



Application Forms

Execution Only Share
Dealing Service

Full Service Execution Only

Standard Terms



Contact Details

TO PLACE AN ORDER WITH OUR DEALERS

Please call 0345 707 8425

Dealing hours are: 8am - 4.30pm

TO SPEAK WITH OUR ADMINISTRATION DEPARTMENT

Please call 0116 204 5500

Our office hours are: 9am - 5.30pm

Bank Details

Bank of Scotland

Sort Code: 12-22-76

Account number: 10210865

GHC CM LTD Client Money Pool Deposit Account

You can ask us for help at any time

Here at GHC, we value our clients and their peace 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



Execution Only Share Dealing Service

Fees and Charges

SECURITIES DEALING COMMISSION ON

CONSIDERATION

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

| | |
|------------------------------------|-------|
| Flat | 1.00% |
| 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 |
|------------------|-----|

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 |

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 April 2024 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

| |
|--|
| Name of account |
| Number of existing account (if applicable) |

Full names and addresses of all applicants

| Applicant 1 | Applicant 2 |
|----------------------------|----------------------------|
| Name: | Name: |
| Email: | Email: |
| Address: | Address: |
| | |
| | |
| County: | County: |
| Post code: | Post code: |
| Tel No. | Tel No. |
| Date of birth: | Date of birth: |
| Nationality*: | Nationality*: |
| Occupation*: | Occupation*: |
| National Insurance Number: | National Insurance Number: |
| | |

| Applicant 3 | Applicant 4 |
|----------------------------|----------------------------|
| Name: | Name: |
| Email: | Email: |
| Address: | Address: |
| | |
| | |
| County: | County: |
| Post code: | Post code: |
| Tel No. | Tel No. |
| Date of birth: | Date of birth: |
| Nationality*: | Nationality*: |
| Occupation*: | Occupation*: |
| National Insurance Number: | National Insurance Number: |
| | |

* 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)

| | | | | | | | | | | | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| | | | | | | | | | | | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|

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)

| | | | | | | | | | | | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
| | | | | | | | | | | | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|

SECTION 3 - AMOUNT TO BE INVESTED

| | |
|--|---|
| Initial cash transfer for: | £ |
| Approximate value of shares to be transferred: | £ |
| Total value of investment: | £ |
| Expected frequency of investment/transactions: | |
| <input type="checkbox"/> Weekly | <input type="checkbox"/> Monthly |
| <input type="checkbox"/> Annually | <input type="checkbox"/> Other (please specify) _____ |

SECTION 4 - YOUR BANK DETAILS

| | | | | | | | | | | | | | | | | | |
|---|-----------|--|--|--|--|--|--|--|--|--|---|--|--|--|--|--|--|
| Bank/Building Society name | | | | | | | | | | | | | | | | | |
| Address | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | |
| Postcode | | | | | | | | | | | | | | | | | |
| Account name | | | | | | | | | | | | | | | | | |
| Account number | Sort code | | | | | | | | | | | | | | | | |
| <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table> | | | | | | | | | | | <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td></tr></table> | | | | | | |
| | | | | | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | | | | |

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
 Probate
 Investments
 Employment Income
 Other (please specify) _____

SECTION 5 - ANTI MONEY LAUNDERING REQUIREMENTS

To satisfy our obligations under the Joint Money Laundering Regulations (JMLR) we may obtain verification and identification documents from your appointed financial adviser who are entitled to share this data with us. If we are unable to obtain such documentation from your appointed financial adviser we may at our discretion approach you directly.

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 Capital Markets Ltd would have to return these to your last stated address at your own risk.

SECTION 6 – NEWSLETTERS AND FINANCIAL PROMOTIONS

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

Should you wish to receive communication from us please tick Email

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 via telephone, email or post. Please be assured that it will not affect your relationship with GHC Capital Markets Ltd or any services we provide you with if you do not provide permission for us to contact you for marketing purposes.

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: |



Portfolio Transfer Forms (General Investment Account)

SECTION 8 – 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 Capital Markets Ltd, 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 8 – 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 Capital Markets Ltd, 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 8 – 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 Capital Markets Ltd, 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: | |



New ISA Application Forms

SECTION 9 – STOCKS AND SHARES ISA APPLICATION FORM (A)

| |
|----------------------------|
| Full Names: |
| Address: |
| County: |
| Post code: |
| Date of birth: |
| Nationality*: |
| National Insurance Number: |

SECTION 9 – STOCKS AND SHARES ISA APPLICATION FORM (A)

| |
|----------------------------|
| Full Names: |
| Address: |
| County: |
| Post code: |
| Date of birth: |
| Nationality*: |
| National Insurance Number: |

SECTION 10 – ISA DETAILS

First Tax Year (i.e. 2012/2013):

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| Y | Y | Y | Y | / | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|---|

How much do you wish to subscribe? £

I wish you to utilise my full ISA allowance for this portfolio on an annual basis.

SECTION 10 – ISA DETAILS

First Tax Year (i.e. 2012/2013):

| | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| Y | Y | Y | Y | / | Y | Y | Y | Y |
|---|---|---|---|---|---|---|---|---|

How much do you wish to subscribe? £

I wish you to utilise my full ISA allowance for this portfolio on an annual basis.

SECTION 11 – 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 – 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 12 – 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.

SECTION 12 – 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.

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: |

| |
|-------------|
| Signature: |
| Date: |
| Print name: |



ISA Transfer Forms

SECTION 13 – 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 Capital Markets 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 14 – ISA TRANSFERS

AUTHORITY 1

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

I hereby authorise and instruct you to provide GHC Capital Markets Ltd 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 indicted in specie to GHC Capital Markets Ltd.

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 14 – ISA TRANSFERS

AUTHORITY 2

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

I hereby authorise and instruct you to provide GHC Capital Markets Ltd 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 indicted in specie to GHC Capital Markets Ltd.

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: |



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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