



# JOINT ACCOUNT APPLICATION FORM

Before completing this application form, please ensure that each joint account holder has obtained and read the information regarding the products and services provided by Saxo Capital Markets UK Ltd ("SCML") and all relevant terms and policies made available, and updated from time to time, on our website ([www.saxomarkets.co.uk](http://www.saxomarkets.co.uk))

PLEASE COMPLETE THE FORM IN BLOCK LETTERS AND IN BLACK OR BLUE INK.  
ALL ITEMS WITH \* MUST BE PROVIDED.

Once completed, this form should be sent to Saxo Capital Markets UK Ltd at the business address below or alternatively please email a scanned copy of the completed application to [privatesalesuk@saxomarkets.com](mailto:privatesalesuk@saxomarkets.com) or fax the completed application to +44 (0) 2071512001

ALL ITEMS WITH \* MUST BE PROVIDED.

## Part 1 | Personal Details (First Applicant)

NAME AS ON PASSPORT

\*Forenames: *First Name*  *Other name(s)*

\*Surname:

\*Gender:  Male  Female

\*Date of Birth:  DD /  MM /  YYYY

\*Town/City of Birth:

\*Country of Birth:

UK National Insurance No.:

\*Nationality:

\*IF YOU HAVE BEEN AT YOUR CURRENT ADDRESS FOR LESS THAN 3 YEARS, PLEASE ALSO PROVIDE YOUR PREVIOUS ADDRESS

\*Current residential address:

\*House Name/No. & Street

\*Town/City:

County:

\*Postcode:

\*Country:

\*Previous residential address:

\*House Name/No. & Street

\*Town/City:

County:

\*Postcode:

\*Country:

## Part 2 | Contact Details (First Applicant)

\*Landline Telephone No.: (Including country and area code)

Mobile Telephone No.:

\*E-mail Address:

## Part 3 | Sources of Fund & Employment Details (First Applicant)

\*Please indicate the source(s) of your funds for trading (select by ticking all that apply):

- Employment
- Pensions(s)
- Inheritance
- Self-employed business
- Savings & Investments only
- Other ( Please state):

If you have indicated that a source of funds is 'Employment', please confirm your employer details. Please note that no reference will be sought.

\*Employer Name:

\*Nature of the Business:

\*Job Title:

If you have indicated that a source of funds is 'Self-Employed', please confirm the business details.

\*Business Name:

\*Estimated Annual Turnover:

\*Nature of the business:

ALL ITEMS WITH \* MUST BE PROVIDED.

## Part 4 | Financial Details (First Applicant)

\*Monthly Income after tax:

\*Monthly outgoings (Living expenses, mortgage & other payments):

\*Estimated value of all Savings & Investments (i.e excluding any property ownership value):

## Part 5 | Financial Investment Knowledge & Experience (First Applicant)

\*How long have you continuously traded financial products on an execution-only basis?

- Less than 1 year
- 1 to 5 years
- More than 5 years

\*Do you have any industry recognised qualifications for the type of trading that you intend to carry out with us?

- Yes
- No

\*Do you work, or have you worked, in the financial sector for at least one year in a professional position which requires knowledge of the nature and risk involved in the type of trading that you intend to carry out with us?

- Yes
- No

\*Please indicate how many trades you have undertaken in each of the following products on an execution-only basis during the past 12 months.

### NON-MARGINED PRODUCTS

APPROXIMATE  
NO. OF TRADES

Shares:

ETFs & ETCs:

Gilts & Bonds:

### MARGINED PRODUCTS

FX Rolling Spot:

Options & Futures:

CFDs:

Financial Spread Bets:

ALL ITEMS WITH \* MUST BE PROVIDED.

## Part 1 | Personal Details (Second Applicant)

NAME AS ON PASSPORT

\*Forenames: *First Name* \_\_\_\_\_ *Other name(s)* \_\_\_\_\_

\*Surname: \_\_\_\_\_

\*Gender:  Male  Female

\*Date of Birth: DD / MM / YYYY

\*Town/City of Birth: \_\_\_\_\_

\*Country of Birth: \_\_\_\_\_

UK National Insurance No.:

\*Nationality: \_\_\_\_\_

\*IF YOU HAVE BEEN AT YOUR CURRENT ADDRESS FOR LESS THAN 3 YEARS, PLEASE ALSO PROVIDE YOUR PREVIOUS ADDRESS

\*Current residential address:

\*House Name/No. & Street \_\_\_\_\_

\*Town/City: \_\_\_\_\_

County: \_\_\_\_\_

\*Postcode: \_\_\_\_\_

\*Country: \_\_\_\_\_

\*Previous residential address:

\*House Name/No. & Street \_\_\_\_\_

\*Town/City: \_\_\_\_\_

County: \_\_\_\_\_

\*Postcode: \_\_\_\_\_

\*Country: \_\_\_\_\_

## Part 2 | Contact Details (Second Applicant)

\*Landline Telephone No.: (Including country and area code) \_\_\_\_\_

Mobile Telephone No.: \_\_\_\_\_

\*E-mail Address: \_\_\_\_\_

## Part 3 | Sources of Fund & Employment Details (Second Applicant)

\*Please indicate the source(s) of your funds for trading (select by ticking all that apply):

- Employment
- Pensions(s)
- Inheritance
- Self-employed business
- Savings & Investments only
- Other (Please state): \_\_\_\_\_

If you have indicated that a source of funds is 'Employment', please confirm your employer details. Please note that no reference will be sought.

\*Employer Name: \_\_\_\_\_

\*Nature of the Business: \_\_\_\_\_

\*Job Title: \_\_\_\_\_

If you have indicated that a source of funds is 'Self-Employed', please confirm the business details.

\*Business Name: \_\_\_\_\_

\*Estimated Annual Turnover: \_\_\_\_\_

\*Nature of the business: \_\_\_\_\_

ALL ITEMS WITH \* MUST BE PROVIDED.

## Part 4 | Financial Details (Second Applicant)

\*Monthly Income after tax:

\*Monthly outgoings (Living expenses, mortgage & other payments):

\*Estimated value of all Savings & Investments (i.e excluding any property ownership value):

## Part 5 | Financial Investment Knowledge & Experience (Second Applicant)

\*How long have you continuously traded financial products on an execution-only basis?

- Less than 1 year
- 1 to 5 years
- More than 5 years

\*Do you have any industry recognised qualifications for the type of trading that you intend to carry out with us?

- Yes
- No

\*Do you work, or have you worked, in the financial sector for at least one year in a professional position which requires knowledge of the nature and risk involved in the type of trading that you intend to carry out with us?

- Yes
- No

\*Please indicate how many trades you have undertaken in each of the following products on an execution-only basis during the past 12 months.

### NON-MARGINED PRODUCTS

APPROXIMATE  
NO. OF TRADES

Shares:

ETFs & ETCs:

Gilts & Bonds:

### MARGINED PRODUCTS

FX Rolling Spot:

Options & Futures:

CFDs:

Financial Spread Bets:

ALL ITEMS WITH \* MUST BE PROVIDED.

## Part 1 | Personal Details (Third Applicant - If more than 2 applicants)

NAME AS ON PASSPORT

<b>*Forenames:</b> <i>First Name</i>	<i>Other name(s)</i>	<b>*Town/City of Birth:</b>
<hr/>		<hr/>
<b>*Surname:</b>		<b>*Country of Birth:</b>
<hr/>		<hr/>
<b>*Gender:</b> <input type="checkbox"/> Male <input type="checkbox"/> Female		<b>UK National Insurance No.:</b> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<hr/>		<hr/>
<b>*Date of Birth:</b> <i>DD</i> / <i>MM</i> / <i>YYYY</i>		<b>*Nationality:</b>
<hr/>		<hr/>

\*IF YOU HAVE BEEN AT YOUR CURRENT ADDRESS FOR LESS THAN 3 YEARS, PLEASE ALSO PROVIDE YOUR PREVIOUS ADDRESS

<b>*Current residential address:</b>	<b>*Previous residential address:</b>
<hr/>	<hr/>
<b>*House Name/No. &amp; Street</b>	<b>*House Name/No. &amp; Street</b>
<hr/>	<hr/>
<b>*Town/City:</b>	<b>*Town/City:</b>
<hr/>	<hr/>
<b>County:</b>	<b>County:</b>
<hr/>	<hr/>
<b>*Postcode:</b>	<b>*Postcode:</b>
<hr/>	<hr/>
<b>*Country:</b>	<b>*Country:</b>
<hr/>	<hr/>

## Part 2 | Contact Details (Third Applicant)

**\*Landline Telephone No.:** *(Including country and area code)*

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**Mobile Telephone No.:**

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**\*E-mail Address:**

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## Part 3 | Sources of Fund & Employment Details (Third Applicant)

**\*Please indicate the source(s) of your funds for trading (select by ticking all that apply):**

- Employment
  - Pensions(s)
  - Inheritance
  - Self-employed business
  - Savings & Investments only
  - Other (Please state):
- 

If you have indicated that a source of funds is 'Employment', please confirm your employer details. Please note that no reference will be sought.

**\*Employer Name:**

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**\*Nature of the Business:**

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**\*Job Title:**

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If you have indicated that a source of funds is 'Self-Employed', please confirm the business details.

**\*Business Name:**

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**\*Estimated Annual Turnover:**

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**\*Nature of the business:**

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ALL ITEMS WITH \* MUST BE PROVIDED.

## Part 4 | Financial Details (Third Applicant)

\*Monthly Income after tax:

\*Monthly outgoings (Living expenses, mortgage & other payments):

\*Estimated value of all Savings & Investments (i.e excluding any property ownership value):

## Part 5 | Financial Investment Knowledge & Experience (Third Applicant)

\*How long have you continuously traded financial products on an execution-only basis?

- Less than 1 year
- 1 to 5 years
- More than 5 years

\*Do you have any industry recognised qualifications for the type of trading that you intend to carry out with us?

- Yes
- No

\*Do you work, or have you worked, in the financial sector for at least one year in a professional position which requires knowledge of the nature and risk involved in the type of trading that you intend to carry out with us?

- Yes
- No

\*Please indicate how many trades you have undertaken in each of the following products on an execution-only basis during the past 12 months.

### NON-MARGINED PRODUCTS

APPROXIMATE  
NO. OF TRADES

Shares:

ETFs & ETCs:

Gilts & Bonds:

### MARGINED PRODUCTS

FX Rolling Spot:

Options & Futures:

CFDs:

Financial Spread Bets:

ALL ITEMS WITH \* MUST BE PROVIDED.

## Part 6 | Contact Details for the Joint Account

\*Primary Telephone No.: (Including country and area code)

Secondary Telephone No.: (Including country and area code)

\*E-mail Address:

## Part 7 | Currency of the Main Joint Account

\*Please state the currency of the main account: (The default currency will be GBP if left blank)

## Part 8 | Signature & Declarations

To comply with The Money Laundering Regulations, SCML is required to collect information about each applicant and to undertake checks on each applicant's identity and residential address, including accessing and using information held in database or other electronic format through other agencies. In carrying out electronic verification, other agencies may retain a record of the enquiry and information given to them. SCML may also request further supporting documentation from each applicant to verify these details. The information obtained may be disclosed to law enforcement agencies and other relevant organisations for crime detection and prevention purposes. SCML will add these personal data and details (including email details) to the database of Saxo Bank Group which include entities that are outside the EEA. A list of entities within the Group can be found on [www.saxobank.com](http://www.saxobank.com). SCML may exchange information or share the personal data of each applicant with the firm or person who introduced the applicants to us. SCML may occasionally contact the applicant(s) by email, telephone or post to give information about products and services offered that are similar or related to the product and services previously provided. If the applicants do not consent to the use of their personal data in this way, we are unable to consider the application. By submitting the completed application form to us, the applicants jointly consent to the use of their information as indicated.

### Declaration

We declare that:

- We have read and understood the nature and the risk of the product(s) that we intended to trade in this account;
- We act in our name as specified on this application form and not on behalf of another party in respect of all matters related to this joint account. Accordingly, all funds to be deposited and transacted on the account are our own funds;
- We are unaware of any health or other conditions, severally or jointly, that may affect the proper operation of the joint account;
- We have provided true, accurate and complete information and undertake to update SCML of any changes to the information provided without delay;
- We have obtained from the website (<http://uk.saxomarkets.com>), read and understood the following:
  - a) The General Business Terms (including product risks disclosure detailed in Schedule 1 to these General Business Terms),
  - b) Order Execution Policy,
  - c) Conflict of Interest Policy,
  - d) Commission, Charges & Margin Schedule
- We consent to the Order Execution Policy and for any orders to be executed outside a regulated market or a multilateral trading facility;
- We consent for any of unexecuted limit orders not to be made public; and
- We accept and agree to be bound by the terms provided above and consent to such terms and information including future updates to these be provided to us by way of posting on the website indicated above.

\*Signature:

\*Date:

\*Name:

1st Applicant

2nd Applicant

3rd Applicant