



APPLICATION TO OPEN AN ADVISORY TRADING ACCOUNT

Before we can provide you a service you must complete and return this application to onboarding@cornhillcapital.com.

If you require further assistance please call us on +44 (0)203 700 2500.

BEFORE PROCEEDING WITH OPENING AN ACCOUNT PLEASE CONFIRM THAT YOU UNDERSTAND THE FOLLOWING:

SERVICES PROVIDED BY CORNHILL CAPITAL

- Cornhill Capital do not provide personal recommendations and clients should have an independent financial adviser to ensure any transactions meet with their overall investment objectives.
- Cornhill focuses primarily on the provision of investments and services which are regarded as high risk or “speculative”.
- Due to the nature of the investments Cornhill primarily looks to meet the objectives of Capital Growth and Speculation.
- Cornhill Capital Cannot Offer Accounts to clients resident in, or citizens of, certain countries including USA citizens & USA Residents.
- This Account Application Form and our Terms of Business set out the basis of your relationship with Cornhill Capital. We intend to rely on these documents for your benefit and protection.

VERIFICATION OF IDENTITY & KNOWING YOUR CLIENT

- Cornhill Capital Limited (“CCL”) is required by the Financial Conduct Authority (FCA) to take appropriate steps to ensure we are aware of any facts about your circumstances that we might reasonably need to know in order to operate your account. By completing the application in its entirety you will enable us to comply fully with these regulatory requirements. We will ask you to update this information from time to time, but in the interim it is important that you notify us immediately of any material change in your circumstances.
- Cornhill Capital shall make an assessment of your client classification for the purposes of the FCA Rules, we will treat you as a Retail Client unless we notify you otherwise. You may contact us to request re-classification but we reserve the right to decline such request.
- Wherever possible we will use electronic verification (EID) methods to verify your identity. If this is not possible, you will need to provide ONE of current identification e.g. passport, photo ID driving licence, National ID card etc. and ONE proof of address e.g. bank statement, council tax bill or utility bill (not mobile phone or credit card statement) which is less than 3 months old.
- If you are a Non-EU/EEA Resident we will require documentary proof of your identity and address as described above. Both documents must be certified by a regulated or professional person such as a notary, lawyer, banker, financial intermediary or accountant. The full name, address, occupation, date and signature of the person who is certifying must be evident – if possible, an official stamp should be used.

DO YOU UNDERSTAND THE ABOVE AND HAPPY TO PROCEED? Yes No

TYPE OF ACCOUNT & SERVICE REQUIRED

TYPE OF SERVICE DO YOU REQUIRE FROM CORNHILL CAPITAL: **ADVISORY**

TYPE OF APPLICANT: **JOINT** **INDIVIDUAL**

YOUR PERSONAL DETAILS

	First Applicant	Second Applicant (Joint accounts only)
Title (Mr, Mrs, Ms, Miss, Other)		
Forename		
Middle Name		
Surname		
Gender		
Date of Birth		

PLACE OF BIRTH & TAXATION

Town, or City of Birth	
Country of Birth	
Country of Residence	
Country/s of Taxation	

MIFID NATIONALITIES		
1 st Nationality		
NI Number (UK Residents only)		
1 st Nationality ID Number (if not UK, see Annex 2)		
Do you have a dual-Nationality?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
2 nd Nationality		
2 nd Nationality ID Number (if not UK, see Annex 2)		

ADDRESS DETAILS		
RESIDENTIAL ADDRESS DETAILS		
	First Applicant	Second Applicant (Joint accounts only)
House Name/No		
Street Name		
Town or City		
County		
Post Code		
Country		
Date moved to Current Address:		
At address less than 3 years?	Yes <input type="checkbox"/> No <input type="checkbox"/> <i>(If 'Yes' please provide details of your previous address)</i>	Yes <input type="checkbox"/> No <input type="checkbox"/> <i>(If 'Yes' please provide details of your previous address)</i>

PREVIOUS ADDRESS		
	First Applicant	Second Applicant (Joint accounts only)
House Name/No		
Street Name		
Town or City		
County		
Post Code		
Country		
Date moved to Address:		
Date Left Address:		

CONTACT DETAILS		
	First Applicant	Second Applicant (Joint accounts only)
Primary Phone* (inc Int Code)		
Email*		
Work Phone (inc Int Code)		
Mobile Phone (inc Int Code)		
* MANDATORY		

BANK ACCOUNT DETAILS	
Name of Bank/Building Society:	
Branch Name:	Sort Code:
Account Name:	IBAN No:
Account No:	Swift (BIC) Code:

SOURCE OF FUNDS	
PLEASE INDICATE WHAT SOURCE OF FUNDS WILL BE USED TO FUND YOUR TRADING ACCOUNT:	
1. EMPLOYMENT	<input type="checkbox"/>
2. INHERITANCE	<input type="checkbox"/>
3. SAVINGS & INVESTMENTS	<input type="checkbox"/>
4. SALE OF PROPERTY/BUSINESS	<input type="checkbox"/>
5. OTHER	<input type="checkbox"/>

YOUR KNOWLEDGE, EXPERIENCE & APPROPRIATENESS

YOUR PRIMARY OCCUPATION

Occupation	
Job Title	
Name of Employer	
Employment Status	Employed <input type="checkbox"/> Self-employed <input type="checkbox"/> Contractor <input type="checkbox"/> Student <input type="checkbox"/> Unemployed <input type="checkbox"/> Retired <input type="checkbox"/>

FSMA FINANCIAL PROMOTIONS EXEMPTION

In general terms these unlisted companies, unlike CCL, are not authorised and regulated by the Financial Conduct Authority and the content of promotions and other material may not therefore be subject to controls which would apply if the promotion was made or approved by an authorised person.

In order to confirm whether CCL can send you a financial promotion which is not approved by an authorised person it is necessary to verify whether you are exempt from the restrictions on financial promotions in the Financial Services and Markets Act 2000.

Retail Investors who are High Net Worth Individual or a Sophisticated Investor are exempt from the restrictions on financial promotions.

I am a High Net Worth Investor (please read and complete declaration in Appendix 1) Yes No

I am a Sophisticated Investor (please read and complete declaration in Appendix 1) Yes No

If you have selected 'Yes' to either of the above, then please review Appendix 1 to ensure that you meet the requirements set out, and can make the declaration therein. Please sign and date the relevant investor certificate in Appendix 1

PROFESSIONAL EXPERIENCE

Do you work, or have you worked in the financial sector for at least three years in a professional position which requires knowledge of the nature and risks associated with the products that you wish to invest in? Yes No

Do you have any qualifications which would assist your understanding of the nature & risks associated with the products that you wish to invest in? Yes No

Please provide details:

PREVIOUS TRADING ACTIVITY & EXPERIENCE

Do you currently hold any of the following types of investments?

Shares In AIM Stocks Yes No

Share in unlisted companies Yes No

Warrants, Futures or Options Yes No

Have you ever taken part in either of the following investment activities?

Private Placing Yes No

Initial Public Offering ("IPO") Yes No

Pre Initial Public Offering ("Pre-IPO") Yes No

Do you understand the characteristics and risks of these products? Yes No

How many transactions did you execute in the following instruments in the last 12 months?

Private Placings, Pre-IPOs & IPOs None 1-10 11-20 21-30 31-40 40+

Shares in unlisted companies None 1-10 11-20 21-30 31-40 40+

Share in AIM Stock None 1-10 11-20 21-30 31-40 40+

Warrants, Futures or Options None 1-10 11-20 21-30 31-40 40+

Leveraged Instruments (CFD's, FX or Spreadbet) None 1-10 11-20 21-30 31-40 40+

PREFERRED PRODUCT CLASSES

(Risk levels on classes of investments and financial instruments are for illustrative purposes only)

Low Risk	Medium Risk	High Risk
Gilts <input type="checkbox"/>	FTSE 100 <input type="checkbox"/>	FTSE Small Cap <input type="checkbox"/> Pre IPO's & IPO's <input type="checkbox"/>
Gov. & Corp. Bonds <input type="checkbox"/>	FTSE 250 <input type="checkbox"/>	AIM <input type="checkbox"/> Equity Placings <input type="checkbox"/>
Investment Trusts <input type="checkbox"/>	FTSE All share <input type="checkbox"/>	High Yield Debt <input type="checkbox"/> ISDX <input type="checkbox"/>
Unit Trusts <input type="checkbox"/>	FX Spot and Fwd. <input type="checkbox"/>	Private Equity <input type="checkbox"/> Warrants <input type="checkbox"/>
		Futures & Options <input type="checkbox"/> CFD's <input type="checkbox"/>
		Spread Betting <input type="checkbox"/>

ADVISORY CLIENTS

Please complete the following details, one of our brokers will call you to confirm all the details and go through the advisory service that Cornhill Capital offers.

CURRENT FINANCIAL SITUATION**YOUR CASHFLOW**

INCOME	First Applicant	Second Applicant
Source of Income:	Employed/Retirement/Investment/Other	Employed/Retirement/Investment/Other
Frequency of Income:	Weekly/Monthly/Quarterly/Annually	Weekly/Monthly/Quarterly/Annually
Amount (after tax)	£	£
EXPENSE	First Applicant	Second Applicant
Type of Expenditure:		
Frequency of Expenditure:	Weekly/Monthly/Quarterly/Annually	Weekly/Monthly/Quarterly/Annually
Amount (after tax)	£	£

ASSETS

PROPERTY & LAND	First Applicant	Second Applicant
Residential Status	Owner <input type="checkbox"/> Tenant <input type="checkbox"/>	Owner <input type="checkbox"/> Tenant <input type="checkbox"/>
Value of Main Residence	£	£
Value of Secondary Residence	£	£
Land	£	£
Other:	£	£
INVESTMENTS	First Applicant	Second Applicant
Bank or Savings Acc	£	£
Wrap, Investment & Trading Acc	£	£
ISA & NISA	£	£
Investment Bonds & Trusts	£	£
Other:	£	£

LIABILITIES

LONG-TERM LIABILITIES	First Applicant	Second Applicant
Primary Residence Mortgage	£	£
Additional Property Mortgage	£	£
Other Long-term Loans	£	£
CURRENT LIABILITIES	First Applicant	Second Applicant
Credit Card	£	£
Current Loans & Overdrafts	£	£
Other Current Loans	£	£

APPROXIMATE TOTAL NET WORTH

	First Applicant	Second Applicant
Total Net Worth	£	£

INVESTMENT OBJECTIVES

Which of the following best describes your overall investment objectives?

INCOME	Seeking a return in the form of income rather than capital appreciation	<input type="checkbox"/>
BALANCED	Seeking a return in the form of both income and capital appreciation	<input type="checkbox"/>
CAPITAL GROWTH	Seeking a return in the form of capital appreciation rather than income	<input type="checkbox"/>

Overall Time Horizon

What is the average length of time that you hold Investments?

SHORT TERM / 0-18 MONTHS	<input type="checkbox"/>
MEDIUM TERM / 18-36 MONTHS	<input type="checkbox"/>
LONG TERM / 36+ MONTHS	<input type="checkbox"/>

ATTITUDE TO RISK			
Please confirm your Attitude to Risk			
Your Overall Attitude to Risk	Cautious <input type="checkbox"/>	Moderately Cautious <input type="checkbox"/>	Moderate <input type="checkbox"/>
	Moderately Adventurous <input type="checkbox"/>		Adventurous <input type="checkbox"/>
Your Attitude to Risk in regards to your Cornhill Trading Account/s.	Cautious <input type="checkbox"/>	Moderately Cautious <input type="checkbox"/>	Moderate <input type="checkbox"/>
	Moderately Adventurous <input type="checkbox"/>		Adventurous <input type="checkbox"/>
Guide to Attitude to Risk			
Cautious	As a cautious investor you are very worried about short-term losses. You are willing to accept a lower return to help achieve your goal of keeping your investment safe. You accept that to achieve a return higher than a very secure investment such as a bank account, your money will be invested in assets that can rise and fall in value and so your money is at risk and you could lose some of it.		
Moderately Cautious	As a moderately cautious investor you are worried about short-term losses. You are uncomfortable taking risks with your investment, but you are willing to do so to help you achieve higher returns than could be achieved in more secure investments such as a bank or building society account. You are willing to accept lower returns to reduce risk to the value of your investment and can accept that your money will be invested in assets that can rise and fall in value and so your money is at risk and you could lose some of it.		
Moderate	As a moderate investor you are concerned by short-term losses, but you understand that some risk is needed in order to have the opportunity to achieve better returns. You believe that the safety of your investment and investment returns are equally important. You are able to leave your money invested despite a fall in the value of your investment in order to try and recover your losses.		
Moderately Adventurous	As a moderately adventurous investor your main aim is to increase the value of your investment and you are willing to accept a higher risk of losing your money in order to achieve this. You are willing to leave your money invested despite a large fall in the value of your investment, in order to recover your losses and to achieve your long-term investment aims.		
Adventurous	As an adventurous investor your aim is to achieve the highest possible returns over the long term. You are not concerned about short-term losses. You are most concerned with high returns and you can accept both large and frequent losses to the value of your investment over time in exchange for the opportunity of a higher return of the long term.		

YOUR LIMITS ON INVESTING	
Do you have a limit to the total value of high risk investments you wish to make with Cornhill Capital?	Yes <input type="checkbox"/> No <input type="checkbox"/>
If 'Yes' to above please provide details of the limit you wish to apply	£
Do you have a limit to the maximum monetary value that you would be prepared to risk on any individual trade?	Yes <input type="checkbox"/> No <input type="checkbox"/>
If 'Yes' to above please provide details of the limit you wish to apply	£
Do you wish to apply a limit to the maximum number of Advisory Only trades you want to undertake with CCL on a monthly basis?	Yes <input type="checkbox"/> No <input type="checkbox"/>
If 'Yes', the please enter the max number of trades:	
Do you wish to apply a limit to the maximum number of Execution Only trades you want to undertake with CCL on a monthly basis?	Yes <input type="checkbox"/> No <input type="checkbox"/>
If 'Yes', the please enter the max number of trades:	
Please note that Cornhill Capital will not be held responsible for transactions you execute or authorise that result in losses that exceed these figures.	
Could you afford to lose the full value of the high risk investments you wish to make with Cornhill Capital without it affecting your lifestyle?	Yes <input type="checkbox"/> No <input type="checkbox"/>
What is your Capacity for Loss %? (That is how much of your financial investment portfolio could you afford to lose without it affecting your lifestyle?)	<input type="text"/> %

YOUR ADDITIONAL RESPONSIBILITIES

1. Your responsibility to say No

It is your trading account and you are in control. If you are unsure of any advice provided by your investment advisor, then you must NOT proceed with the transaction. If you do accept and agree to any recommendations made, then you automatically accept the risks of that trade. It is imperative that you are happy with the types of companies being recommended to you, including their level of risk, the transaction size and the frequency with which trades are being conducted on your account. If you decide that you are unhappy with any of the above or your personal circumstances change, please notify your Investment Advisor immediately and ask to speak to the compliance officer.

2. Advisory Service

Cornhill Capital do not provide personal recommendations and you should have an independent financial adviser to ensure any transactions meet with your overall investment objectives. When we provide our investment services we do not advise you on the merits of a transaction and therefore we are not required by the FCA Rules to ensure the transaction is suitable for you (i.e. that the transaction meets your investment objectives, that you are able to financially bear any related investment risks, and that you understand the risks involved in the transaction). This means that you will not benefit from the protection of the FCA Rules which requires firms to make an assessment of suitability.

Can you confirm that you have understood your responsibilities and agree to them? Yes No

RISKS ASSOCIATED WITH TRADING THROUGH CORNHILL CAPITAL

PLEASE CONFIRM YOU UNDERSTAND THE FOLLOWING STATEMENTS:

1. All investments carry some risk; the value of shares and the income from them may go down as well as up and you may not get back the money you invested.
2. Past performance is not a reliable indicator of future results and investment in shares carry the risk that all or some of the capital invested might be lost.
3. Cornhill does not assess the suitability of any transactions against your financial objectives. You should seek full holistic financial advice to look at your financial objectives.
4. You are prepared to accept the higher degree of risk associated with funds committed to high risk investments which are conducted with Cornhill Capital in pursuit of higher potential returns.
5. Investment in single shares should only be considered as suitable for high risk investors or as part of an overall balanced portfolio of investments.
6. Investments that Cornhill offers may not be appropriate for those with a fixed income and people approaching retirement age.
7. You realise that funds committed to high risk investments carry a substantial amount of risk to capital and are not suitable for investors who are seeking to preserve capital or earn income through investment.
8. You are aware that investment in "speculative" shares such as AIM/Small Cap/ISDX carry the risk that some or all of the capital invested might be lost and that you should ensure that you have the financial capacity to bear the risk and only invest money you can afford to lose.
9. You understand that there is an extra risk of losing money when shares are bought in smaller companies and investments that are not readily realisable, e.g. unquoted companies or smaller less liquid quoted companies, and you may have difficulty in selling them at a reasonable price and in some circumstances it may be difficult to sell at any price.

DO YOU ACCEPT ALL RISKS ASSOCIATED WITH TRADING THROUGH CORNHILL CAPITAL?: YES NO

YOUR RESPONSIBILITIES

3. YOUR RESPONSIBILITY TO CHECK YOUR TRADES

For all trades executed you will receive a contract note. You can also view the details of all your transactions via your online portfolio. It is your responsibility to ensure that these details are correct. If you do identify an error then you must notify us immediately.

4. VALUATIONS AND ONLINE ACCESS

At any time we will be able to send you, on request, an up to date account valuation or statement of your account at no charge. We would advise that you check your account regularly to review trades executed, valuation of open positions and general portfolio composition. It is your responsibility to monitor and address any issues that you might find.

5. ACCOUNT OPENING DOCUMENTATION

I confirm I have read and fully understand the following documents:

- **Terms of Business** - This can be accessed at: <https://cornhillcapital.com/wp-content/uploads/2018/09/cornhill-capital-tob.pdf>
- **Key Facts about Our Services** - This can be accessed at: <https://cornhillcapital.com/wp-content/uploads/2018/09/ccl-key-facts-account-charges.pdf>

DO YOU CONFIRM THAT YOU UNDERSTAND YOUR RESPONSIBILITIES AND AGREE TO THEM? YES NO

DECLARATIONS

1. I/We understand that in accordance with EU Money Laundering Directive, Cornhill Capital Limited is required to verify my identity.
2. I/We accept that Cornhill Capital will carry out an electronic check where possible to verify my identity as the account holder.
3. I/We understand and accept that if Cornhill Capital is unable to verify my identity through an electronic search, they will ask me to provide additional documents to verify my identity.
4. I/We understand that Cornhill Capital will rely on the information provided in opening this account and represent that the information is correct and complete.
5. I/We agree to notify you promptly of any material change to my circumstances.
6. I/We understand that, for my own benefit and protection I should read Cornhill Capital Limited's Terms of Business carefully before signing this application form, including but not limited to, the risk warnings and disclosures, the order execution policy and the charges.
7. I/We understand that I will be bound by these Terms of Business and if I do not understand any point then I should ask for further information before signing and returning this application form.

DO YOU CONFIRM ACCEPTANCE OF ALL DECLARATIONS?

YES

NO

GENERAL DATA PROTECTION REGULATION (GDPR)

In accordance with EC Money Laundering General Data Protection Regulation (GDPR) Cornhill Capital Limited is required to get your consent for the following:

1. That we may obtain, record and hold your personal data
2. That we may be disclose to a credit reference or fraud prevention agency, which may keep a record of that information
3. That such credit reference or fraud prevention agency may disclose the fact that a search of its records was made to its other customers for the purposes of assessing the risk of giving credit, to prevent fraud and to trace debtors.

DO YOU GIVE US YOUR CONSENT IN ACCORDANCE WITH GDPR?

AGREE

DISAGREE

MARKETING CONSENT

We would like to send you important information regarding the following services and products.

PLEASE CONFIRM YOUR CONSENT TO SEND YOU COMMUNICATIONS REGARDING:

FINANCIAL PROMOTIONS. E.G. PLACINGS & IPOS	I/WE CONSENT <input type="checkbox"/>	I/WE DO NOT CONSENT <input type="checkbox"/>
EVENTS WE ARE HOSTING	I/WE CONSENT <input type="checkbox"/>	I/WE DO NOT CONSENT <input type="checkbox"/>
NEW PRODUCTS OR SERVICES	I/WE CONSENT <input type="checkbox"/>	I/WE DO NOT CONSENT <input type="checkbox"/>
NO MARKETING	I/WE CONSENT <input type="checkbox"/>	I/WE DO NOT CONSENT <input type="checkbox"/>

Full details of the reasons we hold your data and your rights are contained in our Privacy Policy available on our website at:

<https://cornhillcapital.com/privacy-cookies/>

You can find more information about GDPR at the Information Commissioner's Office website: <https://ico.org.uk/>

	First Applicant	Second Applicant (where applicable)
SIGNATURES:		
NAME:		
DATE:		

Cornhill Capital Limited, 4th Floor, 18 St Swithins Lane, London, EC4N 8AD Email: onboarding@cornhillcapital.com Web: www.cornhillcapital.com Cornhill Capital Limited is registered in England and Wales. Company no. 5267797. Authorised and regulated by the Financial Conduct Authority FRN 449720.

APPENDIX 1

FSMA SELF CERTIFICATION

Cornhill Capital Limited ("CCL") requests that you confirm that this declaration is in connection with debt or equity fund raisings for, or on behalf of, unlisted companies. CCL may act as agent and broker for such companies and CCL and/or the companies will issue financial promotions in the form of presentations, research notes, loan note instruments and other material. In general terms these unlisted companies, unlike CCL, are not authorised and regulated by the Financial Conduct Authority and the content of promotions and other material may not therefore be subject to controls which would apply if the promotion was made or approved by an authorised person. In order to enable CCL to send you a financial promotion which is not approved by an authorised person it is necessary to ensure that you are exempt from the restrictions on financial promotions in the Financial Services and Markets Act 2000. As either a High Net Worth Individual or a Sophisticated Investor, you will be so exempt. Please sign and date the certificate below, provided that you can meet the requirements set out, and make the declaration therein. Upon signature and the return of the document you will also be taken to confirm that you understand these investment opportunities are private arrangements and do not constitute an offer to the public in a private limited company's equity or debt instruments.

HIGH NET WORTH INVESTOR STATEMENT

I declare that I am a certified high net worth individual for the purposes of the Financial Services and Markets Act 2000 (Financial Promotion) Order 2005.

I understand that this means:

I can receive financial promotions that may not have been approved by a person authorised by the Financial Conduct Authority;

- a) the content of such financial promotions may not conform to rules issued by the Financial Conduct Authority;
- b) by signing this statement I may lose significant rights;
- c) I may have no right to complain to either of the following:
 - i) the Financial Conduct Authority; or
 - ii) the Financial Ombudsman Scheme;
- d) I may have no right to seek compensation from the Financial Services Compensation Scheme

I am a certified high net worth individual because at least one of the following applies:

- a) I had, during the financial year immediately preceding the date below, an annual income to the value of £100,000 or more;
- b) I held, throughout the financial year immediately preceding the date below, net assets to the value of £250,000 or more. Net assets for these purposes do not include:
 - i) the property which is my primary residence or any loan secured on that residence;
 - ii) any rights of mine under a qualifying contract of insurance within the meaning of the Financial Services and Markets Act 2000 (Regulated Activities) Order 2001(a); or
 - iii) any benefits (in the form of pensions or otherwise) which are payable on the termination of my service or on my death or retirement and to which I am (or my dependants are), or may be, entitled.

I accept that I can lose my property and other assets from making investment decisions based on financial promotions.

By giving this declaration I am aware that it is open to me to seek advice from an authorised person who specialises in advising on unlisted shares and unlisted debt securities.

I CONFIRM THAT I AM A HIGH NET WORTH INVESTOR AS DETAILED ABOVE AS I MEET AT LEAST ONE OF THE LISTED REQUIREMENTS

AGREE DISAGREE

NAME:

DATE:

SELF-CERTIFIED SOPHISTICATED INVESTOR STATEMENT

I declare that I am a self-certified sophisticated investor for the purposes of the Financial Services and Markets Act 2000 (Financial Promotion) Order 2005.

I understand that this means:

- a) I can receive promotional communications made by a person who is authorised by the Financial Conduct Authority which relate to investment activity in unlisted shares and unlisted debt securities;
- b) The investments to which the promotions will relate may expose me to a significant risk of losing all of the property invested.

I am a self-certified sophisticated investor because at least one of the following applies:

- a) I am a member of a network or syndicate of business angels and have been so for at least the last six months prior to the date below;
- b) I have made more than one investment in an unlisted company in the two years prior to the date below;
- c) I am working, or have worked in the two years prior to the date below, in a professional capacity in the private equity sector, or in the provision of finance for small and medium enterprises;
- d) I am currently, or have been in the two years prior to the date below, a director of a company with an annual turnover of at least £1 million.

I accept that I can lose my property and other assets from making investment decisions based on financial promotions.

By giving this declaration I am aware that it is open to me to seek advice from an authorised person who specialises in advising on unlisted shares and unlisted debt securities.

I CONFIRM THAT I AM A SOPHISTICATED INVESTOR AS DETAILED ABOVE AND I MEET AT LEAST ONE OF THE LISTED REQUIREMENTS

AGREE **DISAGREE**

NAME:

DATE:

APPENDIX 2

MiFID II NATIONAL IDENTIFIERS

LIST OF NATIONAL IDENTIFICATION NUMBERS (NID)

Country	Country Name	1st priority identifier	2nd priority identifier	3rd priority
AT	Austria	CONCAT		
BE	Belgium	Belgian National Number	CONCAT	
BG	Bulgaria	Bulgarian Personal Number	CONCAT	
CY	Cyprus	National Passport Number	CONCAT	
CZ	Czech Republic	National identification number	Passport Number	CONCAT
DE	Germany	CONCAT		
DK	Denmark	Personal identity code	CONCAT	
EE	Estonia	Estonia Personal Identification		
ES	Spain	Tax identification number		
FI	Finland	Personal identity code	CONCAT	
FR	France	CONCAT		
GB	United Kingdom	UK National Insurance number	CONCAT	
GR	Greece	10 DSS digit investor share	CONCAT	
HR	Croatia	Personal Identification Number	CONCAT	
HU	Hungary	CONCAT		
IE	Ireland	CONCAT		
IS	Iceland	Personal Identity Code		CONCAT
IT	Italy	Tax identification number		
LI	Liechtenstein	National Passport Number	National Identity Card Number	CONCAT
LT	Lithuania	Personal code	National Passport Number	CONCAT
LU	Luxembourg	CONCAT		
LV	Latvia	Personal code	CONCAT	
MT	Malta	National Identification Number	National Passport Number	
NL	Netherlands	National Passport Number	National identity card number	CONCAT
NO	Norway	11 digit personal ID	CONCAT	
PL	Poland	National Identification Number (PESEL)	Tax Number	
PT	Portugal	Tax Number	National Passport Number	CONCAT
RO	Romania	National Identification number	National Passport number	CONCAT
SE	Sweden	Personal identity number	CONCAT	
SI	Slovenia	Personal Identification Number	CONCAT	
SK	Slovakia	Personal number	National Passport Number	CONCAT
All Other	All Other	National Passport Number	CONCAT	