



Application Forms

Advisory Dealing
Equity Service



You can ask us for help at any time

Here at GHC, we value our clients and their piece of mind. If you experience challenges or have concerns during your relationship with us or have anything you wish to discuss, you are able to speak to us at any time during our office hours, in a safe and confidential environment. Where appropriate, we will make a note on our records so that we can be aware of what you disclose, and so that you don't have to mention it again. Equally, if you are thinking of becoming a client we can cater for your needs from the get go.

Let us know if...

- You require any adjustments or additional support
- There is a better way in which we can communicate with you
- There is a change in your personal circumstances
- There is something we should be aware of
- You have been subject to events which affect your finances and/or your investments
- You have a temporary need that we should be aware of



GHC Advisory Dealing Equity Service

SERVICE INTRODUCTION

Welcome to GHC Capital Markets.

We are delighted that you have chosen GHC to be your investment partner.

GHC is a progressive company of investment managers and stockbrokers which focuses closely on working with clients to create the optimum portfolio service for you.

The information contained herein is designed to give you a clear understanding of the Advisory Dealing Equity Service and how we will work with you.

GHC Capital Markets is authorised and regulated by the Financial Conduct Authority (FCA), a member of the London Stock Exchange and part of the GHC Group.

MAIN FEATURES

The GHC Advisory Dealing Equity Service is suitable for those clients wishing to retain control of their investment decisions but want the advice and support of a stockbroker as and when required. Where you wish to instruct a transaction without the guidance of your stockbroker this will be treated as a transaction on an execution only basis and may affect the balance of your portfolio.

We are obliged by the FCA to ensure that this service remains suitable for you and therefore we will need to review the initial investor appraisal at periodic intervals.

We are further obliged by the FCA to ensure that the content of your portfolio remains appropriate given your attitude to risk.

If at any time you believe the service is no longer suitable for you please contact your stockbroker immediately.

The service will be invested up to 100% into equities. These will be selected in accordance with your attitude to risk. Your stockbroker will be available to discuss any investments that you may be considering making to assess whether these will be appropriate for your portfolio.

When we buy or sell securities for your portfolio we will send you a contract note (by post or email). This is a legal document that details the security transacted, the quantity, the price at which we dealt and all of the relevant charges, including any levied by the government or regulatory body. Income may be drawn-down in this service, please discuss with your stockbroker.

RELATIONSHIP MANAGEMENT

You will usually deal with your personal nominated stockbroker. However at GHC we pride ourselves on working collectively, as a long-standing team. Please be assured that your portfolio will be accessible in the absence of your stockbroker for whatever reason.

INVESTOR PROTECTION

GHC Capital Markets Limited is authorised and regulated by the FCA. We carry significant insurance cover against claims resulting from any misappropriation of your investments.



Advisory Dealing Equity Service

Fees and Charges

SECURITIES DEALING COMMISSION ON CONSIDERATION

(Stocks, shares, OEICs, unit trusts, investments trusts, gilts and fixed interest)

First £10,000	1.75%
Next £10,000	1.00%
Balance over £20,000	0.50%
Minimum commission per transaction	£30

INTERNATIONAL DEALING COMMISSION ON CONSIDERATION

Dealing commission	1.75%
Minimum commission per transaction	£30
Transaction charge	£50
(Other charges may apply)	

PLACING PARTICIPANT FEE

Up to 10% of consideration

BARGAIN CHARGE

Each transaction	£25
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NOMINEE FEE

Per account per month	£10
(Charged monthly)	

ISA FEES

ISA Annual administrative fee per annum	£100
JISA Annual administrative fee per annum	£80
(Charged annually)	

VERIFICATION FEE

UK Investment (per item)	£4
Subject to a minimum	£6
Non UK Investment (per item)	£4
Subject to a minimum	£10

SETTLEMENT CHARGES

Electronic Re-Registration (per security)	£15
Stock withdrawal (certificate) per security	£15
Re-printing contract notes	£10
Re-printing tax and CGT vouchers	£30
Re-issued bank interest certificates	£30
Ad-hoc valuations	£10
CHAPS payments	£20
Faster payments	£5

LATE PAYMENTS

At Settlement Date send chasing letter informing that a charge of £25 will be made if payment not received within 5 business days. Thereafter a charge of £50 will be made for every 5 business days

LATE DELIVERIES

Settlement Date a charge of £25 will be made if complete documentation not received. Thereafter a charge of £25 will be made for every 5 business days

OTHER CHARGES

Recorded deliveries	Cost + £5
Re-issue of cheques	£10
Report & accounts	Not available
Annual suitability (per annum)	£30

Note:

Stock and/or cash must be held by GHC Capital Markets Ltd prior to trading.

These fees and charges are correct as of 1st March 2023 and may be subject to change at any time in accordance with our terms of business.

All fees and charges are subject to VAT where applicable at the standard rate.

MONEY HELD ON YOUR BEHALF

We can deal with money we are holding on your behalf only in accordance with the rules of the FCA. These require us, among other things, to hold your money in an account at a deposit taking institution approved by the FCA, segregated from the Company's own money.

We do not pay interest on client money cash accounts.



Application Forms

SECTION 1 - CLIENT DETAILS

Full names and addresses of all applicants

Applicant 1

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Applicant 2

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Applicant 3

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Applicant 4

--	--	--	--	--	--	--	--	--	--

* Note that these fields are compulsory for individuals to comply with international money laundering and tax regulations.



SECTION 2 - CAPACITY OF CLIENT

Do you consider yourself to be a: (Please tick one of the boxes) ☐ Retail Client ☐ Professional Client

If you wish to be categorised as a Professional Client then certain regulatory criteria need to be fulfilled. We reserve the right to categorise you as a Retail Client at our absolute discretion.

Please tick one of the following boxes:

☐ Individual ☐ Joint Names ☐ Trust† ☐ Bare Trust ☐ Pension (Non SIPP)† ☐ Pension (SIPP)
☐ Company ☐ Partnership ☐ Attorney ☐ Charity (please state registered charity number) _____

† Legal Entity Identifier (LEI) required (please state)

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Trustees

In the case of a Trust, if more than one Trustee is named in Section 1 of this form, GHC Capital Markets Ltd shall be entitled to act on the instructions of one such Trustee alone without the prior consent of the other named Trustees. Also GHC Capital Markets Ltd may provide any information or advice concerning the investments to the Trustee(s) indicated below, whereby any such information or advice shall be deemed to have been given to all the Trustees.

Name of the Trustee referred to above:

In the case of a Trust Account it is confirmed that the Trustees have the power and authority to enter into arrangements as set out in the accompanying GHC Capital Markets Ltd Terms & Conditions, and that there are no investment or other restrictions applicable to the Trust. It is also confirmed that all trustees are disclosed and are signatories to this form.

Unique Taxpayer Reference (UTR)

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Does the Applicant currently hold a Directorship (Executive or non-Executive) in a listed Company:

☐ Yes ☐ No

If Yes please provide details:

In the event that the Applicant is a Corporate entity do any of the beneficial owners/ Director (Executive or non-Executive) and authorised signatories hold a current Directorship (Executive or non-Executive) in a listed Company:

☐ Yes ☐ No

If Yes please provide details:

SECTION 3 - AMOUNT TO BE INVESTED

A cheque is enclosed made payable to 'GHC CM Ltd Client Money Pool Deposit Account'

£

Approximate value of shares to be transferred

£

Total value of investment

£

☐ Would you like on-line valuations?

☐ Would you like income from your portfolio?

How much annual income is required?

£

or

% of initial investment

How frequently is this to be paid?

Monthly / Quarterly / Half Yearly / Yearly

(please circle as applicable)

Date of first payment?

D D M M Y Y

(please note that withdrawal of income could erode the capital you invested)



SECTION 4 - YOUR BANK DETAILS

Bank/Building Society name	
Address	
Postcode	
Account name	
Account number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Sort code	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

You warrant that all initial funds deposited with GHC for investment, and any subsequent monies due to GHC (and not already held on deposit), will originate from your named bank account (evidence as provided). This applies to both cheque payment and electronic transfer of funds.

Please note if you change your bank account you must inform us immediately and you will be required to provide documentary evidence of the new bank account details.

SOURCE OF WEALTH

This refers to the origin of a client's entire body of wealth, that is total assets. Please confirm by selecting below:

- ☐ Inheritance ☐ Business Ownership Interest
☐ Investments ☐ Employment Income Other (please specify) _____

EXPECTED FREQUENCY OF INVESTMENT/TRANSACTIONS

- ☐ Weekly ☐ Monthly ☐ Annually Other (please specify) _____

SECTION 5 - FINANCIAL ADVISOR FEES

Financial Adviser Initial Fee (Please complete as appropriate)

Based on the value of new accounts and additional investments with GHC	<input type="text"/> %
or as a fixed fee	£ <input type="text"/>

Financial Adviser Annual Fee (Please complete as appropriate)

Based on investment value with GHC	<input type="text"/> %
or as a fixed fee	£ <input type="text"/>

Are these fees and charges subject to VAT applicable at the standard rate Y / N
(To be completed by the Financial Adviser as appropriate)

By convention, management charges are calculated based on the value of the portfolio as a whole, using the mid-market price of the underlying stocks, unless single pricing or other exceptions apply and are levied quarterly in arrears on 6th April, July, October and January.

SECTION 6 - NEWSLETTERS AND FINANCIAL PROMOTIONS

GHC would like to send you, from time to time, newsletters containing a variety of articles regarding, for example, investment market and economic commentaries.

If you would like to receive these newsletters, please tick the relevant box(es) below

- ☐ Email ☐ Post

GHC may also like to contact you regarding investment products and services please tick the relevant box(es) below

- ☐ Email ☐ Post ☐ Telephone



You may withdraw your consent to receiving these marketing contacts, and the associated processing of your data, at any time and you can do this by via telephone, email or post. Please be assured that it will not affect your relationship with GHC Capital Markets Limited or any services we provide you with if you do not provide permission for us to contact you for marketing purposes.

ELECTRONIC SIGNATURES

Each party agrees that this Agreement and any other documents to be delivered in connection herewith and which may constitute the whole Agreement, may be electronically signed, and that such electronic signatures appearing on this Agreement or such other documents which constitute the whole Agreement are the same as handwritten signatures for the purposes of validity, enforceability and admissibility. Each party agrees that they are legally binding.

Please note that GHC reserves the right to request hard-copy 'wet' signatures where it believes it is appropriate to do so or where required by a connected third party such as an ISA plan manager.

SECTION 7 – DECLARATIONS AND SIGNATURES

This is our standard client agreement upon which we intend to rely. For your own benefit and protection you should read our standard terms of business carefully. If you do not understand any point please ask for further information.

- ☐ I/we confirm having read, understood and agreed to the GHC Capital Markets Ltd Terms of Business.
- ☐ I/we hereby authorise GHC Capital Markets Ltd to accept investment instructions from our appointed financial adviser/Wealth Manager (if applicable) and to provide them with copy correspondence for this account.

All Applicants

All applicants must sign unless reason is given - e.g. one Trustee authorised to sign on the other's behalf, or a joint applicant.

Applicant 1

Signature:	Date:
Please print name:	Capacity:

Applicant 2

Signature:	Date:
Please print name:	Capacity:

Applicant 3

Signature:	Date:
Please print name:	Capacity:

Applicant 4

Signature:	Date:
Please print name:	Capacity:

Anti Money Laundering Requirements

To satisfy the Joint Money Laundering Regulations (JMLR) we require confirmation of your identity and residence. This enables us to comply with the current UK Anti-Money Laundering Rules. Please note, if you wish to open a joint account we will need to see documentation for all individuals named on the account.

A certified copy of a passport or driving licence will be sufficient for proof of identity; a certified copy may be obtained from a bank, building society or Solicitor. When confirming an address, a utility bill with a date during the last three months will be sufficient for these purposes. It is strongly recommended that you do not send original documentation through the post, as GHC would have to return these at your last stated address at your own risk.



New ISA Application Forms

SECTION 8 – STOCKS AND SHARES ISA APPLICATION FORM (A)

Full Names:
Address:
County:
Post code:
Date of birth:
Nationality*:
National Insurance Number:
<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>

SECTION 9 – ISA DETAILS

First Tax Year (i.e. 2012/2013):
<input type="text"/>
How much do you wish to subscribe? £
<input type="text"/>
I wish you to utilise my full ISA allowance for this portfolio on an annual basis.
<input type="text"/>

SECTION 10 – DECLARATION

I declare that all subscriptions made, and to be made, belong to me, I am 18 years or over, I have not subscribed and will not subscribe to another Stocks and Shares ISA in the same year that I subscribe to this ISA. I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of The Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform GHC Capital Markets Ltd if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.

SECTION 11 – AUTHORISATION

I authorise GHC Capital Markets Ltd to hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash, to make on my behalf any claims to relief from tax in respect of ISA investments.

I agree to the supplementary ISA agreement and declare that the information given on this application form is correct to the best of my knowledge.

Signature:
Date:
Print name:

SECTION 8 – STOCKS AND SHARES ISA APPLICATION FORM (A)

Full Names:
Address:
County:
Post code:
Date of birth:
Nationality*:
National Insurance Number:
<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>

SECTION 9 – ISA DETAILS

First Tax Year (i.e. 2012/2013):
<input type="text"/>
How much do you wish to subscribe? £
<input type="text"/>
I wish you to utilise my full ISA allowance for this portfolio on an annual basis.
<input type="text"/>

SECTION 10 – DECLARATION

I declare that all subscriptions made, and to be made, belong to me, I am 18 years or over, I have not subscribed and will not subscribe to another Stocks and Shares ISA in the same year that I subscribe to this ISA. I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of The Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform GHC Capital Markets Ltd if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.

SECTION 11 – AUTHORISATION

I authorise GHC Capital Markets Ltd to hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash, to make on my behalf any claims to relief from tax in respect of ISA investments.

I agree to the supplementary ISA agreement and declare that the information given on this application form is correct to the best of my knowledge.

Signature:
Date:
Print name:



Stock Transfer Forms (non ISA)

SECTION 12 – TRANSFER AUTHORITY PORTFOLIO 1

To be completed if you wish to transfer a portfolio from another manager.

To: The Manager,	
Address	
	Post code:
Account name:	Account number:
I hereby authorise and instruct you to transfer forthwith my/our account(s) to GHC, to provide all the relevant information relating to the account(s), as may be required.	
Signature 1:	Print name 1:
Signature 2:	Print name 2:
Date:	

SECTION 13 – TRANSFER AUTHORITY PORTFOLIO 2

To be completed if you wish to transfer a portfolio from another manager.

To: The Manager,	
Address	
	Post code:
Account name:	Account number:
I hereby authorise and instruct you to transfer forthwith my/our account(s) to GHC, to provide all the relevant information relating to the account(s), as may be required.	
Signature 1:	Print name 1:
Signature 2:	Print name 2:
Date:	

SECTION 14 – TRANSFER AUTHORITY PORTFOLIO 3

To be completed if you wish to transfer a portfolio from another manager.

To: The Manager,	
Address	
	Post code:
Account name:	Account number:
I hereby authorise and instruct you to transfer forthwith my/our account(s) to GHC, to provide all the relevant information relating to the account(s), as may be required.	
Signature 1:	Print name 1:
Signature 2:	Print name 2:
Date:	



ISA Transfer Forms

SECTION 15 – PLAN HOLDERS DECLARATION AND SIGNATURE (ISA TRANSFERS ONLY)

Applicant 1

I declare that all subscriptions made, and to be made, belong to me, I am 18 years or over, I have not subscribed and will not subscribe to another Stocks and Shares ISA in the same year that I subscribe to this ISA. I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of The Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform GHC if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.

Signature:

Print Name:

Date:

SECTION 16 – ISA TRANSFERS

AUTHORITY 1

If you wish to transfer an existing ISA to GHC Capital Markets Limited, an approved Plan Manager with HMRC, please complete the following sections:

I hereby authorise and instruct you to provide GHC Capital Markets Limited with all relevant information relating to my ISA as it may require, and either (tick as appropriate):

- a) ☐ to liquidate the assets in the ISA indicated and transfer the proceeds to GHC Capital Markets Limited
- b) ☐ if agreed with GHC Capital Markets Ltd to transfer the assets in the ISA indicated in specie to GHC Capital Markets Limited

It is understood that my existing ISA manager(s) will be responsible for the collection of outstanding distributions.

To: The Manager,

Address:

Post code:

Account name:

ISA reference number:

Signature:

Date:

Print name:

SECTION 17 – ISA TRANSFERS

AUTHORITY 2

If you wish to transfer an existing ISA to GHC Capital Markets Limited, an approved Plan Manager with HMRC, please complete the following sections:

I hereby authorise and instruct you to provide GHC Capital Markets Limited with all relevant information relating to my ISA as it may require, and either (tick as appropriate):

- a) ☐ to liquidate the assets in the ISA indicated and transfer the proceeds to GHC Capital Markets Limited
- b) ☐ if agreed with GHC Capital Markets Ltd to transfer the assets in the ISA indicated in specie to GHC Capital Markets Limited

It is understood that my existing ISA manager(s) will be responsible for the collection of outstanding distributions.

To: The Manager,

Address:

Post code:

Account name:

ISA reference number:

Signature:

Date:

Print name:



ISA Transfer Forms

SECTION 15 – PLAN HOLDERS DECLARATION AND SIGNATURE (ISA TRANSFERS ONLY)

Applicant 2

I declare that all subscriptions made, and to be made, belong to me, I am 18 years or over, I have not subscribed and will not subscribe to another Stocks and Shares ISA in the same year that I subscribe to this ISA. I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of The Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform GHC if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.

Signature:

Print Name:

Date:

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AUTHORITY 1

If you wish to transfer an existing ISA to GHC Capital Markets Limited, an approved Plan Manager with HMRC, please complete the following sections:

I hereby authorise and instruct you to provide GHC Capital Markets Limited with all relevant information relating to my ISA as it may require, and either (tick as appropriate):

- a) ☐ to liquidate the assets in the ISA indicated and transfer the proceeds to GHC Capital Markets Limited
- b) ☐ if agreed with GHC Capital Markets Ltd to transfer the assets in the ISA indicated in specie to GHC Capital Markets Limited

It is understood that my existing ISA manager(s) will be responsible for the collection of outstanding distributions.

To: The Manager,

Address:

Post code:

Account name:

ISA reference number:

Signature:

Date:

Print name:

SECTION 17 – ISA TRANSFERS

AUTHORITY 2

If you wish to transfer an existing ISA to GHC Capital Markets Limited, an approved Plan Manager with HMRC, please complete the following sections:

I hereby authorise and instruct you to provide GHC Capital Markets Limited with all relevant information relating to my ISA as it may require, and either (tick as appropriate):

- a) ☐ to liquidate the assets in the ISA indicated and transfer the proceeds to GHC Capital Markets Limited
- b) ☐ if agreed with GHC Capital Markets Ltd to transfer the assets in the ISA indicated in specie to GHC Capital Markets Limited

It is understood that my existing ISA manager(s) will be responsible for the collection of outstanding distributions.

To: The Manager,

Address:

Post code:

Account name:

ISA reference number:

Signature:

Date:

Print name:



Regular Savings Standing Order Form

Applicant 1

Please fill in the whole form using a ballpoint pen and send it to: **GHC Capital Markets Limited, 22-30 Horsefair Street, Leicester LE1 5BD**

Name of account to be debited:

Bank/Building Society account number:

Branch Sort Code:

Name and full postal address of your Bank or Building Society:

Name of account to be debited:

Post code:

Amount in figures and words

The sum of (figures): £

The sum of (words):

on the sixth day of (month):

(year)

and a like sum each ☐ month ☐ quarter
☐ half year ☐ year until further notice.

Instruction to your Bank or Building Society to pay by Standing Order

Beneficiary Account Number:

Beneficiary Sort Code:

Beneficiary Bank Details

Bank of Scotland, New Ueber House, 11 Earl Grey Street, Edinburgh EH3 9BN

Signature(s):

Date:

PLEASE NOTE THAT THIS REPLACES ANY PREVIOUS STANDING ORDER FORMS. Banks and Building Societies may not accept standing order instructions for some types of account.

Applicant 2

Please fill in the whole form using a ballpoint pen and send it to: **GHC Capital Markets Limited, 22-30 Horsefair Street, Leicester LE1 5BD**

Name of account to be debited:

Bank/Building Society account number:

Branch Sort Code:

Name and full postal address of your Bank or Building Society:

Name of account to be debited:

Post code:

Amount in figures and words

The sum of (figures): £

The sum of (words):

on the sixth day of (month):

(year)

and a like sum each ☐ month ☐ quarter
☐ half year ☐ year until further notice.

Instruction to your Bank or Building Society to pay by Standing Order

Beneficiary Account Number:

Beneficiary Sort Code:

Beneficiary Bank Details

Bank of Scotland, New Ueber House, 11 Earl Grey Street, Edinburgh EH3 9BN

Signature(s):

Date:

PLEASE NOTE THAT THIS REPLACES ANY PREVIOUS STANDING ORDER FORMS. Banks and Building Societies may not accept standing order instructions for some types of account.



GHC Capital Markets Limited
22-30 Horsefair Street
Leicester LE1 5BD

Dealer direct dial
Switchboard
Email
Website

8am - 4.30pm 0345 707 0425
9am - 5.30pm 0116 204 5500
customerservices@ghcl.co.uk
www.ghcl.co.uk

Registered in England number 3113332
Registered office: 22-30 Horsefair Street Leicester LE1 5BD
Authorised and regulated by the Financial Conduct Authority
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