

We are required by our Regulator to take appropriate steps to ensure we are aware of any facts about your financial position and investment objectives that we might reasonably need to know in order to assess the suitability of our advice. We would therefore ask you to complete as much as possible of the information requested, or amend the information below, and then SIGN and RETURN this form to us. You may prefer not to disclose all the information requested, and it is your statutory right not to do so. If you decide not to disclose certain information we will advise you on the basis of the information you do disclose, unless we have so little information that we cannot advise you at all.

For those clients that do not require advice and require an execution only service, please complete sections 1, 5, 6, 8, 9 & 10 only.

PART 1 - PERSONAL DETAILS

Name Date of birth Occupation/retired from

Spouse/partner (Only if joint account)

Address:

Post Code:

If less than 3 years, please give details of your previous address:

Address:

Post Code:

Contact Details

Telephone:

Mobile:

Email:

PART 2 - FINANCIAL DETAILS

Gross Annual Income (from all sources)

Self £

Spouse/partner £

Property Value

Main property £

Other property £

Pension

Income from all sources at retirement date £

Regular Annual Financial Commitments

Mortgage/rent, bills, Etc. per year

Number of dependents:

Outstanding Mortgage & Loans (Total)

Main property £

Other property £

Estimated retirement age:

Are you satisfied that you have/are making sufficient pension arrangements? (if not we recommend you consult with a professional pension planner) Yes No

Bridge Hall Stockbrokers Limited is authorised and regulated by the Financial Services Authority, a member firm of the London Stock Exchange and a PLUS Market Corporate Adviser. Registered office: Fourth Floor, 36 Spital Square, London. E1 6DY

PART 3 - CURRENT INVESTMENTS

Bank & Building Society £

PEPs £

National Savings £

ISAs £

Investments & Unit Trusts £

Other (please specify) £

Estimated total of Net Liquid Assets (Total of all of the above)

Please take account of any investments you already hold.

£

Net Liquid Asset - is defined as an asset that can be sold within a reasonable period of time (30 days), and where a cash equivalent can be realised, i.e. readily realisable. Please note that property & pension would be excluded from this definition.

For an assessment and valuation please provide full details of holdings on a separate sheet (attached)

Of your Current investments, please estimate the percentage of existing exposure to the Risk categories as defined below

% Already Low

% Already Medium

% Already High

Bridge Hall Stockbrokers Limited (BHSL or Bridge Hall) draws your attention to the BHSL Model Risk and Objectives definition of the following risk categories:

Attitude to Risk

Objective

Low

Medium

High

Income

60% Low Risk
40% Medium Risk
(Mainly Income Stocks)
0% High Risk

20% Low Risk
60% Medium Risk
(Mainly Income Stocks)
20% High Risk

0% Low Risk
60% Medium Risk
(Mainly Income Stocks)
40% High Risk

Income & Capital Gain

60% Low Risk
40% Medium Risk
(Income/Growth)
0% High Risk

20% Low Risk
60% Medium Risk
(Income/Growth)
20% High Risk

0% Low Risk
60% Medium Risk
(Income/Growth)
40% High Risk

Capital Gain

60% Low Risk
40% Medium Risk
(Mainly Growth Stocks)
0% High Risk

20% Low Risk
60% Medium Risk
(Mainly Growth Stocks)
20% High Risk

0% Low Risk
60% Medium Risk
(Mainly Growth Stocks)
40% High Risk

LOW RISK - is defined as a realisable investment that includes:-

Building society, Bank deposits, National savings, Government securities (Gilts), AAA Bonds and Annuities, Capital Protected Schemes

MEDIUM RISK - can also be referred to as an investment that has a moderate degree of risk that includes:-

FTSE 100, FTSE 250, FTSE All Share index, Main Market shares, Unit Trusts, Investment Trusts. (These collectives do not usually provide income)

HIGH RISK - most investments that fall outside the low & medium parameters would be classed as higher risk securities.

These include:- FTSE Small Cap, AIM, Plus Market, Penny Shares, Private Equity, Unquoted holdings and Pre-IPO's, New Issues, Foreign Securities, Traded Options, Warrants, Futures and CFD's

PART 4 - INVESTMENT OBJECTIVES AND LEVEL OF RISK

When investing in shares please indicate what your investment objectives are, and what your level of risk is (referring to our definition above).

Looking to invest for (please tick one box only): Income Income and capital growth Capital Growth

Preferred level of risk (please tick one box only): Low Medium High

PART 5 - KNOWLEDGE, EXPERIENCE AND UNDERSTANDING OF INVESTING IN SHARES

Please indicate your familiarity with the market. For example, if you are an experienced/limited experience investor with a good knowledge of the market, you understand the risks associated with investing in shares, you understand the risk of investing, risk warnings, bid - offer spread, liquidity, settlement requirements, etc.

Main Markets in general: Inexperienced Limited experience (but sufficient to trade) Experienced

Small Cap Market & CFD's (PLUS, AIM, "Penny" shares, & CFD's): Inexperienced Limited experience (but sufficient to trade) Experienced

Which financial press or financial periodicals do you generally read?
The Times/Daily Mail/Telegraph/Shares Weekly / other (please specify)

PART 6 - TRADING STYLE AND FREQUENCY OF TRADING

Please indicate how often you usually buy and sell shares and what your usual average bargain size is when investing.

Length of time you have been investing in the stock market:

Length of time you hold investments:

Short term / 0 - 18 months Medium term / 18-36 months Long term / 3 years +

Number of trades in a year:

Average bargain size – FTSE / main market (medium risk) £

Average bargain size - PLUS / AIM / small caps (high risk) £

PART 7 - ADVICE REQUIRED BY CLIENT FROM BRIDGE HALL STOCKBROKERS LIMITED

Please send/record below a brief outline of your investment objectives as noted by your Advisor (e.g. main market shares for income and capital growth – or small company stocks for high risk potential capital gains etc). Please also use this section to provide any additional information you feel may be relevant or that you wish to be told/updated about? For example please state whether you have any restrictions on the types of investments (tobacco, arms etc) or limits which you may wish to impose and any information that you believe would be useful to us in advising you on your investments. If there is insufficient space please detail separately.

(NOTE ** based on answers to 3 and 4 the BHSL CRM will calculate what total NLA is available and how according to the BHSL Model Risk and Objectives the available NLA should be split between Low, Med , High**) Additional notes MUST go in here to record what advice BHSL is to give. (Mandatory field). This text will not appear on the CAAD.

PART 8 - IDENTITY VERIFICATION REQUIREMENTS

Under UK law, we are required to obtain from all applicants verifications of their identity through the provision of official documents evidencing full name and residential address. In signing this agreement, you are confirming your understanding of this and that your identity verifications are true and legally correct.

I/we enclose an original bank statement of an account held in my/our sole/joint name(s) containing my/our current registered address (no more than 3 months old)

And I/we enclose One original (*or certified copy) of the following, containing my/our full name (s):

Driving Licence* Recent Mortgage Statement Taxation document (current year)
Council Tax bill from recognised lender, Inland Revenue notice of coding
(current year) Passport* Utility bill (less than 3 months old).

(Please note that mobile phone bills CANNOT be accepted).

PART 9 - SETTLEMENT INSTRUCTIONS

- I/we wish to be able to purchase Warrants / Securitised Derivatives / Convertible Bonds / Nil Paid Rights / Structured Products through Bridge Hall Stockbrokers Limited ('BHSL') on an execution-only basis and can confirm that I/we have no objection to undergoing a separate Appropriateness Assessment prior to trading.
- I/we wish to have my/our investments certificated and registered in my/our own name. I/we understand that I/we will be liable to higher dealing and administrative charges. My/our ability to deal may be restricted due to the settlement system surrounding certificated dealing.
- I/we do not wish to have uninvested monies to be held on deposit by BHSL's custodian. I/we wish all free monies to be paid to me/us directly.

PART 10 - CLIENT STATEMENT & SIGNATURE

- For those potential clients who are aged 80 and over, please be aware that it is not usually BHSL policy to recommend high risk investments as these types of securities are usually in the early stages of development and may be difficult to realise in whole or in part. These are customarily medium-term holds i.e. 2-5 years. However, if you have taken professional advice and are sure that you are interested in this area of the market, please confirm same by endorsing this box.

In signing this Agreement, I/we confirm that I/we have read and understood the Retail Client Terms and Conditions and or the BHSL Professional Client Terms and Conditions that relate to this Agreement and agree to be bound by them in my dealings with BHSL and that I/we have received a copy of the BHSL Charges Schedule. I/we agree that I/we will inform BHSL of any change to the above information. I/we also agree that at all times Bridge Hall will advise me on the basis of the information which I/we have supplied above. I/we also understand that Bridge Hall will contact telephonically to discuss my future investment requirements and to advise me/us on investing in shares in companies based on information that is in the public domain for those companies as far as is reasonably possible or practical. I/we understand that information that comes to light after receiving advice from Bridge Hall could adversely affect the price and or the liquidity of a stock. I/we understand that performance of a stock in the market is at my/our risk and that Bridge Hall are not responsible for any losses incurred as a result of any unforeseen factors affecting the performance of a stock recommended by Bridge Hall. I/we agree to my investments being registered into the nominee company used by BHSL and also any free monies held on deposit, unless noted otherwise in the tick boxes above.

I/we also confirm that I/we am/are over 18 years of age and that the information I/we have provided in this Agreement is true and correct and may be relied upon by BHSL.

Signature Joint signature Date

Where there are two or more personal account holders, BHSL will accept instruction from either customer, unless confirmed to the contrary by you, in writing, to the firm's compliance department.

Disclaimer

You should be aware that prices and values can go down as well as up and their income can fluctuate. You may get back less than the amount you invested. Past performance is not necessarily indicative of future performance. Some investments carry a higher degree of risk than others, such as shares in smaller companies or funds invested in them. If you are in any doubt you should consult your investment adviser.

Data Protection Act

We may process information relating to you (including personal data defined under the Data Protection Act 1998), including holding such information in a manual format or electronic database, in order to satisfy any contractual, regulatory or statutory requirements we may have. Unless we receive specific written instructions to the contrary, by providing this information you agree that we may process this information in order to fulfil such obligations.

We have associated companies. You agree that we may disclose information about you to any associated company for any purpose. We, and our associates, will hold all the information you provide for administration, marketing and risk assessment purposes, in order to provide the best possible service. By signing the Application Form, you consent to your personal information being used in this manner. If you do not wish your information to be used for marketing purposes, please tick the following box.

Ref:	Receipt:	ID:
MD:	Auth:	IU: