



Tracccr Personal Client Application Form

**Personal Details:**

Surname: \_\_\_\_\_

Forenames: \_\_\_\_\_

Date of Birth: \_\_\_\_\_

Nationality: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Country: \_\_\_\_\_ Postcode: \_\_\_\_\_

Number of years at this address: 

Years:
Months:

Previous address if less than three years: \_\_\_\_\_  
\_\_\_\_\_

Country: \_\_\_\_\_ Postcode: \_\_\_\_\_

**Employment Details:**

Job Title: \_\_\_\_\_

Job Description: \_\_\_\_\_

Employer's (or if you are a partner, the Partnership's) name and address:

Name: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Country: \_\_\_\_\_ Postcode: \_\_\_\_\_

Number of years with this employer/Partnership: 

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If you are an investment professional, please provide details (to include how long you have worked in the financial services sector and FSA registration number if applicable):

\_\_\_\_\_

**Contact Details:**

Daytime Tel: \_\_\_\_\_  
Evening Tel: \_\_\_\_\_  
Mobile Tel: \_\_\_\_\_  
Fax: \_\_\_\_\_  
e-mail: \_\_\_\_\_

**Financial Details:**

What is your approximate annual income before tax?

What is the approximate value of your savings and investments available for trading in credit derivatives and related securities ("Credit Derivatives")?

What is the approximate value of your savings and investments?

**Bank Details:**

Name of Bank: \_\_\_\_\_

Address of Bank: \_\_\_\_\_  
\_\_\_\_\_

Country: \_\_\_\_\_ Postcode: \_\_\_\_\_

Account Name: \_\_\_\_\_

Account Number: \_\_\_\_\_

Bank Sort Code: \_\_\_\_\_

Number of years with this Bank.  
If less than 3 years give additional details of previous bank

Account Name: \_\_\_\_\_

Account Number: \_\_\_\_\_

Bank Sort Code: \_\_\_\_\_

**Investment Objectives:**

Investment objective(s) is/are to  
(Please tick where appropriate)

Attempt to achieve speculative gains

Hedge against investment or trade risks

Other please give details

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**Investment Experience:**

Do you:

1. Understand the nature of trading  
Credit Derivatives:

Yes

No

2. Understand the risks of trading  
Credit Derivatives:

Yes

No

3. Have any relevant experience  
of trading Credit Derivatives?

Yes

No

4. If the answer to 3 is yes, please provide  
Details

a) Nature and amount (months/years) of  
experience:

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b) Type of Credit Derivative products you have dealt  
in:

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c) Broker(s) you have dealt with:

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d) Did you rely on advice in relation to  
these types of derivative products? Yes

No

e) Average transaction size:

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f) Average number of trades per week:

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5. Do you have relevant experience of trading on other derivative products (e.g. futures and options) Yes  No

6. If the answer to Question 5 is Yes, please provide details:

a) Nature and amount (months/years) of experience: \_\_\_\_\_

\_\_\_\_\_

b) Type of derivative products you have dealt in: \_\_\_\_\_

\_\_\_\_\_

c) Broker(s) you have dealt with: \_\_\_\_\_

\_\_\_\_\_

d) Did you rely on advice in relation to these types of derivative products? Yes  No

e) Average transaction size: \_\_\_\_\_

f) Average number of trades per week: \_\_\_\_\_

**Statement/Confirmation Instructions:**

Please choose between options a) or b):

a) In the absence of other instructions from you, we will send confirmations and monthly statements by post. If you would like to receive statements and confirmations by fax or e-mail, please tick the appropriate boxes:

I would like to receive statements/confirmations by fax

I would like to receive statements/confirmations by e-mail

Or

b) If you would prefer to have your hard-copy statements and confirmations retained by Tracccr please tick the box

It is possible to send you automatic e-mails following each of your transactions. These confirm all details of your trade. If you require this facility then please tick here

If the e-mail address to which these are to be sent is different to that above then please state here.

\_\_\_\_\_

**Supporting Documentation:**

All application must be accompanied by the following original identification documents:

- Original or certified copy of current signed passport: and recent utility bill (but not mobile phone bill or TV licence)

Certification of photocopied identification documents must be performed by a person of the following professions:

- Traccr employee
- Accountant
- Bank/Building Society Official
- Barrister
- Councillor: Local or County
- Civil Servant
- Member of Parliament
- Minister of recognised religion
- Nurse (SRN & SEN)
- Police Officer
- Post Office Official
- Solicitor
- Teacher

**Data Protection:**

We may, from time to time, send you information on other products or services supplied by us, third parties or associated companies.

If you wish to receive such information please tick this box.

We will use your information to open and administer your account and for other business purposes, including to make any enquiries that we consider necessary to confirm your identity.

In accordance with current data protection legislation you are entitled to ask and to see information that we hold about you and your account. We may charge an administrative fee up to the maximum allowed by law.

PLEASE READ AND SIGN OVERLEAF

**Declarations:**

I have read, understand and agree to the Traccr Terms of Business in relation to investment business for Credit Derivatives and confirm that I have read and understood the General Risk Disclosure Notice and the Elective Professional Client Notice the latter of which details those protections afforded to “retail clients” under the Financial Services Authority’s (“FSA”) rules that are not afforded to me, or that are modified or limited in their application to me, by reason of my categorisation as a “professional client”.

Having carefully considered the Traccr Terms of Business, I understand and agree each of the following:

- That I will be categorised as a professional client under FSA rules.
- That Traccr can execute my orders on venues other than a European Economic Area regulated market or a European Economic Area multilateral trading facility.
- That Traccr may send me any communications electronically.

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Signature

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Date

Traccr Limited  
Regent’s Place  
3<sup>rd</sup> Floor  
338 Euston Road  
London NW1 3BT

Authorised and regulated by the Financial Services  
Authority