

Client Information Form - Retail Clients

This form is for internal use only and will be treated in the strictest of confidence.

The Financial Services and Markets Act 2000 and the Markets in Financial Instruments Directive (MiFID) requires us to provide you with suitable advice and appropriate service based on the information you provide us with about your circumstances. By completing this form in its entirety you will enable us to comply fully with our regulatory obligations. From time to time we shall ask you to update the information on this form, but in the interim it is imperative that you notify us of any material change to your circumstances. **All clients will automatically have their shares registered in OTKRITIE (Nominees) Ltd.**

Before we can act for you this form **must** be completed in full, signed and dated on page 6.

1. General Client Information

Mr
 Mrs
 Miss
 Ms
 Other

Mr
 Mrs
 Miss
 Ms
 Other

First Names

First Names

Surname

Surname

Address Line 1

Address Line 1

Address Line 2

Address Line 2

Address Line 3

Address Line 3

Post Code

Post Code

Telephone No.

Telephone No.

Fax Number

Fax Number

E-mail Address

E-mail Address

Date of Birth

Date of Birth

Nationality

Nationality

N.I. No.

N.I. No.

Passport No.

Passport No.

Birth Place

Birth Place

Taxation Country

Taxation Country

Unless indicated in the box below, all documentation will be sent to the address shown in section 1.

Address Line 1

Address Line 2

Address Line 3

Post Code

2a. Duplicate Contract Notes and Statements

Mr Mrs Miss Ms Other

First Names

Surname

Address Line 1

Address Line 2

Address Line 3

Post Code

2b. Duplicate Valuation

Mr Mrs Miss Ms Other

First Names

Surname

Address Line 1

Address Line 2

Address Line 3

Post Code

3. Payment Instructions

- Re-invest
- Collect Income
- Pay Quarterly
- Pay Monthly
- OTKRITIE Securities Ltd. Acc.
- Your Bank Acc.
- Yourself By Cheque

Bank/Building Soc.

Address Line 1

Address Line 2

Address Line 3

Post Code

Account Title

Sort Code

A/C No.

4. Third Party Instructions

This section must be completed if you wish someone else to be able to give instructions on your account.
I / we authorise OTKRITIE Securities Ltd to accept any and all instructions from the under-mentioned third party concerning my / our transactions by telephone, fax or e-mail.

<input type="checkbox"/> Mr	<input type="checkbox"/> Mrs	<input type="checkbox"/> Miss	<input type="checkbox"/> Ms	<input type="checkbox"/> Other	Address Line 1	<input type="text"/>
First Names	<input type="text"/>				Address Line 2	<input type="text"/>
Surname	<input type="text"/>				Address Line 3	<input type="text"/>
Telephone No.	<input type="text"/>				Post Code	<input type="text"/>
Fax Number	<input type="text"/>				E-mail Address	<input type="text"/>

5. Service Requirements

Advisory (Non Managed) Execution Only

I / we consent to my / our non-sterling client money being held in a bank account outside the United Kingdom. I / we authorise you to enter into transactions that commit me / us to underwriting or similar obligations.

Agree

6. Your Investment Knowledge and Experience

Please give details of the investment services, transactions and investments that you have experienced previously:

Type of Investment Service	<input type="checkbox"/> Execution Only	<input type="checkbox"/> Advisory (Non Managed)	<input type="checkbox"/> Discretionary	
Investment Types	<input type="checkbox"/> Shares	<input type="checkbox"/> Fixed Income	<input type="checkbox"/> Options / Futures	<input type="checkbox"/> CFD

Previous Broking Relationships

Please give details of your investing experience.

Average size of transaction	<input type="radio"/> £0-£5k	<input type="radio"/> £5k-£10k	<input type="radio"/> £10k-£15k	<input type="radio"/> £15k-£20k	<input type="radio"/> £20k+
Frequency of dealing per month	<input type="radio"/> 0-5	<input type="radio"/> 5-10	<input type="radio"/> 15-20	<input type="radio"/> 10-15	<input type="radio"/> 20+

How long have you been investing?

Please give details of any qualifications, profession or former profession which may be relevant to your knowledge of investments.

Please advise us of how long you would normally hold an investment.

0-1 week 1-2 weeks 2-4 weeks 1-3 months 3 months+

If there are any circumstances when this may vary, please give examples.

7. Your Investment Objectives

Please indicate below your investment objectives that you would hope to achieve by opening an account with ourselves and what are the preferences that you have to the associated risks involved with investing in the financial markets. You can find OTKRITIE Securities Ltd definitions of Risk Preferences in section 14.

- Primarily to Maximise Capital Growth Income Both
- Preferred Level of Risk Low Medium High
- To assist us in understanding the purposes of your investment, please confirm that your investments are primarily: Long term for income and some growth Short term for capital appreciation

8. Restrictions

Please give us details of restrictions on types of investments or limits that you may wish to impose and any information that you believe would be useful to us in advising you on your investments.

PERSONAL AND FINANCIAL QUESTIONNAIRE - STRICTLY PRIVATE AND CONFIDENTIAL

We are required by our Regulator to take appropriate steps to ensure we are aware of any facts about your financial position that we might reasonably need to know in order to assess the suitability of any advice that we may give you. We would therefore ask you to complete as much as possible of the information requested below and on the next page.

9. Personal Details

- Single Married Divorced Widowed

Dependants' Names

Relationship

Date of Birth

Occupation

Self

Spouse

Position Held

Employer's name and address. If self employed, please give details.

10. Financial Details

Gross Income	£0-£25k	£25k-£50k	£50k-£100k	£100k+
Self	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Spouse	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Property Value	£0-£150k	£150k-£250k	£250k-£350k	£350k+
	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Mortgage and other loans	None	£0-£30k	£30k-£100k	£100k+
Self	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Spouse	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

11. Pension**Are you in pensionable employment**

Self

Spouse

 Yes No Yes No

Date of Retirement

Pensions (present arrangements and plans)

12. Current Investments

	£0-£10k	£10k-£50k	£50k-£100k	£100k-£200k	£200k+
Bank & Building Society	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
National Savings	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Stock Exchange	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Investments & Unit Trusts	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
PEPs	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
ISAs	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Other (please specify)	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Where appropriate, please give details of your current investment portfolio with costs and acquisition dates.

13. Declaration

I / we declare that all the above details are correct to the best of my/our knowledge.

Signature

Signature

Date

Date

14. Our Risk Definitions

LOW - Cash, UK Government Stock and Treasuries

MEDIUM - FTSE 100 and 250 Stocks, any Government Issues from other G8 Countries

HIGH - Other Equities and Securities (including Overseas and Derivatives)

OTKRITIE SECURITIES LIMITED

1st Floor 30-34 Moorgate
London
EC2R 6PL

Telephone: +44 (0) 207 826 8200

Fax: +44 (0) 207 826 8201

E-mail: admin@otkritiesecurities.co.uk

OTKRITIE SECURITIES LTD is authorised and regulated by the Financial Services Authority and is a member of London Stock Exchange. OTKRITIE SECURITIES LTD is registered in England No: 4621383.

IDENTIFICATION REQUIREMENTS

UK INDIVIDUALS

If the account holder is an individual the following must be supplied before Otkritie Securities can begin to deal.

These requirements apply to:

- The account holder and each individual in respect of multiple account holders and
- To any other individual(s) with power to operate the account, e.g. authorised signatories, power of attorney

Documents required:

TWO forms of personal ID are required from each party. Any two from the list 1-9 below are acceptable. Original documents will be copied and returned to you.

In original, less than 3 months old and showing name and full address

1. Bank/Building Society Statement.
2. Utility Bill i.e Gas, Electric, Council Tax, Water (NO FORMS OF TELEPHONE BILLS CAN BE ACCEPTED)
3. Mortgage Lender Statement
4. Firearms Certificate
5. Credit Card Statement
6. Store Card Statement
7. Inland Revenue Statement

In certified copy*

9. Passport
10. Driving Licence
11. Birth Certificate

*Copies of personal ID documents must be certified by a notary or one of the following; solicitor, doctor, bank manager, accountant, minister of religion, teacher or social worker. The name, address and occupation of the person who is certifying must be evident – if possible, an official stamp should be used.

For minors named on the account we require a CERTIFIED COPY of ANY ONE of the following: birth certificate, passport or Medical Card.