



James Brearley & Sons Additional Anti-Money Laundering Client Information

Name: _____
A/c ref: _____ (if known)

Under the rules and guidance of the Financial Conduct Authority, James Brearley & Sons has a regulatory obligation to manage the risk that the firm's business may be used to further financial crime. Specifically, we are required to take measures to prevent financial crime, to facilitate its detection and to monitor its incidence. In order to be able to meet our regulatory obligations, we require the following additional information relating to your account. Please answer all questions that are applicable.

[To be completed by the client in consultation with the account executive.]

- 1. Type of account:**
- | | | |
|----------------------|-----------|-----------------------|
| 1 private individual | 4 Charity | 7 Executorship/Estate |
| 2 joint account | 5 Company | 8 Pension |
| 3 Society | 6 Trust | 0 other: _____ |

Names of other persons connected to the account, including signatories, partners, directors, controlling shareholders, trustees, beneficiaries, settlor, protector, executors:

- | | | | |
|---------|---------|-----------|-----------|
| 1 _____ | 3 _____ | 5 _____ | [0] _____ |
| 2 _____ | 4 _____ | [0] _____ | [0] _____ |

2. Intended use of the account:

- | | |
|----------------------------------|--|
| 1 one-off transaction | 5 to be managed by James Brearley & Sons |
| 2 0-1 transaction/month | 6 to be managed by Agent |
| 3 1-5 transactions/month | 7 Disposal of Portfolio for Probate purposes |
| 4 more than 5 transactions/month | 0 other: _____ |

3. Source of initial funding of the account:

- | | |
|--------------------------------|-----------------|
| 1 in specie transfer of assets | 5 Trust assets |
| 2 personal savings | 6 Estate assets |
| 3 property sale | 7 Pension Fund |
| 4 bequest | 0 other: _____ |

4. Expected withdrawals from the account:

- | | |
|------------------------------------|--------------------------------|
| 1 all surplus cash to be withdrawn | 4 regular amounts: quarterly |
| 2 occasional cash withdrawals | 5 regular amounts: half yearly |
| 3 regular amounts: monthly | 6 no expected withdrawals |
| 0 other: _____ | |

5. Expected ongoing funding of the account:

- | | |
|--|---|
| 1 no expected ongoing funding (initial funding only) | 3 regular monthly/quarterly amounts |
| 2 occasional funding | 4 in specie transfers of assets 0 other: _____ |

from (source of ongoing funding, if any):

- | | |
|--------------------|---|
| 1 salary | 3 personal savings |
| 2 business profits | 4 Pension Contributions 0 other: _____ |

Please state amount:

- | | | |
|----------|------------|----------------|
| 1 £0-30k | 2 £31-100k | 3 £100k+ |
|----------|------------|----------------|