



EXCLUSIVE PROFESSIONAL
INVESTMENTS

Form 100W

GENERAL INVESTMENT ACCOUNT FORM

WRAP PLATFORM

Please complete all sections in BLOCK capitals using blue or black ink.

Affiliated Firm Contact Details

Location code

Responsibility code

Affiliated Firm Contact

Raymond James Head Office Use Only

Account reference RK

RAYMOND JAMES®

Willu Limited, your Financial Intermediary, is authorised and regulated by the Financial Conduct Authority

Raymond James Investment Services Limited (Raymond James) is authorised and regulated by the Financial Conduct Authority and is a member of the London Stock Exchange Registered in England and Wales No. 3779657 Registered Office: Broadwalk House 5 Appold Street London EC2A 2AG

Pershing Securities Limited is authorised and regulated by the Financial Conduct Authority and is a member of the London Stock Exchange

Your Information

Account Type Tick one box only

Personal/Joint Trust SSAS Corporate Charity QROPS QNUPS

If you wish to open an ISA Account in addition to your General Investment Account, please obtain an ISA Application Form from your Financial Intermediary.

Account Details

Name of the account

Address for correspondence

Registered Company Address

Registered Company or Charity number
if applicable

Company telephone

Company fax

Website

Verification

If you have an existing account with Raymond James and have previously provided identification documentation, additional documentation **may** not be required. Please provide details here: Account reference **RK**

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Personal Details

	First Party	Second Party
Relationship to account	Owner <input type="checkbox"/> Trustee <input type="checkbox"/> Director <input type="checkbox"/>	Owner <input type="checkbox"/> Trustee <input type="checkbox"/> Director <input type="checkbox"/>
	Other specify <input style="width: 100%;" type="text"/>	Other specify <input style="width: 100%;" type="text"/>
Title	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Surname	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Forename(s)	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Date of birth	DD MM YYYY	DD MM YYYY
Address for identification purposes <i>if different from above</i>	<input style="width: 100%; height: 80px;" type="text"/>	<input style="width: 100%; height: 80px;" type="text"/>
Contact telephone numbers	Home <input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
	Business <input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
	Mobile <input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Fax number	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Email address	<input style="width: 100%; height: 60px;" type="text"/>	<input style="width: 100%; height: 60px;" type="text"/>
National Ins. no. or Tax identification no.* <i>Personal Accounts only</i>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Are you a US Person? **	No <input type="checkbox"/> Yes <input type="checkbox"/>	No <input type="checkbox"/> Yes <input type="checkbox"/>
What countries are you resident in for tax purposes?	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
What country are you a citizen of?	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
Place of birth	Town <input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
	Country <input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

* Your National Insurance number can be found on your National Insurance Card, payslip, form P45 or P60, pension order book, or letters from HM Revenue and Customs or Department for Work and Pensions.

** We have limited options for US Persons. For a definition of US Person please refer to the IRS website:
<http://www.irs.gov/Individuals/International-Taxpayers/Classification-of-Taxpayers-for-U.S.-Tax-Purposes>.

Administration of Your Account

Dividends and Interest

If you require income from your portfolio, Raymond James will establish an Income Account within your General Investment Account. All investment income may be paid out of your Income Account to the primary bank/building society you have specified; alternatively it can be retained on the account for subsequent reinvestment, paid on an ad hoc basis by submitting a request to your Financial Intermediary, or paid out on a periodic basis as indicated below. Please choose your income preferences below.

Income Preferences

Paid on Receipt	<input type="checkbox"/>	Paid monthly	<input type="checkbox"/>	Paid quarterly (March, June, Sept, Dec)	<input type="checkbox"/>
Paid half yearly (June, December)	<input type="checkbox"/>	Paid annually (December)	<input type="checkbox"/>	Retained on income account* – default	<input type="checkbox"/>
Paid to dealing account for reinvestment by your Financial Intermediary*	<input type="checkbox"/>	As specified below*	<input type="checkbox"/>		

*Income retained on the income account or paid into the dealing account may be paid out on a periodic basis.

Specific Payment Requirements

Please specify below your requirements and specify whether the payment should come from your Income or General Investment dealing Account. Note that if there are insufficient funds to make a payment, no payment will be made.

Example: £1000 per quarter from 01 May 2015 from my/our Income account

£ per month on the day of the month from my/our account

£ per quarter from start date from my/our account

Note on Currency

All dividends, interest, redemptions and corporate actions will be paid in Raymond James' base currency of GBP unless otherwise requested, even for holdings denominated in other currencies. If you wish to receive payments in the currency denomination of the holding, please notify your Financial Intermediary.

Primary Bank/Building Society Details

Bank name	<input type="text"/>	Branch	<input type="text"/>
Account name	<input type="text"/>	Sort code	<input type="text" value="00 - 00 - 00"/>
Account number	<input type="text"/>	Building Society roll no if applicable	<input type="text"/>
Currency*: GBP, EUR, USD, other – specify	<input type="text"/>	SWIFT if applicable	<input type="text"/>
		IBAN required for Euro payments	<input type="text"/>
Additional routing instructions if applicable e.g. intermediary bank details		<input type="text"/>	

These bank details must be in the exact same name as the Raymond James Account Holder, or the name of one of the joint Account Holders if a joint bank account. These will be the primary bank details on your account. To establish additional bank details, please ask your Financial Intermediary. Our policy is to establish bank details only where the account is in the same name(s) as the Raymond James account. Please note that in order to change the bank details on this account, Raymond James will require an instruction signed by the authorised signatories to the account.

*Whilst it is possible to make ad hoc payments to a non-GBP bank account, it is not possible to set up regular payments in an account other than GBP.

Reporting

Statements

You will receive a 'Statement of Account and Securities Held' at the end of December. This statement lists your holdings with a mid market value, as well as cash transactions for the reported period, excluding stock transfers and corporate actions if no cash was involved. Statement values are reflected in GBP. Please discuss with your Financial Intermediary if you would like to receive this information more frequently. In addition, you will receive an annual Custody Statement which contains a record of your holdings, held in nominee on your behalf by Pershing Securities Limited (Pershing). Pershing sends this statement to you to meet its regulatory requirements as custodian of your assets.

Contract Notes

Raymond James will generate a contract note confirming details of the trade/s executed on your behalf. Contract notes are dispatched to your correspondence address, via first class post. For securities trades, contract notes will be dispatched by the end of business day after the trade has been executed. For fund trades, contract notes are produced following receipt of confirmation from the fund company.

If you would prefer for your Financial Intermediary to receive your contract notes on your behalf, please review the following declaration and confirm accordingly.

I/We understand that by ticking this box, I/we are instructing Raymond James to send any contract notes to my Financial Intermediary, as named in the *Raymond James Wrap Platform Terms of Business*, who has agreed to receive these on my/our behalf. I/We understand that this means that I/we will not receive contract notes following the execution of any trades placed on my/our accounts, and understand that should I/we require copies of these contract notes, that these will be available from my/our Financial Intermediary upon request.

Valuations

Valuations are provided quarterly at the end of March, June, September and December, half yearly at the end of June and December or yearly at the end of December. Valuation values are reflected in GBP unless specified otherwise below.

Valuation Currency (if not GBP)

EUR USD

Frequency of Valuations – please specify below

Quarterly (March, June, September, December) Half Yearly (June, December) Yearly (December)

Tick here if you wish to consolidate your valuation with another account holder

Account name

Account no. RK

Relationship to account

Third Party Instructions

I/We authorise Raymond James to accept any and all instructions, as described in the Acting on Your Instructions section in the *Raymond James Wrap Platform Terms of Business*, from any one of the under mentioned parties. By completing and signing this part of the form, I provide my consent for Raymond James to validate my personal identification and verify my address internally or through a third party external firm providing the services electronically to Raymond James. I also agree for Raymond James to obtain a report on me for anti-money laundering and fraud prevention purposes.

Please tick where appropriate

Dealing Instructions Payment Instructions Requests for copies of statements, valuations and contract notes

If you wish for the third party to be set up to receive copies of any statement, valuation or contract note you receive, tick here

	First authorised third party	Second authorised third party
Title	<input type="text"/>	<input type="text"/>
Surname	<input type="text"/>	<input type="text"/>
Forename(s)	<input type="text"/>	<input type="text"/>
Address for identification purposes	<input type="text"/>	<input type="text"/>
Contact telephone number	<input type="text"/>	<input type="text"/>
Fax number	<input type="text"/>	<input type="text"/>
Email address	<input type="text"/>	<input type="text"/>
Relationship to account	<input type="text"/>	<input type="text"/>
Signature of authorised third party	<input type="text"/> X Please sign here	<input type="text"/> X Please sign here

Please note that as per the *Raymond James Wrap Platform Terms of Business*, Raymond James reserves the right, in its absolute discretion, whether to deal with and accept instructions from the aforementioned third parties.

Note on Joint Accounts

Our policy is for parties to joint accounts to hold the assets as Joint Tenants. "Joint Tenancy" means: 'Ownership of assets without division by two or more persons. When one person dies the ownership passes to the survivor(s).' A Personal Account with more than one Account Holder is deemed to be a joint account.

By signing the declaration at the end of this Account Form, the undersigned represent that they are Joint Tenants and, in the event of the death of one or more of the Account Holders, the ownership will pass to the surviving Account Holder(s) who will have full authority and power over these assets. Raymond James may rely on these instructions.

Declaration

I/We have read this form and to the best of my/our knowledge, the information I/we have provided is correct. I/We undertake to notify my/our Financial Intermediary of any significant or material changes. Before signing below, I/we understand the importance of me/us reading and understanding the *Raymond James Wrap Platform Terms of Business* and my/our Financial Intermediary's *Schedule of Fees and Charges*. This is because the *Raymond James Wrap Platform Terms of Business* and the section of the Financial Intermediary's *Schedule of Fees and Charges* relevant to the Raymond James services will comprise the formal agreement between Raymond James and me/us. I/we also understand the importance of reading, understanding and consenting to the Raymond James Execution Policy on which I/we have been given information. I/we accept that if I/we do not understand any points in any of the documents referred to in this paragraph, I/we will ask for further information before signing. If this is a joint account, we have read and understood Raymond James' policy on Joint Accounts and agree we will hold the assets within this account as Joint Tenants. We agree that if we do not understand what this joint tenant classification means, we will seek further information before signing.

I/We understand that access to information about the Account will automatically be granted to each email address nominated in the 'Personal Details' section of this Account Form. I/We provide my our consent for a password to be sent to each email address, and understand that access to Account information will be available to any person(s) with access to the nominated email account(s). I/We understand that I/we am/are responsible for maintaining the security of the access details.

By completing and signing this form, I/we provide my our consent for Raymond James to validate my/our personal identification and verify my/our address internally or through a third party external firm providing the services electronically to Raymond James. I/We also agree for Raymond James to obtain a report on me/us for anti-money laundering and fraud prevention purposes.

All Account Holders to sign below.

Signatories to Account Form

First Party Account owner or person authorised to bind trust/company/partnership to this agreement

Full name Please print

Signature

Date

Second Party Account owner or person authorised to bind trust/company/partnership to this agreement

Full name Please print

Signature

Date

Financial Intermediary Contact

Full name Please print

Signature

Date