

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: **EXECUTION ONLY**

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 1)		
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 1)		

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"/>

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

1. 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.

2. 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.

3. 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**LIST OF NATIONAL IDENTIFICATION NUMBERS (NID)**

Country	Country Name	1st priority identifier	2nd priority identifier	3rd
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	