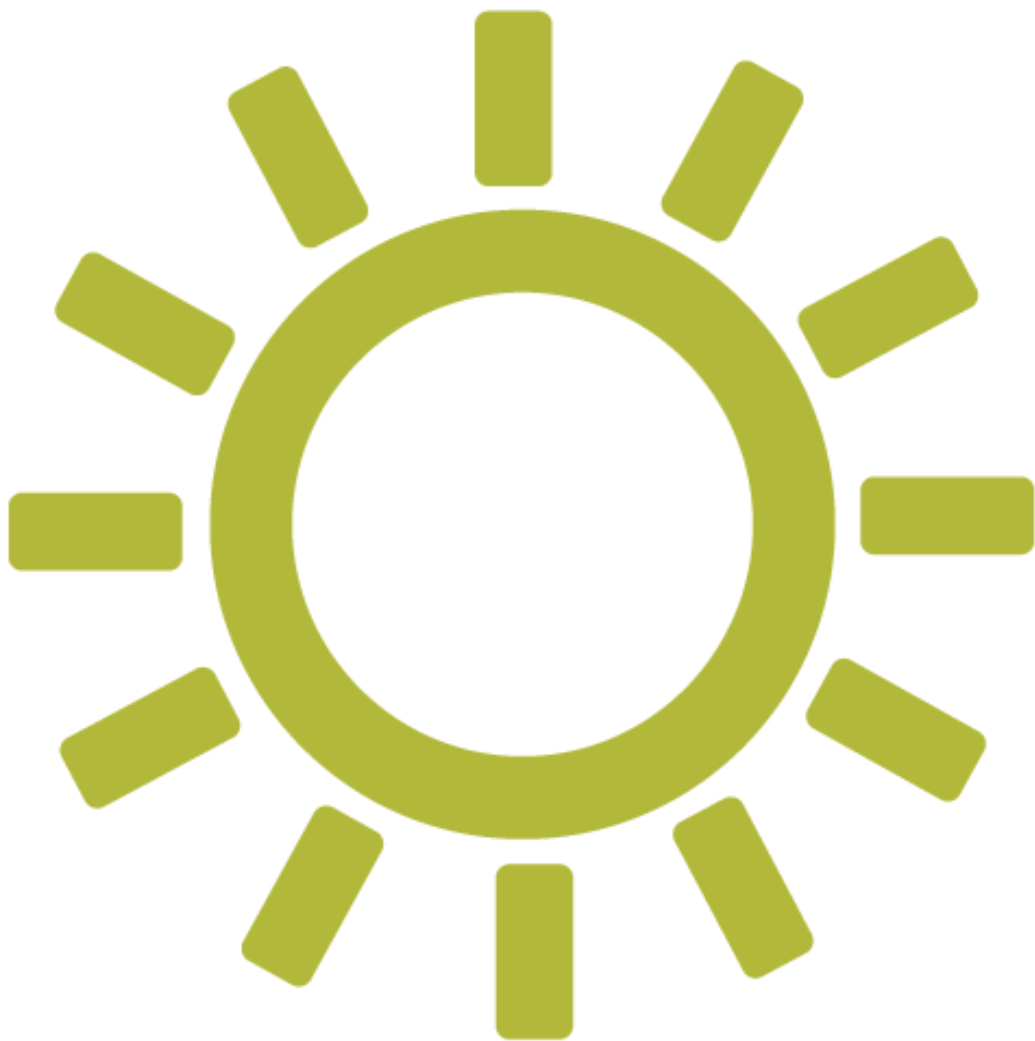


the**share**centre:

for the advice you need

Advice registration



# About completing this form

The details you provide enable us to get a picture of your financial circumstances in order to provide you with advice appropriate to your aims. Please enter details as at the date of completing this form, we will then check they are still correct as and when you call. Guidance on completing particular sections of the form is given below - if you've any questions simply call us on 01296 41 43 45; we'll be pleased to help.

## Notes on completing this form

### Section 2 - assets and liabilities

Bank accounts: include here details of bank, building society and other cash savings that you can call upon at short notice.

In general, you would not include your day-to-day bank account unless you maintain a regular credit balance that could be transferred to other savings accounts or used for capital investment. Similarly, you need not include any short-term overdraft. Only include any credit card balance that is not cleared on a regular basis.

Investments: It would be helpful for us to have details of individual investments you already hold: this will avoid any inappropriate duplication or too high a level of exposure to any one company or investment sector in the overall mix of your investments. Please use section 5 to list investments not held in your account with us.

- **Funds:** Include here the total value of unit trusts, OEICs etc., wherever held.
- **Shares:** Include here the total value of any shares and investment trusts you already hold, including those in accounts with The Share Centre.
- **Fixed interest:** Include here the value of any bonds and gilts.

### Section 3 - investment objectives

Investing in the stock market, either directly into individual shares and investment trusts or through funds, is generally suitable for the longer term, setting money aside for a minimum of five years.

You may be looking for capital growth (through an increase in the price of the shares or funds), income (from dividends or fund distributions), or a balance of the two.

Occasionally, and for those who are prepared to accept a higher level of risk, there may be opportunities to invest in shares over a shorter time scale.

Please tick only one box to show your prime investment objective: you will be able to talk about supplementary objectives when you call.

### Section 4 - attitude to risk

- **Cautious:** Maintaining the value of my money is important to me, but I am prepared to accept some risk in the hope of generating a better return in the long term than I would get on a deposit account. I understand that this will generally lead to a modest level of capital growth or income. There should be a greater focus on lower risk investments such as Government securities and corporate bonds. Income generation is likely to be more important than capital growth and any exposure to shares should be modest and in high quality UK companies, such as those found in the FTSE 100 Index, either directly or through funds.
- **Intermediate:** I am prepared to accept a moderate level of risk in the hope of generating a better return in the long term. I appreciate this could mean that the value of my investments may fall in the short term, and that I may need to hold them longer to see the returns I want. I could have a significant exposure to shares, either directly or through funds, and I would be happy investing in large companies such as those found in the FTSE 100 Index, as well as mid-sized companies such as those found in the FTSE 250 Index.
- **Adventurous:** I am prepared to accept a higher level of risk with my investments in the hope of generating higher returns in the long term. I understand that there is a greater chance of losing money, especially in the short term. There should be a greater focus on investments likely to generate capital growth such as shares, and exposure should extend from large UK companies to small companies such as those found in the FTSE Small Cap Index or on AIM. I am prepared to consider investing in overseas markets through UK listed investment trusts or specialist funds.

# Advice registration form

## Section 1: Personal details

Title	<input type="text"/>	Home phone	<input type="text"/>
Forename(s)	<input type="text"/>	Work phone	<input type="text"/>
Surname	<input type="text"/>	Mobile no	<input type="text"/>
Customer ref.	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Email	<input type="text"/>
(If you are returning this form together with an Account application, please leave blank.)		Occupation	<input type="text"/>

The information you provide is used to ensure we have an understanding of your circumstances and investment objectives in order that we can provide appropriate advice to suit your needs. Naturally all information is treated in the strictest confidence.

<b>Net monthly income from:</b>	Employment	<input type="text"/> £	If you plan to invest on a regular, monthly, basis, please tell us how much spare income you have each month after paying your usual expenses. <input type="text"/> £
	Investment	<input type="text"/> £	
	Pension	<input type="text"/> £	
	Other	<input type="text"/> £	
	Total	<input type="text"/> £	
			<b>Tax rate:</b> (please tick)
			<input type="checkbox"/> Higher rate <input type="checkbox"/> Standard rate <input type="checkbox"/> Lower/none

## Section 2: Assets and liabilities

This will help us put your investment aims into perspective; you'll find explanatory notes on each section opposite.

		Assets			Liabilities
<b>Bank accounts:</b>	Savings	<input type="text"/> £	Loans	<input type="text"/> £	
	Cash ISA	<input type="text"/> £	Credit cards	<input type="text"/> £	
<b>Investments in:</b>	Funds	<input type="text"/> £			
	Shares	<input type="text"/> £			
	Fixed interest	<input type="text"/> £			
<b>Property:</b>		<input type="text"/> £	Mortgage	<input type="text"/> £	

If there are other assets or liabilities you think we should be aware of, please list them in section 5 on the reverse of this form.

## Section 3: Investment objectives

**Investment objectives:** **Long term** with an emphasis upon (please tick one box only)

Capital growth  Income  Balanced return

or

**Short term trading in shares**

## Section 4: Attitude to risk

**Attitude to risk:**  Cautious  Intermediate  Adventurous

See opposite for descriptions of these risk categories.

### Declaration

I declare that the above information is correct. If any of these details change significantly I undertake to inform The Share Centre without delay. I have read and accept The Share Centre's Advice Service Terms of Business.

Signature	<input type="text"/>	Date	<input type="text"/>
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## investment advice terms of business

- 1 These terms of business are additional to the terms of business of your existing Account, as may be amended, and form part of your Agreement with The Share Centre (TSC). Defined terms used in these terms of business have the meaning attributed to them in your Account Agreement. In the event of a conflict between any parts of them, these Investment Advice terms of business will prevail.
- 2 To ensure the appropriateness of the advice you receive, no advice will be given until you have registered to receive investment advice from the Advice Team and, if you are a new customer, your Account with TSC has been opened. In addition, you will be requested to provide information relating to your financial standing, investment objectives and attitude to risk. The investment advice you receive is given on the basis of the information provided during the registration process and any subsequent amendments. Any material changes to your personal circumstances or investment objectives should be notified to TSC immediately. Confirmation of the accuracy of the information provided will be issued annually and you agree to let the Advice Team know if anything is inaccurate.
- 3 TSC shall take reasonable care in giving investment advice. All advice is given on the basis of best information normally available under TSC's research supply arrangements. Full details of the research supply arrangements are available upon request. TSC accepts no liability for any movements in the price of investments unless due to its fraud, willful default or negligence. Nor shall TSC be responsible for monitoring your Account(s) or the suitability of any investment on an ongoing basis. This does not exclude or restrict any duty owed to you under the rules of the FSA or FSMA in respect of previous advice you have received. TSC will be under no obligation to put forward recommendations without a specific request from you and will not be acting in the capacity of an investment manager. This does not preclude TSC from contacting you from time to time to discuss investments or investment services.
- 4 TSC may provide investment advice in:
  - UK investments quoted on the London Stock Exchange, PLUS Markets and the Alternative Investment Market;
  - Authorised collective investment schemes, including unit trusts and OEICs;
  - and such other investments as TSC may from time to time advise.
- 5 You should note that there is an extra risk of losing money when shares are bought in some smaller companies including penny shares. There is a big difference between the buying and the selling price of these shares. If they have to be sold immediately, you may get back less than you paid for them. The price may change quickly and it may go down as well as up.
- 6 Some investments, mainly in smaller companies or special forms of investments (e.g. Venture Capital Trusts or other specialist funds) may not be 'readily realisable'. In other words, you may have difficulty in selling these investments at a reasonable price and, in some circumstances, it may be difficult to sell it at any price. You should not invest in such securities unless you have carefully thought about whether you can afford them and whether they are right for you.
- 7 It is possible that advice may be provided on a stock subject to 'stabilisation'. Stabilisation enables the market price of a security to be maintained artificially during the period when a new issue of securities is sold to the public. The effect of this may be to keep the price at a higher level than it would otherwise be during the period of stabilisation.
- 8 Certain investment trusts and other securities may be permitted to borrow money to increase their investment portfolios, and/or may invest in other investment trusts or securities that are permitted to borrow money for the same purpose. Consequently, movements in the price of the investment trusts or securities may be more volatile than the movements in the price of their underlying investments. Such investment trusts or securities may be subject to sudden and large falls in their value and an investor may get nothing back.
- 9 All investment research is prepared and published by TSC's Advice Team in accordance with the Investment Research Conflicts of Interest Policy, a copy of which is available from [www.share.com](http://www.share.com) or Customer Services.
- 10 Should TSC provide you with advice in an investment in which TSC has a mutual interest, or where it would give rise to a conflict of interest, TSC will either disclose this interest to you or decline to provide advice in this investment.

However, TSC will not provide advice on options, futures or any other derivative investment including warrants, or on stock traded on OFEX or traded solely on ShareMark.

## Section 5: Additional information

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