

Designated Dealing account application form

This form should only be used if you want to apply for a designated AJ Bell Dealing account.

Please use BLOCK CAPITALS only and blue or black ink, ticking the boxes where appropriate.

If you would like a copy of this, or any other item of our literature, in large print, Braille or in audio format, please contact us on 0345 54 32 600 or by email at help@ajbell.co.uk.

Section A – Personal details

Title

Surname

Forename(s)

Date of birth

National Insurance number

Permanent residential address

Postcode

Country

If the applicant has been resident at this address for less than three years, please provide their previous address(es) on a separate sheet of paper and attach it to this application.

Daytime telephone number

(If phone number is non-UK, provide full dialling code)

Email address

Do they have an existing AJ Bell Account?

Yes

No

If 'Yes', please provide the existing account number

Were you born in the UK? And are you solely a UK citizen, solely a UK national and solely resident in the UK for tax purposes? To tick Yes, all need to apply.

Yes (If 'Yes', please continue to section C)

No (If 'No', please complete section B)

Section B – Only complete if your country of birth, residency, nationality or citizenship is non-UK

Country of birth

Nationality

Please check the nationality table at the end of this form, and provide your relevant identification number. If there's more than one option for your nationality, please let us know which identification number you're providing us with in the box below.

Identification number

Type of number (if applicable)

If your nationality isn't listed in the table, please provide your national passport number.

Passport number

If you don't have your identification number or passport number, please contact us. For more information, please visit ajbell.co.uk/nci.

Country of residence for tax purposes

Second country of residence for tax purposes

Country of citizenship

Second country of citizenship (if applicable)

Please list all your nationalities and countries of citizenship and tax residency. If you're a national of more than one country, please provide your further nationalities and identification numbers on a separate sheet and attach it to this application. If you're a citizen or tax resident of more than two countries, please list all details on a separate sheet of paper and attach it to this application.

Section C - Dealing account designation

Please enter the designation that you wish to use on this Dealing account.

Dealing account designation*

(*Please note that we may have to abbreviate this for display purposes.)

Nominated bank account

To make cash withdrawals from your Dealing account, please give us details of the bank or building society account where you'd like the money to be paid. It needs to be in the name of one, or both, applicants.

Account holder's name

Bank/building society account number

Sort code

Username and security question for your online account

Create the username for the applicant

The nominated contact's username can be anything you like, but it must be at least 7 characters long.

Please enter the username in the box below. If the username is already in use then we will suggest some alternatives for you. For your security, please ensure that you memorise the username.

Username

If you want to discuss your account over the telephone, we may also ask you to answer the two questions below. Please tell us:

Your mother's maiden name

The name of your first school

Declarations and applications (to be signed by both applicants)

Please read the following carefully before you sign.

I declare that:

1. I am aged 18 years or over and resident in the UK.
2. The declarations and information contained in this form are true, correct, complete and not misleading to the best of my knowledge and belief, and I undertake to notify AJ Bell of any changes without delay.
3. I confirm that I have been recommended and given the opportunity to read, ensure that I understand and keep copies of the AJ Bell Dealing account terms and conditions and charges and rates and I understand that the details contained in those documents and this application constitute the agreement between me and AJ Bell.
4. All payments made, and to be made, to the AJ Bell Dealing account belong to the applicant.
5. I confirm that I am not resident for tax purposes or a citizen of any country other than those I entered in my application.
6. I understand that you will use the information provided in this form to determine whether the applicant is a reportable person under The International Tax Compliance (USA) Regulations 2013 and The International Compliance (Crown Dependencies & Gibraltar) Regulations 2014.

I confirm that you are authorised to:

- a. Make whatever checks are necessary to verify our identity, as required to comply with the Money Laundering Regulations.

Data privacy statement

We'll use the information you provide to check your identity – and the identity of anyone else who funds an investment made in your name – with credit reference and fraud prevention agencies. These agencies will record our checks and will make that record available so others are able to verify your identity.

So we can thoroughly check the available data, we verify your identity using scoring methods. If you supply false or inaccurate information and we suspect fraud, we'll inform the fraud prevention agencies.

If we can't verify your identity by electronic means, we may ask you for additional information.

Depending how the data has been processed, and subject to some exemptions, you have a number of legal rights about your personal information. These include:

- To access personal information
- To rectify/erase personal information
- To restrict the processing of your personal information
- To transfer your personal information
- To object to the processing of personal information
- To object to how we use your personal information for direct marketing purposes
- To obtain a copy of personal information safeguards used for transfers outside your jurisdiction
- To lodge a complaint with your local supervisory authority

To exercise these rights (or request details of the credit reference and fraud prevention agencies from which we obtain information and record information about you), please contact us. For more information see our privacy policy.

How we communicate with you

Being a DIY investor is all about staying up to date. The good news is: we can help you.

AJ Bell would like to send you emails and other electronic communications to help you on your investing journey. Not only can you expect weekly market news and free articles from Shares magazine, but you'll be the first to hear about exclusive customer offers – including regular prize draws and invites to our popular investing events.

If you receive anything you don't like, don't worry: you can manage the type of communications you receive and unsubscribe at any time by updating your communications preferences in the 'my account area' of our website.

I'd like to receive communications including investment updates, weekly market news, exclusive customer offers and free content from Shares magazine.

Yes

No

Name

Date

Signature

Next steps

Once completed and signed the form should be returned to AJ Bell 4 Exchange Quay, Salford Quays, Manchester M5 3EE. Alternatively, you can email a scanned copy to newaccounts@ajbell.co.uk.

We'll aim to process your completed application form 2–3 working days after we receive it. If we need any more information to process the application, we'll be in contact during this time.

Once the account is ready, we'll email you to let you know. If you've any queries in the meantime, you can contact us at newaccounts@ajbell.co.uk.