

Client information checklist

Please do not send to Fidelity

Please capture information for account opening and complete the application online. Please DO NOT post this checklist to Fidelity, as applications made using this form cannot be processed and WILL be rejected.

1 Personal details (you should complete a form for each named client)

Title

Mr Mrs Ms Other:

Gender

Male Female

Surname

First and other names in full

Date of birth (dd/mm/yyyy)

/ /

Crown servant or spouse / civil partner of

Yes No

British Forces Posted Overseas (BFPO)

Yes No

Beneficial owner

Yes No

To open this account online, the client must be personally entitled to the money and investments in this account and hold them for their own benefit. If your client intends to hold the investments in this account for someone else, please consider the following options:

(a) Where the investment/s have been placed in trust, please download and complete the Investment Account Application form for Trusts (the client will need an existing trust deed or other instrument/document creating the trust), or

(b) Where the client does not have an established trust and wants to hold assets in the account for the benefit of a child, you can invest the money in a Bare Trust by downloading and completing the Application to open an Investment Fund Account (as a Bare Trust) for a child.

Employment status

Employed / Self-employed Not employed
 Full-time education Retired

1 Personal details (continued)

Not a US citizen

I confirm that my client is not a US citizen, is not resident in the US, and does not have an obligation to pay tax to the US tax authorities on their worldwide income.

Nationality 1

Nationality 2

Nationality 3

Nationality 4

From January 2018, in order to invest in exchange-traded products (including Investment Trusts or Exchange-Traded Funds) you are required to capture the nationalities, and in some cases the national identifiers, for each of your clients for reporting purposes. If your client is a British Citizen only, this is the National Insurance number. If your client holds dual nationality, or is a national of another country, then another identifier may be required. You can find the list of required nationality identifiers at www.fidelity.co.uk/adviserservices/secure/mifid.page. We are allowing capture of this information online so your clients can invest in existing or new exchange traded products after January 2018.

Not been issued a national ID

if checked, skip to town of birth

National identifier

Town of birth

Country of birth

Source of funding for lump sum

- | | | |
|--|---|---|
| <input type="checkbox"/> Savings from income | <input type="checkbox"/> Inheritance | <input type="checkbox"/> Income from salary |
| <input type="checkbox"/> Divorce settlement | <input type="checkbox"/> Gift | |
| <input type="checkbox"/> Sale of property | <input type="checkbox"/> Sale of investments / transfer | |

Other
(Please describe)

Source of funding for regular investments

- | | | |
|--|---|---|
| <input type="checkbox"/> Savings from income | <input type="checkbox"/> Inheritance | <input type="checkbox"/> Income from salary |
| <input type="checkbox"/> Divorce settlement | <input type="checkbox"/> Gift | |
| <input type="checkbox"/> Sale of property | <input type="checkbox"/> Sale of investments / transfer | |

Other
(Please describe)

1 Personal details (continued)

Driving licence

This information is not mandatory. However it may improve the chances of securing a positive AML check result.

Additional personal details

If your client is purchasing a SICAV fund, you will need to provide us with the following additional personal details relating to your client's employment (if employed):

Industry

Position

2 Tax details

Please tell us about your tax arrangements (non-ISA applications only):

Are you a UK tax resident?

Yes No

National Insurance number

Tax residency outside the UK

You can submit a total of five tax residency countries online. If you have more than five, please send the relevant details to us in writing

Tax residency

Tax identification number

Tax residency

Tax identification number

Tax residency

Tax identification number

Tax residency

Tax identification number

3 Contact details

Your residential address - 'Care of' and PO Box addresses are not allowed for regulatory reasons. By entering your address you are confirming that you are a UK resident. Only UK addresses are eligible unless you are a Crown servant or British Forces Posted Overseas (BFPO) or the spouse / civil partner of a Crown servant or British Forces Posted Overseas (BFPO).

Address Line 1

Address Line 2

Address Line 3

Address Line 4

City / town

Country

Postcode

Service number

Rank

Unit / regiment

Operation number

BFPO number

Daytime number

Evening number

Mobile number

Email address

4 Bank details

Bank details are required for income payments from funds and future redemptions.

Account holder name

Bank / building society number

Sort code

Name and address of bank / building society

Instruction reference number

Building society roll number

5 Third party payers

We will accept investments from immediate family members. Immediate family shall be taken to include a person's spouse or civil partner, siblings, children (and those for which they have parental responsibility through legal guardianship), grandchildren and great grandchildren, parents, grandparents and great grandparents. If the client is not the person paying for the investment, then you will need to supply the following information and gain the consent of the payer to process their personal information .

Title

Mr Mrs Ms Other:

Surname

First and other names in full

Address Line 1

Address Line 2

Address Line 3

Address Line 4

City / town

Country

Postcode

5 Third party payers (continued)

Date of birth (dd/mm/yyyy)

/ /

- Spouse or civil partner
- Sibling
- Child (and those for which they have parental responsibility through legal guardianship)
- Grandchildren and great grandchildren
- Parents
- Grandparents
- Great grandparents

6 Declaration and client signature

I declare that all the information I have provided is true and accurate to the best of my knowledge.



Date signed (dd/mm/yyyy)

/ /