

# 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](http://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 (Investment Accounts only)

### Is your client a UK tax resident?

Yes  No

### National Insurance number (NINO)

### NINO not held

### Tax residency outside the UK

A total of five tax residencies can be submitted here. If there are more than five, please send the relevant details to us in writing.

Tax residency	Tax identification number (TIN)	TIN not held
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
Tax residency	Tax identification number (TIN)	TIN not held
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
Tax residency	Tax identification number (TIN)	TIN not held
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
Tax residency	Tax identification number (TIN)	TIN not held
<input type="text"/>	<input type="text"/>	<input type="checkbox"/>

### 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)

/   /