \_\_\_\_\_

If you have indicated that a source of funds is 'Self-Employed', please confirm the business details.

\*Business Name: \_\_\_\_\_  
\*Estimated Annual Turnover: \_\_\_\_\_  
\*Nature of the business: \_\_\_\_\_

## Part 4 | Financial Details

\*Monthly Income after tax: \_\_\_\_\_

\*Monthly outgoings (Living expenses, mortgage & other payments): \_\_\_\_\_

\*Estimated value of all Savings & Investments (i.e excluding any property ownership value): \_\_\_\_\_

## Part 5 | Trading Knowledge & Experience

\* How long have you continuously traded financial products on an execution-only basis?

- Less than 1 year  
 1 to 5 years  
 More than 5 years

\* Do you have any industry recognised qualifications for the type of trading that you intend to carry out with us?

- Yes  
 No

\* Do you work, or have you worked, in the financial sector for at least one year in a professional position which requires knowledge of the nature and risk involved in the type of trading you intend to carry out with us?

- Yes  
 No

\* Please indicate how many trades you have undertaken in each of the following products on an execution-only basis during the past 12 months.

NON-MARGINED  
PRODUCTS

APPROXIMATE NO.  
OF TRADES

Shares: \_\_\_\_\_

ETFs & ETCs: \_\_\_\_\_

Gilts & Bonds: \_\_\_\_\_

### Data Protection

To comply with the Money Laundering Regulations, SCML is required to collect information about you and to undertake checks on your identity and residential address, including accessing and using information held in database or other electronic format through other agencies. In carrying out electronic verification, other agencies may retain a record of the enquiry and information given to them. SCML may also request further supporting documentation from you to verify these details. Your information may be disclosed to law enforcement agencies and other relevant organisations for crime detection and prevention purposes. SCML will add your personal data and details (including email details) to the database of Saxo Bank Group which includes entities that are outside the EEA. A list of entities within the Group can be found on [www.saxobank.com](http://www.saxobank.com). SCML may exchange information or share your personal data with the firm or person who introduced you to us in order to provide the service to you. SCML may occasionally contact you by email, telephone or post to give you information about products and services offered that are similar or related to the product and services provided or previously provided to you.

If you do not consent to the use of your personal data in this way, we are unable to consider your application. By submitting the completed application form to us, you consent to the use of your information as indicated.

## Part 6 | Signatures & Declarations

### SCML Declaration

I declare that:

- I have read and understood the nature and the risk of the product(s) that I intended to trade in this account;
- I act in my name as specified on this application form and not on behalf of another party in respect of all matters related to this account. Accordingly, all funds to be deposited and transacted on the account are my own funds;
- I am not aware that I have any health or other conditions that may affect the proper operation of the account;
- I have provided true, accurate and complete information and undertake to update SCML of any changes to the information provided without delay ;
- I have obtained from the website ([www.saxomarkets.co.uk](http://www.saxomarkets.co.uk)), read and understood the following:
  - a) The General Business Terms, (including the product risks disclosure detailed in Schedule 1 to these General Business Terms)
  - b) Order Execution Policy,
  - c) Conflict of Interest Policy,
  - d) Commission, Charges & Margin Schedule
- I consent to the Order Execution Policy and for any orders to be executed outside a regulated market or a multilateral trading facility;
- I consent for any unexecuted limit orders not to be made public; and
- I accept and agree to be bound by the terms provided above and consent to such terms and information including future updates to these be provided to me by way of posting on the website indicated above.

### ISA Declarations

I apply for a stocks and shares ISA for the tax year 2016/2017 and each subsequent year until further notice. I have declared that:

All subscriptions made, and to be made, belong to me.

- I am 18 years of age or over.
- I have not subscribed and will not subscribe more than the overall subscription limit in total to a cash ISA, a stocks and shares ISA, and an innovative finance ISA in the same tax year
- I have not subscribed and will not subscribe to another Stocks & Shares ISA in the same year that I subscribe to this Stocks & Shares ISA and
- I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of Income Tax (Earnings and Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform SCML if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.

I furthermore declare that:

- I have read, understand and agree to SCML's Stocks & Shares ISA Terms and Conditions, the Supplementary Charging Schedule, the Saxo ISA Key Features and all of their contents and that I understand and accept that these together with SCML's Conflicts of Interest Policy and any other relevant terms and conditions (as amended from time to time) apply to my entire client relationship with SCML.

I authorise SCML:

To hold cash subscriptions, ISA investments, interest, dividends and any other rights or proceeds in respect of these investments and any other cash directly.

To make on my behalf any claims to relief from tax in respect of ISA investments.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_