

**INFORMATION ABOUT THE CLIENT**

**01 | PERSONAL DETAILS**

Surname: \_\_\_\_\_ Home address: \_\_\_\_\_  
 Forenames: \_\_\_\_\_  
 Title (Mr/Mrs/Ms/Other): \_\_\_\_\_ Date of birth: \_\_\_\_\_  
 Place of Birth: \_\_\_\_\_ Postcode: \_\_\_\_\_  
 List of nationality (s): \_\_\_\_\_

**02 | CONTACT NUMBERS**

Telephone: \_\_\_\_\_ Email: \_\_\_\_\_

**03 | TAX STATUS**

**Please could you confirm:**

The country or countries where the client is a tax resident: \_\_\_\_\_

Whether the client a US citizen?  Yes  No

A US citizen has been defined by the IRS as: an individual born in the United States; an individual born in Puerto Rico, Guam or the US Virgin Islands; a former alien who has been naturalised as a US citizen or an individual whose parent is a US citizen. For further information please visit [www.irs.gov/Individuals/International-Taxpayers/Foreign-Persons](http://www.irs.gov/Individuals/International-Taxpayers/Foreign-Persons)

Your clients taxpayer identification number (TIN) if the client is a US citizen or a tax resident in the US, the UK Crown Dependencies (Jersey, Guernsey, and the Isle of Man), or Gibraltar: \_\_\_\_\_

**04 | EMPLOYMENT DETAILS**

Employment Status:  Employed  Self-Employed  Retired  Unemployed

Occupation: \_\_\_\_\_ Industry: \_\_\_\_\_

**05 | FINANCIAL STANDING OF THE CLIENT**

How long has the Client been a client of yours?: \_\_\_\_\_ Annual earnings: € \_\_\_\_\_

Estimate of value of the Client's assets: \_\_\_\_\_ Please provide any further information regarding these estimates:

Cash and cash equiv.: € \_\_\_\_\_

Share portfolios: € \_\_\_\_\_

Property (net of loans): € \_\_\_\_\_

## THE CLIENT'S KNOWLEDGE AND EXPERIENCE

Please provide the information on which you based your assessment as to the appropriateness of our services for your client.

1. To what extent over the past 3 years has the Client traded the following?

Shares and/or bonds  More than 20 times  10 to 20 times  Less than 10 times

Exchange-traded derivatives (eg warrants, futures or options)  More than 20 times  10 to 20 times  Less than 10 times

OTC derivatives (eg CFDs, spread betting, forex, binaries)  More than 20 times  10 to 20 times  Less than 10 times

2. How has the Client mostly traded these products?  Execution-only and/or Advisory  Managed

3. Do you have particular experience or qualifications which would assist your understanding of our services?  Yes  No

If **yes**:

Occupational experience: The Client has a good knowledge of OTC, leveraged derivatives through working in the financial sector

Qualifications: The Client has a good knowledge of OTC, leveraged derivatives because of a relevant professional qualification and/or education

## APPROPRIATENESS ASSESSMENT

The Client received 60 points or more in the Appropriateness Assessment

The Client received between 0 and 59 points in the Appropriateness Assessment. I have given the Client an Appropriateness warning in IG's required form (Harsher Risk Warning) and the Client has instructed me to continue with this application

## DECLARATIONS

Spread bets and CFDs are complex instruments and come with a high risk of losing money rapidly due to leverage. **77% of retail investor accounts lose money when trading spread bets and CFDs with this provider.** You should consider whether you understand how spread bets and CFDs work, and whether you can afford to take the high risk of losing your money.

I (Name): \_\_\_\_\_

apply to open an account with IG Markets Limited in the name of the Client.

I certify that in my position as (job title): \_\_\_\_\_

I am an authorised signatory of (Name of Broker): \_\_\_\_\_

- the Client has authorised and instructed me to make this application on the Client's behalf; and
- to the best of my knowledge, the details I have supplied in this application are true and correct.

 Signature: \_\_\_\_\_ Date: \_\_\_\_\_



Once you have completed your details, please:

- Print this form
- Sign it
- Return it to us