



Merchant John East Securities

Supplementary Information Managed and Advisory CFD Accounts

Instructions - Please complete in block capitals

You have indicated that you would like an Advisory or Managed CFD account service. We are required to obtain more detailed information about your personal and financial situation to be able to access the suitability of that service for you. Please complete the questions below.

Account Name	
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Please indicate below the type of service you require	Please Tick One
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Managed Portfolio	
This service is designed to take away the hassle of managing an investment portfolio. Once we have established your investment objectives and risk profile we will manage the portfolio within the agreed mandate, making specific investment decisions without discussing these with you. We will keep you updated with contract notes after each trade and provide you with portfolio valuations and progress reports at agreed intervals.	

Advisory	
This service is for those wishing to retain overall control of their investments whilst benefiting from our knowledge and expertise. After establishing your objectives and risk profile we will give advice on investments and any investment decision is taken solely by you. You will receive a contract note for each trade and be provided with a portfolio valuation at agreed intervals.	

Investment Objectives

Please indicate your investment objectives below	Please Tick One
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Hedge other exposures, e.g. equity portfolio	<input type="checkbox"/>
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Short term trading	<input type="checkbox"/>
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Combination of above	<input type="checkbox"/>
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Personal Financial Situation

Because CFD's are a high risk investment we need to assess the suitability of these investments in light of your knowledge and experience, your attitude to risk and you financial situation. Please take some time to complete the following

Occupation/prior occupation

Current Occupation

Income

In the case of joint investors, please give details of both

Annual earned income

Annual pension income

Annual investment income

Annual other income

Annual expenditure

Property ownership

Home

Tenant

Other

Assets and Liabilities

In the case of joint investors, please give details of both

Assets

Liabilities

Main residence

Outstanding mortgage

Investments

Other loans

Cash deposits

Credit card loans

Do you have a Pension?

Yes

No

Type of Pension

Monthly Pension Contribu-

Value of Pension

Form of Consent

- Your investment objective is as noted in this form.
- Merchant Securities will provide you reports by email or post, at least every month, detailing your CFD positions, valuation, cash balance, fees and charges.
- Merchant Securities has disclosed to you the risks associated with trading in CFDs in our Risks Disclosure Notice and you understand and are willing and able to accept those risks.
- Merchant Securities does not delegate the management of CFD accounts to a third party.
- Your CFD account will be made up of designated investments such as FTSE 350 shares and exchange traded funds.
- Merchant Securities will benchmark the performance of your managed CFD account against the FTSE All Share Index.

Declaration and Form of Consent – Advisory CFD Account

Please sign this section if you have requested an **Advisory** CFD account.

I/we confirm and agree the information supplied here in and in my /our original application to open a Margin Trading account (personal account by me/us is true and correct. Further, I/we undertake to notify Merchant Securities Trading Service (CFDs) if there is any change to my/our status such that any one of the statements in this declaration becomes untrue.

In the case of joint investors, both sign and date.

Signature(s).....

Date.....

Declaration and Form of Consent – Managed CFD Account

Please sign this section if you have requested a **Managed** CFD account.

I/we authorise Merchant Securities Trading Service (CFDs) to invest in CFD`s at our discretion and in line with my/our investment objective, without prior notice to or consultation with me/us, to the same extent and with the same force and effect as if such actions were taken by me/us directly.

I/we consent to operating a Managed CFD account with Merchant Securities in line with the above conditions.

I/we confirm and agree the information supplied here in and in my /our original application to open a Margin Trading account (personal account by me/us is true and correct. Further, I/we undertake to notify Merchant Securities Trading Service (CFDs) if there is any change to my/our status such that any one of the statements in this declaration becomes untrue.

In the case of joint investors, both sign and date.

Signature(s).....

Date.....

[Please use this page to notify us of any other relevant information](#)

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A subsidiary of Merchant Securities plc. Registered in England at the above address. Registered No.1825671