



**Hedley**  
& Company

STOCKBROKERS LTD

# **Retail Client Information & Agreement Form**

## **Execution Only Service**

Hedley & Company Stockbrokers Limited

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**Authorised and Regulated by the Financial Conduct Authority  
Under Reference number 471207  
Member of the London Stock Exchange**





## Introduction

Founded in 1992, Hedley & Co are a leading Stockbroker and Wealth Manager in the North West of England, providing a comprehensive personal service to Private Clients, Corporate Clients, Charities, Trusts and Estates

### Execution Only Dealing

Execution only dealing is ideal if you are looking to take advantage of our dealers' knowledge of markets, liquidity, and a variety of trading platforms whilst maintaining full independence and responsibility for your trades.

Whilst execution only dealing does not require advice, it still requires a high level of service from our team. We pride ourselves on consistent communications with all our clients to ensure you are getting a service which meets and surpasses your expectations of an execution only dealer.

Hedley & Co can offer an execution only service for investments within SIPP and SSAS structures but does not advise on pension arrangements, life insurance or similar products although we are able to make introductions to appropriate specialists if required.

**Stockmarket investment should be regarded as a medium to long term commitment and you could lose some or all of your investment.**

Before proceeding, please read our Terms of Business and Schedule of Charges available on our web-site or upon request.

By using the Hedley & Co execution only service you are making your own investment decisions. Hedley and Co will act on your instructions but will have no responsibility as to whether your investment decisions are suitable for you.

Please note the value of investments and the income from them may fall as well as rise and is not guaranteed. The value of an investment or portfolio may fluctuate significantly, and may fall in value suddenly and significantly. Rates of currency exchange may cause the value of investments to go up or down. You may get back less than you invested.

We are obliged by the Financial Conduct Authority to hold some of your personal data to assist us in providing a share dealing service. Please see our terms of business for how we protect, control and process your data and your rights under GDPR.

**Please contact us and do not complete this form if you are unsure whether stockmarket investments are suitable for your financial needs**

## 1 Personal Details

	Applicant 1	Applicant 2 (if joint account)
Title		
Surname		
Forename(s)		
Date of Birth		
Place of Birth		
Nationality		
Permanent Residential Address in the UK		
Postcode		
National Insurance Number		
Email Address		
Home Telephone		
Work Telephone		
Mobile Telephone		
Are you a senior public figure / politician or related to one (politically exposed person)		

*For Corporate Clients, Trusts and Charities, please supply the above details for each of the directors, trustees & beneficiaries associated with the entity.*



## 2 Online Account Access

We are pleased to be able to offer online access to your portfolio where you can view your current investments together with contract notes and valuations. Please note that there is no facility to trade on the online platform; it is a view only system.

In order for us to register you for your online account access please complete the boxes below with your email address and mobile phone number.

Email Address	
Mobile Phone Number	

## 3 Your Bank Details

Principal UK bank account details are required even if no income is to be taken.

PLEASE CHECK YOUR BANK DETAILS ARE CORRECT AS MISTAKES IN PAYMENTS SOMETIMES CANNOT BE RECTIFIED.

Please supply proof that your bank account is in your name, such as a bank statement showing, your name, sort code and account number.

Bank Name As it appears on your bank card								
Account Name								
Sort Code			—			—		
Account Number								

## 4 Custody of Your Investments

We use the custodian and settlement services of Platform Securities LLP who are authorised and regulated by the Financial Conduct Authority under reference 214206. Platform Securities are part of FIS Global a US company who are in the Fortune 500 Index, their website address is [www.platformsecurities.co.uk](http://www.platformsecurities.co.uk)

All investments forming part of your portfolio will be held by Platform Securities LLP to your order with you as beneficial owner, making settlement quicker and more efficient

## 5 Income Instructions

Payments of income will normally be made within the first seven days of each selected month to the principal bank account on the previous page.

Monthly payments of income received

☐

Monthly transfer to dealing account for re-investment

☐

Monthly standing order

☐

Amount of standing order (if applicable)	£
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Quarterly standing order (Jan/Apr/Jul/Oct)

☐

Half yearly standing order (Apr/Oct)

☐

## 6 Source of Wealth

In order to comply with AML regulations, we need to understand the source of your wealth and incoming funds. This could be an inheritance or savings built up over time, please provide as much information as possible.



## 7 Third Party Instructions

If there is someone you wish to appoint to instruct us to act on your behalf as part of this agreement, please enter their name and address below. You agree that we may act on this persons' instructions without further reference to you and you will fulfil any obligations entered into by them on your behalf. This person will need to be identified to the same standard as the account holder e.g., Passport and Utility Bill, (see section 11).

Forename	
Surname	
Date of birth	
Permanent Residential Address in the UK	
Postcode	
Nationality	
National Insurance Number / Tax Identification Number	

## 8 Knowledge of Our Services

What types of investments have you had experience with (tick which boxes apply)

Stocks & Shares	<input type="checkbox"/>	CFD / Spread Betting	<input type="checkbox"/>
Funds (Unit Trusts / OEIC)	<input type="checkbox"/>	Derivatives / Warrants	<input type="checkbox"/>
Bonds / Fixed interest	<input type="checkbox"/>	None of These	<input type="checkbox"/>

Which types of investment service have you previously used (tick which boxes apply)

Discretionary Management	<input type="checkbox"/>	Non-Managed Advisory	<input type="checkbox"/>
Advisory Managed	<input type="checkbox"/>	Full Financial Planning Review & Advice	<input type="checkbox"/>
Execution Only	<input type="checkbox"/>	None of These	<input type="checkbox"/>

## 9 For Trusts, Companies and Charities

### Required Documentation

Companies		Charities	
Certificate of Incorporation	Latest Report & Accounts	Latest Report & Accounts	Charity Number
Board Resolution authorising opening	Signatory List	Trustee Resolution authorising opening	Signatory List

Tax Domicile	
Tax Rate	
Legal Entity Identifier (LEI)	

For trusts, please include a copy of the trust deed





## 10 SIPP (to be completed if you require the service for your SIPP assets)

Please let us know details of the SIPP Trustees

Name	
Address	
Post Code	
Telephone Number	
Your Account Number	

### SIPP Bank Account Details

Principal UK bank account details are required even if no income is to be taken.

PLEASE CHECK YOUR BANK DETAILS ARE CORRECT AS MISTAKES IN PAYMENTS SOMETIMES CANNOT BE RECTIFIED.

Bank Name								
Account Name								
Sort Code			—			—		
Account Number								

### SIPP Trustee Signature

Please sign to agree to Hedley & Co holding investments held within the above SIPP Account

Name		Signature	
Capacity		Date	

## 11A Tax Residency Certification (Individuals)

It is a requirement that persons declare to financial institutions all residencies for tax purposes

I confirm that I am solely UK resident for tax purposes

☐

Please initial the box

For Joint account holders

I confirm that I am solely UK resident for tax purposes

☐

Please initial the box

If either party to the account has non-UK tax residencies (including any dual residencies) please complete section B

### Section B: Tax Residency

Please indicate ALL countries in which you are a resident for the purposes of that country's income tax. If you are a US citizen, Green Card holder, or a US resident, you must complete and return an IRS (Internal Revenue Service) W-9 form and include any additional tax residencies in the table below.

Country of Tax Residency	Tax Identification Number (TIN)	Alternate Tax Reference (e.g., NI number)

### Section C: Declaration Section

- 1) I undertake to advise Hedley & Co. promptly of any change in circumstances which causes the information contained herein to become incorrect or incomplete and to provide Hedley & Co. with an updated declaration within 30 days of such a change in circumstances.
- 2) I am aware that in certain circumstances Hedley & Co. will be obliged to share this information with UK tax authorities, who may pass it on to other tax authorities.
- 3) I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete

Signature:

Print Name:

Date

Signature:

Print Name:

Date

**Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)**

- For use by individuals. Entities must use Form W-8BEN-E.
- Go to [www.irs.gov/FormW8BEN](http://www.irs.gov/FormW8BEN) for instructions and the latest information.
- Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

**Do NOT use this form if:**

- You are NOT an individual . . . . . W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual . . . . . W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the United States (other than personal services) . . . . . W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States . . . . . 8233 or W-4
- You are a person acting as an intermediary . . . . . W-8IMY

**Instead, use Form:**

**Note:** If you are resident in a FATCA partner jurisdiction (that is, a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

**Part I Identification of Beneficial Owner** (see instructions)

<b>1</b> Name of individual who is the beneficial owner	<b>2</b> Country of citizenship
<b>3</b> Permanent residence address (street, apt. or suite no., or rural route). <b>Do not use a P.O. box or in-care-of address.</b>	
City or town, state or province. Include postal code where appropriate.	Country
<b>4</b> Mailing address (if different from above)	
City or town, state or province. Include postal code where appropriate.	Country
<b>5</b> U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)	
<b>6a</b> Foreign tax identifying number (see instructions)	<b>6b</b> Check if FTIN not legally required . . . . . <input type="checkbox"/>
<b>7</b> Reference number(s) (see instructions)	<b>8</b> Date of birth (MM-DD-YYYY) (see instructions)

**Part II Claim of Tax Treaty Benefits** (for chapter 3 purposes only) (see instructions)

- 9** I certify that the beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.
- 10 Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph \_\_\_\_\_ of the treaty identified on line 9 above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_.
- Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: \_\_\_\_\_.

**Part III Certification**

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income or proceeds to which this form relates or am using this form to document myself for chapter 4 purposes;
- The person named on line 1 of this form is not a U.S. person;
- This form relates to:
  - (a) income not effectively connected with the conduct of a trade or business in the United States;
  - (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an applicable income tax treaty;
  - (c) the partner's share of a partnership's effectively connected taxable income; or
  - (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f);
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country; and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

**Sign Here**
☐ I certify that I have the capacity to sign for the person identified on line 1 of this form.

Signature of beneficial owner (or individual authorized to sign for beneficial owner)

Date (MM-DD-YYYY)

Print name of signer

## 11B Tax Residency Certification (Companies and Trusts)

It is a requirement that controllers of companies and trusts declare to financial institutions all tax residencies the entity, controllers (directors and trustees) and beneficiaries have

I confirm that \_\_\_\_\_ is solely UK resident for tax purposes  
(name of company or trust)

☐ Please initial the box (director or trustee)

If the company or trust has non-UK tax residencies (including any dual residencies) please complete section B

### Section B: Tax Residency

Please indicate ALL countries in which the entity is a resident for the purposes of that country's income tax.

Country of Tax Residency	Tax Identification Number (TIN)	Tax Identification Type

### Section C Please List ALL Directors or Trustees and Beneficiaries and their tax residencies

Director / Trustee / Beneficiary	Name	Tax Residency	Tax Residency

### Section C: Declaration Section

- 4) I undertake to advise Hedley & Co. promptly of any change in circumstances which causes the information contained herein to become incorrect or incomplete and to provide Hedley & Co. with an updated declaration within 30 days of such a change in circumstances.
- 5) I am aware that in certain circumstances Hedley & Co. will be obliged to share this information with UK tax authorities, who may pass it on to other tax authorities.
- 6) I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete

Signature:	Print Name:	Date
	Capacity	Director / Trustee (indicate which)



## 12 Identification Verification

Hedley and Co are required to verify the identity of all clients and nominated third parties by asking for a copy of **two** documents, one to verify the name the other the address.

For trusts, companies and charities, all directors, trustees and beneficiaries need to supply the following documents.

To verify your name (please tick the document supplied for each person)

Name of Person				
Signed Passport				
Driving Licence (photo card)				

To verify your address (please tick the document supplied)

Name of Person				
Driving Licence (photo card)				
Utility Bill / Statement issued within last 3 months				
Bank statement issued within last 3 months				
Credit card statement issued within last 3 months				
Local Authority tax bill issued within the last year				
Income tax notification or coding issued within last year				
Most recent mortgage / rent statement				

Please note the driving licence cannot be used to verify both name and address

Hedley and Co verify the documents you supply by using an on-line identity verification service, by opening up an account you agree to Hedley and Co processing the above data for this purpose

## 13 Assent and Signature

IF THERE IS ANYTHING OF WHICH YOU ARE UNSURE OR DO NOT UNDERSTAND PLEASE CONTACT HEDLEY & CO BEFORE YOU SIGN THIS FORM.

If this form has been completed by someone else on your behalf, please take the time to read through, check its accuracy and make sure that you understand the full agreement before signing.

By opening this account and signing below, the account owner represents and warrants that he/she/it is not a U.S. person for the purposes of U.S. Federal Income Tax and that he/she/it is not acting for, or on behalf of, a U.S. person. A false statement or misrepresentation of tax status by a U.S. person could lead to penalties under U.S. law. If your tax status changes or you become a U.S. citizen or a resident, you must notify us within 30 days.

**For my/our benefit and protection I/we have received and read the Terms of Business and the Risk, Services and Charges documents and were given an opportunity to ask questions about any term I/we did not understand.**

**I/we confirm that I/we consent to you processing my/our personal data in the manner described in the firm's terms of business.**

**I/We confirm acceptance of the agreement.**

Signed		Signed (if Joint Account)	
Print Name		Print Name	
Date		Date	
Capacity (for trusts or companies)		Capacity (for trusts or companies)	

We advise you to retain a copy of this form

Would you like Hedley & Co to send you a copy?      YES / NO      Circle the answer

Date Copy sent \_\_\_\_\_

Staff member signature \_\_\_\_\_





**Hedley**  
& Company

STOCKBROKERS LTD

