



## Customer Due Diligence Information

Under the rules of the Financial Conduct Authority, James Brearley has an 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. To be able to meet our regulatory obligations, we request the following additional information relating to your account. Please answer all questions.

1. **Type of account:**
- 1  Private individual, including deceased estate and Self Invested Personal Pension
  - 2  Joint account
  - 3  Company, including charity and credit union
  - 4  Trust and other types of pension

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

1 ..... 3 ..... 5 .....  
 2 ..... 4 ..... 6 .....

2. **Trading envisaged:**

- 1  One-off transaction
- 2  0-1 transaction/month
- 3  1-5 transactions/month
- 4  More than 5 transactions/month
- 5  Not known; to be managed by James Brearley or other Discretionary Manager

3. **Origin of wealth for the initial funding of the account (tick all that apply):**

- 1  Transfer of assets/maturity of bonds
- 2  Personal savings
- 3  Sale of property/stock market investments
- 4  Bequest (gift or inheritance)
- 5  Trust assets
- 6  Assets of estate of a deceased person
- 7  Pension Fund

4. **Expected withdrawals from the account:**

- 1  All surplus cash to be withdrawn
- 2  Occasional cash withdrawals
- 3  Regular amounts each month, each quarter or half yearly
- 4  No expected withdrawals

5. **Expected ongoing funding of the account:**

- 1  No expected ongoing funding (initial funding only)
- 2  Occasional funding
- 3  Regular monthly/quarterly amounts
- 4  Transfers of assets

Please estimate anticipated ongoing funding to your account per annum:

- 1  £0-30,000
- 2  £30,000-100,000
- 3  £100,000-500,000
- 4  £500,000+

from (source of ongoing funding, if any):

- 1  Salary
- 2  Business profits
- 3  Personal savings
- 4  Pension Contributions
- 5  Bequest (gift or inheritance)
- 6  Sale of property/stock market investments

Client Number .....

Name .....

Signature .....

Date .....