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Advisory Trading Account

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 admin@sch-advisors.com. If you require further assistance, please call us on +1646 809 5762.
SCH Advisors ("SCH") 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.

SCH Advisors

SCH Advisors offer Simplified Advice - A personal recommendation which is limited to one or more of a client's specific needs and does not involve analysis of the client's circumstances that are not directly relevant to those needs.

Before proceeding with opening an account please confirm that you understand the following:

1) SCH Advisors can only offer advice on your Savings and Investments need.
2) You should seek full holistic financial advice to look at your other financial needs.
3) Due to the nature of the investments SCH Advisors primarily looks to meet the objectives of Capital Growth and Speculation.
4) SCH Advisors Does Not Offer Accounts to clients resident in certain countries including USA citizens & USA Residents.

Do you understand the above and happy to proceed? **Yes** ☐ **No** ☐

TYPE OF ACCOUNT & SERVICE REQUIRED

What type of service would you require from SCH Advisors?	**Execution Only**	☐	**Advisory**	☐
Type of Application:	**Individual**	☐	**Joint**	☐
Do you have a preferred Broker at SCH? (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		
Town, or City of Birth		
Country of Birth		
Country of Residence		
Country of Domicile		
Country/s of Taxation		

Highest Rate of Tax		
1st Nationality		
NI Number		
1st Nationality ID Number		

Do you have a dual-Nationality?	**Yes** ☐ **No** ☐	**Yes** ☐ **No** ☐
2nd Nationality ID Number		
Are you a US Citizen and/or eligible to pay tax in the USA?	**Yes** ☐ **No** ☐	**Yes** ☐ **No** ☐
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** ☐ **No** ☐ *(If 'Yes' please provide details of your previous address)*	**Yes** ☐ **No** ☐ *(If 'Yes' please provide details of your previous address)*
PREVIOUS ADDRESS DETAILS		
	First Applicant	**Second Applicant (Joint accounts only)**
House Name/No		
Street Name		
Town or City		
County		
Post Code		
Country		
Dated moved to Previous Address:		
Date Left Previous Address:		
CONTACT DETAILS		
	First Applicant	**Second Applicant (Joint accounts only)**
Home Phone (inc Country Code)	☐	☐
Work Phone (inc Country Code)	☐	☐
Mobile Phone (inc Country Code)	☐	☐
Home Email	☐	☐
Work Email	☐	☐
Other Email	☐	☐
(Please tick your preferred telephone and email contacts in the appropriate box)		

BANK DETAILS	
Name of Bank/Building Society:	
Branch Name:	Sort Code:
Account Name:	IBAN No:
Account No:	Swift (BIC) Code:
Will you require Quarterly Income Withdrawals from your Account?	**Yes** ☐ **No** ☐
Do you trade only in USD? If 'No' please indicate other trading currencies:	**Yes** ☐ **No** ☐ **EUR** ☐ **GBP** ☐ **CAD** ☐ **ASD** ☐ **CHF** ☐ **Other:**

YOUR KNOWLEDGE, EXPERIENCE & APPROPRIATENESS (First Applicant)	
YOUR PRIMARY OCCUPATION	
Occupation	
Job Title	
Name of Employer	
Employment Status	**Employed** ☐ **Self-employed** ☐ **Contractor** ☐ **Student** ☐ **Unemployed** ☐ **Retired** ☐

FSMA FINANCIAL PROMOTIONS EXEMPTION	
In general terms these unlisted companies, unlike SCH, are authorised and regulated by the FINRA and the content of promotions and other material may not therefore be subject to controls which would apply if the promotion was made or approved by an authorised person. In order to confirm whether SCH can send you a financial promotion which is not approved by an authorised person it is necessary to verify whether you are exempt from the restrictions on financial promotions in the Financial Services and Markets Act 2000. Retail Investors who are High Net Worth Individual or a Sophisticated Investor are exempt from the restrictions on financial promotions.	
I am a High Net Worth Investor	**Yes** ☐ **No** ☐
I am a Sophisticated Investor	**Yes** ☐ **No** ☐
If you have selected 'Yes' to either of the above, then please contact out administration department for further information.	

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** ☐

How many transactions did you execute in the following instruments in the last 12 months?						
Private Placings, Pre-IPOs & IPOs	**None** ☐	**1-10** ☐	**11-20** ☐	**21-30** ☐	**31-40** ☐	**40+** ☐
Shares in unlisted companies	**None** ☐	**1-10** ☐	**11-20** ☐	**21-30** ☐	**31-40** ☐	**40+** ☐
Share in Listed Stock	**None** ☐	**1-10** ☐	**11-20** ☐	**21-30** ☐	**31-40** ☐	**40+** ☐
Warrants, Futures or Options	**None** ☐	**1-10** ☐	**11-20** ☐	**21-30** ☐	**31-40** ☐	**40+** ☐
Leveraged Instruments (CFD's, FX or Spreadbet)	**None** ☐	**1-10** ☐	**11-20** ☐	**21-30** ☐	**31-40** ☐	**40+** ☐

PREFERRED PRODUCT CLASSES

(Risk levels on classes of investments and financial instruments are for illustrative purposes only)

Low Risk		**Medium Risk**		**High Risk**			
Gilts	☐	Russell 100	☐	Small Cap	☐	Pre IPO's & IPO's	☐
Gov. & Corp. Bonds	☐	Russell 200	☐	Listed	☐	Equity Placings	☐
Investment Trusts	☐	Russell All share	☐	High Yield Debt	☐	ISDX	☐
Unit Trusts	☐	FX Spot and Fwd.	☐	Private Equity	☐	Warrants	☐
				Futures & Options	☐	CFD's	☐
				Spread Betting	☐		

POLITICAL EXPOSURE

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.

Are you/either of you a Politically Exposed Person (PEP)? **Yes** ☐ **No** ☐

SOURCE OF FUNDS

Please indicate what source of funds will be used to fund your trading account:

1.	Employment	☐
2.	Inheritance	☐
3.	Savings & Investments	☐
4.	Sale of Property/Business	☐
5.	Other	☐

ADVISORY CLIENTS ONLY **(Only complete this section if you have applied for an Advisory Service, otherwise please go to page 8)**
Please complete the following details, one of our brokers will call you to confirm all the details and go through the advisory service that SCH Advisors offers.
CURRENT FINANCIAL SITUATION

YOUR CASHFLOW		
INCOME	First Applicant	Second Applicant
Source of Income:	Employed, Retirement, Investment, Other	
Frequency of Income:	Weekly, Monthly, Quarterly, Annually	Weekly, Monthly, Quarterly, Annually
Amount (after tax)	$	$
EXPENSE	First Applicant	Second Applicant
Type of Expenditure:		
Frequency of Expenditure:	Weekly, Monthly, Quarterly, Annually	Weekly, Monthly, Quarterly, Annually
Amount (after tax)	$	$

ASSETS		
PROPERTY & LAND	First Applicant	Second Applicant
Residential Status	Owner Tenant	Owner Tenant
Value of Main Residence	$	$
Value of Secondary Residence	$	$
Land	$	$
Other:	$	$
INVESTMENTS	First Applicant	Second Applicant
Bank or Savings Acc	$	$
Wrap, Investment & Trading Acc	$	$
ISA & NISA	$	$
Investment Bonds & Trusts	$	$
Other:	$	$

LIABILITIES		
LONG-TERM LIABILITIES	First Applicant	Second Applicant
Primary Residence Mortgage	$	$
Additional Property Mortgage	$	$
Other Long-term Loans	$	$

CURRENT LIABILITIES	First Applicant	Second Applicant
Credit Card	$	$
Current Loans & Overdrafts	$	$
Other Current Loans	$	$

APPROXIMATE TOTAL NET WORTH		
	First Applicant	Second Applicant
Total Net Worth	$	$

INVESTMENT OBJECTIVES		
Which of the following best describes your overall investment objectives?		
INCOME	Seeking a return in the form of income rather than capital appreciation	☐
BALANCED	Seeking a return in the form of both income and capital appreciation	☐
CAPITAL GROWTH	Seeking a return in the form of capital appreciation rather than income	☐
Overall Time Horizon **What is the average length of time that you hold Investments?**		
SHORT TERM / 0-18 MONTHS	☐	
MEDIUM TERM / 18-36 MONTHS	☐	
LONG TERM / 36+ MONTHS	☐	

ATTITUDE TO RISK	
Please confirm your Attitude to Risk	
Your Overall Attitude to Risk	**Cautious** ☐ **Moderately Cautious** ☐ **Moderate** ☐ **Moderately Adventurous** ☐ **Adventurous** ☐
Your Attitude to Risk in regard to your SCH Trading Account/s.	**Cautious** ☐ **Moderately Cautious** ☐ **Moderate** ☐ **Moderately Adventurous** ☐ **Adventurous** ☐
Guide to Attitude to Risk	
Cautious	As a cautious investor you are very worried about short-term losses. You are willing to accept a lower return to help achieve your goal of keeping your investment safe. You accept that to achieve a return higher than a very secure investment such as a bank account, your money will be invested in assets that can rise and fall in value and so your money is at risk and you could lose some of it.
Moderately Cautious	As a moderately cautious investor you are worried about short-term losses. You are uncomfortable taking risks with your investment, but are you are willing to do so to help you achieve higher returns than could be achieved in more secure investments such as a bank or building society account. You are willing to accept lower returns to reduce risk to the value of your investment and can accept that your money will be invested in assets that can rise and fall in value and so your money is at risk and you could lose some of it.
Moderate	As a moderate investor you are concerned by short-term losses, but you understand that some risk is needed in order to have the opportunity to achieve better returns. You believe that the safety of your investment and investment returns are equally important. You are able to leave your money invested despite a fall in the value of your investment in order to try and recover your losses.

Moderately Adventurous	As a moderately adventurous investor your main aim is to increase the value of your investment and you are willing to accept a higher risk of losing your money in order to achieve this. You are willing to leave your money invested despite a large fall in the value of your investment, in order to recover your losses and to achieve your long-term investment aims.
Adventurous	As an adventurous investor your aim is to achieve the highest possible returns over the long term. You are not concerned about short-term losses. You are most concerned with high returns and you can accept both large and frequent losses to the value of your investment over time in exchange for the opportunity of a higher return of the long term.

YOUR LIMITS ON INVESTING
Do you have a limit to the total value of high risk investments you wish to make with SCH? **Yes** ☐ **No** ☐
If 'Yes' to above please provide details of the limit you wish to apply **$**
Do you have a limit to the maximum monetary value that you would be prepared to risk on any individual trade? **Yes** ☐ **No** ☐
If 'Yes' to above please provide details of the limit you wish to apply **$**
Do you wish to apply a limit to the maximum number of Advisory Only trades you want to undertake with SCH on a monthly basis? **Yes** ☐ **No** ☐
If 'Yes', the please enter the max number of trades:
Do you wish to apply a limit to the maximum number of Execution Only trades you want to undertake with SCH on a monthly basis? **Yes** ☐ **No** ☐
If 'Yes', the please enter the max number of trades:
Please note that SCH Advisors will not be held responsible for transactions you execute or authorise that result in losses that exceed these figures.
Could you afford to lose the full value of the high risk investments you wish to make with SCH without it affecting your lifestyle? **Yes** ☐ **No** ☐
What is your Capacity for Loss %? (That is how much of your financial investment portfolio could you afford to lose without it affecting your lifestyle?) ☐ **%**
YOUR ADDITIONAL RESPONSIBILITIES
1. Your responsibility to say No It is your trading account and you are in control. If you are unsure of any advice provided by your investment advisor, then you must NOT proceed with the transaction. If you do accept and agree to any recommendations made, then you automatically accept the risks of that trade. It is imperative that you are happy with the types of companies being recommended to you, including their level of risk, the transaction size and the frequency with which trades are being conducted on your account. If you decide that you are unhappy with any of the above or your personal circumstances change, please notify your Investment Advisor immediately and ask to speak to the compliance officer.
2. Suitability Whilst we will always endeavour to ensure that the recommendations made to you are suitable, our advice is only as good as the information that you have provided to us. In order to ensure the correct level of advice, it is important that you always notify us if either your 1) risk appetite 2) investment objectives or 3) financial circumstances change. It is also important to notify us if your health deteriorates. If you are unsure you should seek professional financial or medical advice before proceeding.
Can you confirm that you have understood your responsibilities and agree to them? Yes ☐ **No** ☐

RISKS ASSOCIATED WITH TRADING THROUGH SCH ADVISORS (To be completed by all clients applying for an Execution Only Service or Advisory Service.)
Please confirm you understand the following and which statements apply to yourself:
All investments carry some risk; the value of shares and the income from them may go down as well as up and you may not get back the money you invested. **Yes** ☐ **No** ☐
Past performance is not a reliable indicator of future results and investment in shares carry the risk that all or some of the capital invested might be lost. **Yes** ☐ **No** ☐
SCH only looks at your Savings and Investments need and you should seek holiistic financial advice to ensure all your financial needs are addressed. **Yes** ☐ **No** ☐
You are prepared to accept the higher degree of risk associated with funds committed to high risk investments which are conducted with SCH in pursuit of higher potential returns. **Yes** ☐ **No** ☐
Investment in single shares should only be considered as suitable for high risk investors or as part of an overall balanced portfolio of investments. **Yes** ☐ **No** ☐
Investments that SCH offers may not be appropriate for those with a fixed income and people approaching retirement age. **Yes** ☐ **No** ☐
You realise that funds committed to high risk investments carry a substantial amount of risk to capital and are not suitable for investors who are seeking to preserve capital or earn income through investment? **Yes** ☐ **No** ☐
You are prepared to look at "speculative" investments such as such as Russell/Small Cap/ISDX shares which are conducted with SCH in pursuit of higher potential returns. **Yes** ☐ **No** ☐
You appreciate that "speculative" investments have wider spreads on price and are more illiquid and it may be difficult to sell the shares on a short-term basis. **Yes** ☐ **No** ☐
You are aware that investment in "speculative" shares such as Russell/Small Cap/ISDX carry the risk that some or all of the capital invested might be lost and that you should ensure that you have the financial capacity to bear the risk and only invest money you can afford to lose. **Yes** ☐ **No** ☐
You understand that there is an extra risk of losing money when shares are bought in smaller companies and investments that are not readily realisable, e.g. unquoted companies or smaller less liquid quoted companies, and you may have difficulty in selling them at a reasonable price and in some circumstances, it may be difficult to sell at any price. **Yes** ☐ **No** ☐
YOUR RESPONSIBILITIES
3. Your Responsibility to Check Your Trades For all trades executed you will receive a contract note. You can also view the details of all your transactions via your online portfolio. It is your responsibility to ensure that these details are correct. If you do identify an error then you must notify your investment advisor immediately.
4. Valuations and Online Access At any time we will be able to send you, on request, an up to date account valuation or statement of your account at no charge. We would advise that you check your account regularly to review trades executed, valuation of open positions and general portfolio composition. It is your responsibility to monitor and address any issues that you might find.
Can you confirm that you have understood your responsibilities and agree to them? Yes ☐ **No** ☐

Please Note: This Account Application Form and our Terms of Business set out the basis of your relationship with SCH Advisors. 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.sch-advisors.com.
SCH Advisors 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 in accordance with our Money Laundering Directive, SCH is required to verify my/our identity.
I/We accept that SCH Advisors will carry out an electronic check where possible to verify my/our identity as the account holder(s).
I/we understand and accept that if SCH Advisors is unable to verify my/our identity through an electronic search, they will ask me/us to provide additional documents to verify my/our identity.

AGREE ☐ DISAGREE ☐

I/We understand that SCH Advisors 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 SCH'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 ☐

I/We understand that in accordance with Money Laundering General Data Protection Regulation (GDPR) SCH is required to get your consent for the following:

a) That we may obtain, record and hold your personal data;
b) That we may be disclose to a credit reference or fraud prevention agency, which may keep a record of that information;
c) That such credit reference or fraud prevention agency may disclose the fact that a search of its records was made to its other customers for the purposes of assessing the risk of giving credit, to prevent fraud and to trace debtors.

AGREE ☐ DISAGREE ☐

Marketing Consent

We would like to send you important information regarding the following services and products.
Please confirm your consent to send you communications regarding:

Financial promotions. E.g. Placings & IPOs	**I/We CONSENT** ☐	**I/WE DO NOT CONSENT** ☐
Events we are Hosting	**I/We CONSENT** ☐	**I/WE DO NOT CONSENT** ☐
New products or services	**I/We CONSENT** ☐	**I/WE DO NOT CONSENT** ☐

Full details of the reasons we hold your data and your rights are contained in our Privacy Policy available on our website at: www.sch-advisors.com

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

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 licence, 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.

SCH Advisors, Lords Court Building, 40 Exchange Place, New York, NY 10005, USA
Email: mailto:admin@sch-advisors.com
Web: www.sch-advisors.com **SCH Advisors is registered in the United States CRD # 146007.**