



## Application Forms

Execution Only  
Nominee 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 that we should be aware of



# Execution Only Nominee 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

Service available upon request

### BARGAIN CHARGE

Each transaction	£25
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### NOMINEE FEE

Per account per month	£10
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(Charged monthly)

### ISA FEES

ISA Annual administrative fee per annum	£100
JISA Annual administrative fee per annum	£80

(Charged annually)

### 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

See 'Default Remedies' in our Terms of Business

### OTHER CHARGES

Recorded deliveries	Cost + £5
Re-issue of cheques	£10
Report & accounts	Not available
Certificated sales	Service available on request

#### Note:

Stock and/or cash must be available in your account with us prior to trading.

These fees and charges are correct as of the date of your application 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)

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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

Initial cash transfer for: £ \_\_\_\_\_

Approximate value of shares to be transferred: £ \_\_\_\_\_

Total value of investment: £ \_\_\_\_\_

Expected frequency of investment/transactions:

Weekly
  Monthly
  Annually
  Other (please specify) \_\_\_\_\_



## 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"/>	<input type="text"/>	Sort code	<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 your investment in this service. 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 terms and conditions of this service and 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.

<b>Applicant 1</b>	
Signature:	Date:
Please print name:	Capacity:
<b>Applicant 2</b>	
Signature:	Date:
Please print name:	Capacity:
<b>Applicant 3</b>	
Signature:	Date:
Please print name:	Capacity:
<b>Applicant 4</b>	
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:	



# 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:
<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 – 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 10 – ISA DETAILS

First Tax Year (i.e. 2025/2026):

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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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. 2025/2026):

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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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 exceeded the annual £20,000 in subscription limit in multiple ISAs. 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 exceeded the annual £20,000 in subscription limit in multiple ISAs. 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 exceeded the £20,000 annual subscription limit for multiple ISAs 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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FRN 152998