

## How to complete this form: Please use BLOCK CAPITALS. Sections 1 & 2 are mandatory

- Ensure that you have read the enclosed TD Waterhouse Customer Terms of Service and signed the relevant declarations.
- To upgrade to a Trading Account – applicants must complete this side of the form.
- To upgrade to a Trading Plus Account – applicants should complete both sides of the form.
- Should you require any help completing this form, please do not hesitate to call us on 0845 607 6001.
- Please enter your Customer Account Number here:

### 1 About yourself (All applicants need to complete this section)

#### First applicant details

Title

Surname

Forename

Middle name

Date of birth

Permanent residential address

Postcode

Home phone no. inc std

Work phone no. inc std

Mobile phone no.

#### Joint applicant details (if applicable)

Title

Surname

Forename

Middle name

Date of birth

Permanent residential address

Postcode

Home phone no. inc std

Work phone no. inc std

Mobile phone no.

How would you like to receive your password(s) and welcome information? By email  By post

If you have marked by email, please enter your email address in the box below.

Email address

National Insurance No.

Mother's maiden name

#### Existing Share Holdings

**Transferring existing certificated share holdings** – If you wish to transfer any existing certificated share holdings into your account, please complete the details below, continuing on an additional sheet of paper if necessary and send the share certificates with this form. On receipt we will validate your holdings and forward your CREST Transfer forms to check, sign and return to us, so that we can deposit them into your nominee facility; any invalid certificates will be returned to you.

Name(s) as shown on the share certificate	Name of stock and type (please enter full company name eg. Marks & Spencer PLC, followed by the type of security eg. Ord 25p)	No. of shares to transfer	No. of shares on certificate	Original purchase price per share
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	£ <input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	£ <input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	£ <input type="text"/>

### 2 Upgrade options

#### Trading Account

To upgrade to a Trading Account, please tick this box:

Trading Account options (please tick your selected options)

Savings Account

To fund your account straight away, please enclose a cheque made payable to yourself, and return it with this form.

Account administration messages electronically (e.g. Contract Notes)

#### Declaration

I/We confirm that I/we have read and understood the TD Waterhouse Customer Terms of Service, and agree to be bound by their terms.

First applicant signature

**X** \_\_\_\_\_  
Date

#### Trading Plus Account

To upgrade to a Trading Plus Account, please tick this box:

Trading Plus Account options (please tick your selected options)

Savings Account

To fund your account straight away, please enclose a cheque made payable to yourself, and return it with this form.

Account administration messages electronically (e.g. Contract Notes)

The ability to trade Warrants and/or Securitised Derivatives such as Covered Warrants (complete Part B form)

Joint applicant signature

**X** \_\_\_\_\_  
Date

## Part B form – Only complete if you wish to open a Trading Plus Account

### Product Information

#### Warrants

A warrant is a time-limited right to subscribe for shares, debentures, loan stock or government securities and is exercisable against the original issuer of the underlying securities. It is important to note that a relatively small movement in the price of the underlying security results in a disproportionately large movement, unfavourable or favourable, in the price of the warrant. As a result, the prices of warrants can be volatile. The right to subscribe conferred by a warrant is generally limited by time, which means that if the investor fails to exercise this right within the predetermined time-scale then the investment becomes worthless. It is therefore important to understand that if you are considering purchasing a warrant you should be prepared to lose all of the money you have invested plus any commission or other transaction charges.

#### Securitised Derivatives

These instruments may give you a time-limited right to acquire or sell one or more types of investment, which is normally exercisable against someone other than the issuer of that investment. Or they may give you rights under a contracts for difference, which allow for speculation on fluctuations in the value of the property of any description or an index, such as the FTSE 100 index. In both cases, the investment or property may be referred to as the "underlying instrument". These instruments often involve a high degree of gearing or leverage, so that a relatively small movement in the price of the underlying investment results in a much larger movement, unfavourable or favourable, in the price of the instrument. The price of these instruments can therefore be volatile. These instruments have a limited life, and may (unless there is some form of guaranteed return to the amount you are investing in the product) expire worthless if the underlying instrument does not perform as expected. You should only buy this product if you are prepared to sustain a total loss of the money you have invested plus any commission or other transaction charges.

**For more information please refer to the Customer Terms of Service or visit our website [tdwaterhouse.co.uk](http://tdwaterhouse.co.uk)**

**This form will help us to assess whether you have the necessary knowledge and experience in order to understand the risks involved in dealing in Warrants and/or Securitised Derivatives. Please answer all of the following questions as honestly as possible. Should you not wish to share the necessary information with TD Waterhouse then this will restrict our ability to assess whether you have the required knowledge and experience to understand the risks involved in investing in Warrants and/or Securitised Derivatives.**

**First applicant**

**Joint applicant (if applicable)**

**1. How many times a year do you trade in shares, bonds, fixed interest & funds:**

None     5 or less     6-20     21+                     
  None     5 or less     6-20     21+

**2. How many times a year do you trade in Contracts for Difference (CFDs), Financial Spread Bets (FSB), Futures and Options?**

None     5 or less     6-20     21+                     
  None     5 or less     6-20     21+

**3. How many times a year do you trade:**

**Warrants?**                     
  None     5 or less     6-20     21+                     
  None     5 or less     6-20     21+

**Securitised Derivatives?**                     
  None     5 or less     6-20     21+                     
  None     5 or less     6-20     21+

**4. How many years experience do you have trading:**

**Warrants?**                     
  None     Less than 1     1-4     5+                     
  None     Less than 1     1-4     5+

**Securitised Derivatives?**                     
  None     Less than 1     1-4     5+                     
  None     Less than 1     1-4     5+

**5. Have you traded in Warrants, Covered Warrants, CFDs, FSB, Futures and/or Options in a professional capacity in the last 5 years?**

Yes     No     Don't know                     
  Yes     No     Don't know

**I/we confirm that I/we understand the nature of the risks associated with dealing in Warrants & Securitised Derivatives and that I/we consider them suitable for my/our investment objectives. I/we verify the answers I/we have provided are to the best of my/our knowledge and are truthful. I/we have read the Customer Terms of Service and understand why I/we need to complete this form.**

**First applicant signature**

**Joint applicant signature**

X

X

Date

D	D	M	M	Y	Y	Y	Y
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Date

D	D	M	M	Y	Y	Y	Y
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