



## United Investment Limited United For A Better Future

### Individual and/or Joint Account Application Form

The information provided by you will be treated in the strictest confidence. Before we can act for you, you must complete and return this application to:

[accounts@unitedinvest-hk.com](mailto:accounts@unitedinvest-hk.com)

If you require further assistance, please call us on + 852 3002 2737. United Investment Limited (“UIL”) is required to take appropriate steps to ensure we are aware of any facts about your financial position, investment objectives and risk profile that we might reasonably need to know in order to assess the suitability of our advice. By completing the application in its entirety, you will enable us to comply fully with regulatory requirements. We will ask you to update this information from time to time, but in the interim, it is important that you notify us immediately of any material change in your circumstances as this may affect the suitability of any investment decision or recommendation we make.

TYPE OF ACCOUNT & SERVICE REQUIRED			
What type of service would you require from United?	Execution Only	<input type="checkbox"/>	Advisory <input type="checkbox"/>
Type of Application:	Individual	<input type="checkbox"/>	Joint <input type="checkbox"/>
Do you have a preferred Broker at UIL? (If Unknown then leave blank):			
Name of Referrer (if applicable):			

YOUR PERSONAL DETAILS		
	First Applicant	Second Applicant (Joint accounts only)
Title (Mr, Mrs, Ms, Miss, Other)		
Forename		
Middle Name		
Surname		
Maiden Name/Previous Surname		
Gender		
Preferred Name		
Marital Status		
Date of Birth		

CONT. PERSONAL DETAILS		
Town, or City of Birth		
Country of Birth		
Country of Residence		
Country of Domicile		
Country/s of Taxation		
Highest Rate of Tax		
1 <sup>st</sup> Nationality		
NI Number		
1 <sup>st</sup> Nationality ID Number		
CURRENT ADDRESS DETAILS		
	First Applicant	Second Applicant (Joint accounts only)
House Name/No		
Street Name		
Town or City		
County		
Post Code		
Country		
Date moved to Current Address:		
At address less than 3 years?	Yes <input type="checkbox"/> No <input type="checkbox"/> <i>(If 'Yes' please provide details of your previous address)</i>	Yes <input type="checkbox"/> No <input type="checkbox"/> <i>(If 'Yes' please provide details of your previous address)</i>
CONTACT DETAILS		
	First Applicant	Second Applicant (Joint accounts only)
Home Phone (inc Country Code)	<input type="checkbox"/>	<input type="checkbox"/>
Work Phone (inc Country Code)	<input type="checkbox"/>	<input type="checkbox"/>
Mobile Phone (inc Country Code)	<input type="checkbox"/>	<input type="checkbox"/>
Home Email	<input type="checkbox"/>	<input type="checkbox"/>
Work Email	<input type="checkbox"/>	<input type="checkbox"/>
Other Email	<input type="checkbox"/>	<input type="checkbox"/>
(Please tick your preferred telephone and email contacts in the appropriate box)		

NB: Wherever possible we will use electronic verification (EID) methods to verify your identity. If this is not possible, you will need to provide ONE of current identification e.g. passport, photo ID driving license, National ID card etc. and ONE proof of address e.g. bank statement, council tax bill or utility bill (not mobile phone or credit card statement) which is less than 3 months old.

**BANK DETAILS**

Name of Bank/Building Society:

Branch Name:

Sort Code:

Account Name:

IBAN No:

Account No:

Swift (BIC) Code:

Do you trade only in USD?

Yes  No 

If 'No' please indicate other trading currencies:

**YOUR KNOWLEDGE, EXPERIENCE & APPROPRIATENESS (First Applicant)****YOUR PRIMARY OCCUPATION**

Occupation

Job Title

Name of Employer

Employment Status

Employed  Self-employed  Contractor  Student  Unemployed   
Retired **PROFESSIONAL EXPERIENCE**

Do you work, or have you worked in the financial sector for at least three years in a professional position which requires knowledge of the nature and risks associated with the products that you wish to invest in?

Yes  No Do you have any qualifications which would assist your understanding of the nature & risks associated with the products that you wish to invest in? Yes  No 

Please provide details:

**PREVIOUS TRADING ACTIVITY & EXPERIENCE**

Do you currently hold any of the following types of investments?

Shares In Listed Stocks

Yes  No 

Share in unlisted companies

Yes  No 

Warrants, Futures or Options

Yes  No 

Have you ever taken part in either of the following investment activities?

Private Placing

Yes  No 

Initial Public Offering ("IPO")

Yes  No 

Pre-Initial Public Offering ("Pre-IPO")

Yes  No 

Do you understand the characteristics and risks of these products?

Yes No

PREVIOUS TRADING ACTIVITY & EXPERIENCE CONT...						
How many transactions did you execute in the following instruments in the last 12 months?						
Private Placings, Pre-IPOs & IPOs	None <input type="checkbox"/>	1-10 <input type="checkbox"/>	11-20 <input type="checkbox"/>	21-30 <input type="checkbox"/>	31-40 <input type="checkbox"/>	40+ <input type="checkbox"/>
Shares in unlisted companies	None <input type="checkbox"/>	1-10 <input type="checkbox"/>	11-20 <input type="checkbox"/>	21-30 <input type="checkbox"/>	31-40 <input type="checkbox"/>	40+ <input type="checkbox"/>
Share in Listed Stock	None <input type="checkbox"/>	1-10 <input type="checkbox"/>	11-20 <input type="checkbox"/>	21-30 <input type="checkbox"/>	31-40 <input type="checkbox"/>	40+ <input type="checkbox"/>
Warrants, Futures or Options	None <input type="checkbox"/>	1-10 <input type="checkbox"/>	11-20 <input type="checkbox"/>	21-30 <input type="checkbox"/>	31-40 <input type="checkbox"/>	40+ <input type="checkbox"/>
Leveraged Instruments (CFD's, FX or Spreadbet)	None <input type="checkbox"/>	1-10 <input type="checkbox"/>	11-20 <input type="checkbox"/>	21-30 <input type="checkbox"/>	31-40 <input type="checkbox"/>	40+ <input type="checkbox"/>

POLITICAL EXPOSURE	
<p>Politically exposed persons are individuals who are or have been, at any time in the preceding year, entrusted with prominent public functions in a foreign country, e.g. Heads of States of Governments, senior politicians, senior government / judicial / military officers, senior executives of state-owned corporations, important political party officials, etc. In addition, a "Politically Exposed Person" includes the immediate family members of a Politically Exposed Person such as spouses, children, parents and other relatives. Politically Exposed Persons includes even close associates like advisors, secretaries and other associates of a Politically Exposed Person.</p>	
Are you/either of you a Politically Exposed Person (PEP)?	Yes <input type="checkbox"/> No <input type="checkbox"/>

SOURCE OF FUNDS	
Please indicate what source of funds will be used to fund your trading account:	
1. Employment	<input type="checkbox"/>
2. Inheritance	<input type="checkbox"/>
3. Savings & Investments	<input type="checkbox"/>
4. Sale of Property/Business	<input type="checkbox"/>
5. Other	<input type="checkbox"/>

**Please Note: This Account Application Form and our Terms of Business set out the basis of your relationship with United Investment Limited. We intend to rely on these documents for your benefit and protection. You should read the Terms of Business carefully before signing this Form. If you do not understand any item therein, please ask for further details. Terms of Business can be found on our website [www.unitedinvest-hk.com](http://www.unitedinvest-hk.com). United Investment shall make an assessment of your client classification, we will treat you as a Retail Client unless we notify you otherwise. You may contact us to request re-classification but we reserve the right to decline such request.**

IF YOU ARE CLASSIFIED AS A PROFESSIONAL CLIENT, WE ARE OBLIGED TO INFORM YOU THAT AS A CONSEQUENCE OF THIS CLASSIFICATION, YOU MAY LOSE THE PROTECTIONS AFFORDED TO RETAIL CLIENTS UNDER THE RULES OF THE FINANCIAL CONDUCT AUTHORITY. YOU WILL BE PROVIDED WITH A SEPARATE NOTICE DETAILING THE PROTECTIONS THAT YOU MAY NOT BE ENTITLED TO AND YOU WILL BE REQUIRED TO SIGN THIS NOTICE IN ORDER TO CONFIRM YOUR ACCEPTANCE OF YOUR CLASSIFICATION AS A PROFESSIONAL CLIENT.

## DECLARATIONS

I/We understand that United Investment will rely on the information provided in opening this account and represent that the information is correct and complete.

I/we agree to notify you promptly of any material change to my/our circumstances.

AGREE

DISAGREE

I/We understand that, for my/our own benefit and protection I/we should read UIL's Terms of Business carefully before signing this application form, including but not limited to, the risk warnings and disclosures, the order execution policy and the charges.

I/We understand that I/we will be bound by these Terms of Business and if I/we do not understand any point then I/we should ask for further information before signing and returning this application form.

AGREE

DISAGREE

## SIGNATURES

	First Applicant	Second Applicant (where applicable)
Signatures:		
Name		
Date		

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### United Investment Limited

Address: Three Exchange Square, Connaught Road, Central, Hong Kong

Email: [accounts@unitedinvest-hk.com](mailto:accounts@unitedinvest-hk.com)

Web: [www.unitedinvest-hk.com](http://www.unitedinvest-hk.com)



United Investment Limited  
United For A Better Future

United Investment Limited is registered in Hong Kong. Company no. 0008679.