



## INDIVIDUAL CLIENT APPLICATION FORM

Before completing this application form, 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).

Once completed this form should be sent to Saxo Capital Markets UK Ltd at the business address below or alternatively please email a scanned copy of the completed application to [privatesalesuk@saxomarkets.com](mailto:privatesalesuk@saxomarkets.com) or fax the completed application to +44 (0) 2071512001.

**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 & Wales No.: 7413871  
Authorised and regulated by the Financial Conduct Authority



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## 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: \_\_\_\_\_  
\*Nationality: \_\_\_\_\_  
Do you hold multiple nationality?  
If so please list: \_\_\_\_\_

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

\*Current Residential address: \_\_\_\_\_  
\*Flat No./Building Name: \_\_\_\_\_  
\*House Name/No. & Street: \_\_\_\_\_  
\*Town/City: \_\_\_\_\_  
County: \_\_\_\_\_ \*Postcode: \_\_\_\_\_  
\*Country: \_\_\_\_\_  
\*Which countries are you resident in for tax purposes?  
(Please list all): \_\_\_\_\_

\*Previous Residential address: \_\_\_\_\_  
\*Flat No./Building Name: \_\_\_\_\_  
\*House Name/No. & Street: \_\_\_\_\_  
\*Town/City: \_\_\_\_\_  
County: \_\_\_\_\_ \*Postcode: \_\_\_\_\_  
\*Country: \_\_\_\_\_  
\*UK National Insurance No. or other Tax ID.: \_\_\_\_\_  
If applicable  
U.S. Tax Identification No.: \_\_\_\_\_

## 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 Funds & Employment Details

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

- Employment
- Pensions(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: \_\_\_\_\_  
\*Business Name: \_\_\_\_\_  
\*Estimated Annual Turnover: \_\_\_\_\_  
\*Nature of the business: \_\_\_\_\_

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

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## 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 | Currency of the Main Account

\* Please state the currency of the main account: (The default currency will be GBP if left blank) \_\_\_\_\_

## Part 6 | 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 that 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.

APPROXIMATE NON-MARGINED PRODUCTS NO. OF TRADES

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

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

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

MARGINED PRODUCTS

FX Rolling Spot: \_\_\_\_\_

Options & Futures: \_\_\_\_\_

CFDs: \_\_\_\_\_

Financial Spread Bets: \_\_\_\_\_

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## Part 7 | Signature & Declarations

### 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.

### 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 accept that in certain circumstances SCML will be obliged to share information with UK tax authorities, who may pass it on to other tax authorities.
- 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.

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

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