

## SIPP Agreement

### Instructions

This is an application form to open an account with WorldWideMarkets Online Trading Limited ("WWM") to trade on the WWM Trading Platform(s) using funds held within a SIPP (Self Invested Personal Pension).

In order for WWM to process this application, the SIPP Trustee must have a current contractual relationship with WWM and have met the appropriate WWM due diligence requirements for SIPP Trustees. For SIPP Trustees new to WWM, details of these requirements are available by calling WWM on +44 203 318 3325 or via email ([backoffice@worldwidemarkets.co.uk](mailto:backoffice@worldwidemarkets.co.uk)).

Where the SIPP Member (beneficial owner) has appointed an Investment Advisor or Introducing Broker ("Investment Advisor"), the SIPP Trustee may grant Power of Attorney to the Investment Advisor alone or to both the Investment Advisor and the SIPP Member.

If no Investment Advisor has been appointed, the SIPP Trustee is required to grant Power of Attorney to the SIPP Member. In all cases, the Power of Attorney is granted in accordance with the provisions of Part 13 of this form.

The SIPP Member must complete Parts 1 to 7 of this application form. The SIPP Trustee should then complete Parts 8 to 12. The SIPP Trustee (as Principal) and the appointed Attorney(s), including if appropriate the Investment Advisor, should then complete and sign Part 13. If the SIPP Member signs as an Attorney then their signature should be witnessed as requested.

Before completing this application form, please make sure you have read and understood all information regarding the products and services offered by WWM and all relevant terms including the General Business Terms (including the Products Risk Disclosure), the Addendum to General Business terms for SIPP Members, the Conflict of Interest Policy, the Order Execution Policy and the Commissions, Charges and Margin Schedule. This information is made available, and updated from time to time, on the company website [www.worldwidemarktes.co.uk](http://www.worldwidemarktes.co.uk).

To comply with money laundering regulations, the SIPP Member is required to submit the following documentation along with the completed form. WWM also reserves the right to request further documentation at any time during the approval process.

#### SIPP MEMBER (BENEFICIARY) – DUE DILIGENCE DOCUMENTATION REQUIREMENTS

- A copy of your valid and signed passport
- Proof of residency, e.g. a copy of your national ID card, driver's licence or social security card containing your registered address or a bank statement or utility bill (e.g. gas, water, electricity, land line phone, oil, internet, cable TV connections) issued in your name within the previous 3 months.

Once completed and signed, please send the application by email to [backoffice@worldwidemarkets.co.uk](mailto:backoffice@worldwidemarkets.co.uk)

If you have any questions related to the completion of this form, please contact us on +44(0)203 318 3325

**Parts 1 to 7 of this form are to be completed by the SIPP Member****1. SIPP MEMBER DETAILS**

Full Name (as shown on passport/ID):

Date of Birth (MM/DD/YYYY):

City and Country of Birth:

National Insurance No:

Passport No:

Nationality:

Gender:  Male  Female

Home Address (P.O. Boxes are not accepted):

Town/City:

County:

Post Code:

Country:

**If you have been at your current address for less than 3 years, please also provide your previous address:**

Home Address (P.O. Boxes are not accepted):

Town/City:

County:

Post Code:

Country:

Primary Phone:

Secondary Phone:

E-Mail Address:

**2. CHOICE OF ACCOUNT CURRENCY**

Minimum deposit of \$10,000 (or equivalent)

Choice of account currency:

\*If not completed the account currency will default to USD

**3. INVESTMENT ADVISOR DETAILS**

Company Name:

Address:

Phone:

E-Mail:

Company Registration No:

FCA Firm reference No (FRN):

#### 4. TRADING KNOWLEDGE AND EXPERIENCE

How long have you continuously traded financial products on an execution only basis?

Less than 1 year                       1 to 5 years                       More than 5 years

Which financial products have you traded in the past 12 months?

FX Spot (Check one):	<input type="checkbox"/> <5 Trades	<input type="checkbox"/> 6-20 Trades	<input type="checkbox"/> 21-50 Trades	<input type="checkbox"/> >50 Trades
FX Forward (Check one):	<input type="checkbox"/> <5 Trades	<input type="checkbox"/> 6-20 Trades	<input type="checkbox"/> 21-50 Trades	<input type="checkbox"/> >50 Trades
CFDs (Check one):	<input type="checkbox"/> <5 Trades	<input type="checkbox"/> 6-20 Trades	<input type="checkbox"/> 21-50 Trades	<input type="checkbox"/> >50 Trades
Options and Futures (Check one):	<input type="checkbox"/> <5 Trades	<input type="checkbox"/> 6-20 Trades	<input type="checkbox"/> 21-50 Trades	<input type="checkbox"/> >50 Trades
Shares/ETFs/ETCs (Check one):	<input type="checkbox"/> <5 Trades	<input type="checkbox"/> 6-20 Trades	<input type="checkbox"/> 21-50 Trades	<input type="checkbox"/> >50 Trades
Gilts and Bonds (Check one):	<input type="checkbox"/> <5 Trades	<input type="checkbox"/> 6-20 Trades	<input type="checkbox"/> 21-50 Trades	<input type="checkbox"/> >50 Trades

Do you hold any educational or professional qualifications relevant to the type of trading you (or your Investment Advisor) intend to carry out?

YES                       NO

Do you work, or have you worked, in the financial services sector for at least 1 year in a professional position which requires knowledge of the nature of, and risk involved in, the type of trading that you (or your Investment Advisor) intend to carry out?

YES                       NO

Do you have a personal asset portfolio, including cash deposits and financial instruments, of at least €500,000? (excludes primary residence)

YES                       NO

Have you carried out transactions, in significant size, on the relevant market at an average frequency of 10 per quarter over the previous 12 months?

YES                       NO

#### 5. FINANCIAL INFORMATION

Total Annual Income  
(Check one):

Under €50k     €50k - €100k     €100k - €500k     €500k+

Net Worth  
(Check one):

Under €50k     €50k - €100k     €100k - €500k     €500k+

Liquid Assets  
(Check one):

Under €50k     €50k - €100k     €100k - €500k     €500k+

**Personal pension funding**

Are you a member of a defined (final salary) pension scheme?	<input type="checkbox"/> YES <input type="checkbox"/> NO
If yes, what is your expected annual pension at your selected retirement age?	
Do you have a personal pension fund?	<input type="checkbox"/> YES <input type="checkbox"/> NO
If YES: What is the approximate current value?	
Are you currently making contributions?	<input type="checkbox"/> YES <input type="checkbox"/> NO
How much do you intend to invest with WWM?	
<input type="checkbox"/> \$10,000 - \$25,000 <input type="checkbox"/> \$25,001 - \$50,000 <input type="checkbox"/> \$50,001 - \$100,000 <input type="checkbox"/> \$100,000+	
Are these funds a transfer from your existing personal pension fund?	<input type="checkbox"/> YES <input type="checkbox"/> NO

**6. EMPLOYMENT HISTORY**

<i>(Please check one)</i>	<input type="checkbox"/> Employed	<input type="checkbox"/> Self-employed	<input type="checkbox"/> Retired
	<input type="checkbox"/> Other	<input type="checkbox"/> Unemployed	

**If you select Employed, please provide Employer and Position.**

**If you select Self Employed, please provide Type of business.**

**If you select Retired, Unemployed, Other, please provide Source of funds.**

Employer's Name:		
Nature of Business:	Position:	Source of Funds:
Are you currently, or have you ever worked for a brokerage firm, bank, or financial institution? <input type="checkbox"/> YES <input type="checkbox"/> NO		

## 7. SIPP MEMBER SIGNATURE & DECLARATIONS

### Data protection

To comply with the Money Laundering Regulations, WWM is required to collect information about you and to undertake checks on your identity and residential address, including accessing and using information held in database or other electronic format through other agencies. In carrying out electronic verification, other agencies may retain a record of the enquiry and information given to them. WWM may also request further supporting documentation from you to verify these details. Your information may be disclosed to law enforcement agencies and other relevant agencies for crime detection and prevention purposes. WWM will add your personal data and details (including email details) to the database of WorldWideMarkets and Affiliated Companies which includes entities that are outside the EEA. Furthermore, in order to provide the services to you, WWM may exchange information or share your personal data with the SIPP Trustee (refer to Part 8) and your Investment Advisor (refer to Part 3) and any Administrator of the SIPP. WWM may occasionally contact you by email, telephone or post to give you information about products and services offered that are similar or related to the product and services provided or previously provided to you.

If you do not consent to the use of your personal data in this way, we are unable to consider your application. By submitting the completed application form to WWM you consent to the use of your information as indicated.

### I declare by my signature that:

1. I have read and understood the nature of the product(s) that I (or my Investment Advisor) intend to trade in this account;
2. I am not aware that I have any health or other conditions that may affect the proper operation of the account;
3. I have provided true, accurate and complete information and undertake to update WWM of any changes to the information provided without delay;
4. I have obtained from the website [www.worldwidemarkets.co.uk](http://www.worldwidemarkets.co.uk), read and understood the General Business Terms (including the product risks disclosure detailed in General Business Terms and the Addendum to the General Business Terms for SIPP members), the Order Execution Policy, the Conflict of Interest Policy and the Commission, Charges and Margin Schedule;
5. I consent to the Order Execution Policy and for any orders to be executed outside a regulated market or a multilateral trading facility;
6. I consent to any unexecuted limited orders not to be made public;
7. I accept and agree to be bound by the terms provided above and consent to such terms and information including future updates to these being provided to me by way of posting on the website indicated above;
8. I accept that a contract has been formed between me, WWM and the SIPP Trustee;
9. I acknowledge that I recognise and understand the restrictions placed by WWM on the trading of SIPP funds in terms of the products that can be traded and the reduced leverage that can apply to these products. These restrictions may be additional to those imposed by the relevant legislation and/or the SIPP Trustee;
10. To have been adequately informed by my SIPP Trustee of the legal restrictions which apply to the trading of SIPP funds.

### Furthermore, I confirm:

11. That the investment amount has been chosen by me taking my total financial circumstances into consideration and is considered reasonable by me under such circumstances;
12. That WWM is authorised to act on any instructions it receives from the SIPP Trustee on my behalf;

13. That I acknowledge and accept that my SIPP Trustee (as specified in Part 8 of this form), as Trustee of the SIPP Trust (as specified in Part 9 of this form), has granted Power of Attorney in accordance with the provisions of Part 13 of this form;

14. That WWM is entitled to send newsletters or other investment material to me by e-mail, sms or similar electronic messaging services, and that I must inform WWM in writing or otherwise, if I do not wish to receive such material.

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Signature

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Name

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Date (MM/DD/YYYY)

### 8. SIPP TRUSTEE DETAILS

Full Name:	
Address:	
Phone:	Email:
Company registration no:	FCA Firm reference no (FRN):
Legal Entity Identifier Code (LEI):	SIPP Provider/Administrator:

### 9. SIPP (TRUST) DETAILS

SIPP (Trust) name:	
Address (if different from 8. above):	
Scheme Name:	
HMRC Ref:	SIPP Plan ref:

### 10. SIPP BANK ACCOUNT DETAILS

Bank name:	Account name:
Sort code:	Account no:
Bank Address:	

### 11. PERMITTED INVESTMENTS

Please indicate which of the following investment types the SIPP Member (Beneficiary) is permitted to trade under the terms of Trust Deed:

- CFD Only
  Spot Forex Only
  CFD & Spot Forex

## 12. SIPP MEMBER SIGNATURE & DECLARATIONS

### We declare by our signature that:

1. We have obtained from the website [www.worldwidemarkets.co.uk](http://www.worldwidemarkets.co.uk), read and understood the General Business Terms (including the product risks disclosure detailed in these General Business Terms and the Addendum to the General Business Terms for SIPP members), the Order Execution Policy, the Conflict of Interest Policy and the Commission, Charges and Margin Schedule.
2. The Trust is properly constituted and validly exists under the laws of its jurisdiction and has the authority to conduct its business and enter into the Terms with WWM;
3. All the trustees and authorised signatories of the Trust are over 18 years of age;
4. All the information provided in this application form, and in connection with this application form is true, correct and complete and, should there be any subsequent changes to this information, we will inform WWM immediately in writing;
5. The Trustee, as Principal, has granted Power of Attorney in accordance with the Provisions of Part 13 of this form;
6. The SIPP Member (Beneficiary) may trade in the investment types indicated in Part 11 and that by so doing, the SIPP Member (Beneficiary) will not be in breach of any laws or regulations nor the Trust Deed;
7. We understand that, in order to comply with anti-money laundering legislation, WWM is required to verify both the address of the Trust and the identities and addresses of the Trust's authorised signatories and for this purpose, may use information held in any database or in other electronic format;
8. The Trust has obtained the agreement of each of the authorised signatories to the electronic identity verification searches or to provide the required documentation.

### Executed on behalf of its duly authorised representatives:

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Signature 1

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Print Name

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Title

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On behalf of

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Date

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Signature 2

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Print Name

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Title

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On behalf of

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Date



### 13. LIMITED POWER OF ATTORNEY

**Name:** \_\_\_\_\_, the **SIPP Trustee** as identified in Part 8 of this application form, as Trustee of the SIPP Trust specified in Part 9 of this application form (hereafter referred to as the “**Principal**”) hereby grants Power of Attorney to (please fill in one or two names hereunder as appropriate) :

1. **Name:** \_\_\_\_\_, the **Investment Advisor** as identified in Part 3 of this application form

**AND/OR**

2. **Name:** \_\_\_\_\_, the **SIPP Member** as identified in Part 1 of this application form

hereafter individually or jointly referred to as the “**Attorney(s)**”

to perform all transactions and legal acts according to WorldWideMarkets Online Trading Limited’s (“WWM”) General Business Terms or any other terms which are entered into with WWM and which govern the client relationship as if they were performed by the Principal itself.

The Attorney(s) agrees that if it breaches any terms of WWM’s General Business Terms it shall keep WWM indemnified against any loss, damage or expense incurred by WWM as a result of such breach.

Thus, the Principal understands and agrees that:

1. WWM may accept from the Attorney(s), without any inquiry or investigation, any order to transact all instruments available on WWM’s on-line trading systems including financial securities, Contracts for Difference, foreign exchange and any other property in the Principal’s account(s) on margin or otherwise;
2. WWM shall have no responsibility or liability to the Principal in following instructions from the Attorney(s);
3. WWM is under no duty to supervise or otherwise know or review the trading practices, advice or any other acts carried out by the Attorney(s) and WWM relies on the Principal monitoring the trading and transactions on the account(s) conducted by the Attorney(s);
4. WWM is allowed to provide the Attorney(s) with direct access to the account and reveal all information about the account to the Attorney(s) and thus, for instance, send copies of any and all transaction notes, account statements etc. to the Attorney(s) so that the Attorney(s) may satisfy any of its legal and regulatory requirements on record retention;
5. WWM may establish internet trading facilities according to the instructions of the Attorney(s) for purposes of executing trades on behalf of the Principal on any of WWM’s online trading systems;
6. This Deed shall be governed by and construed in accordance with the law of England and Wales and all Parties irrevocably agree the courts of England and Wales shall have exclusive jurisdiction to determine any proceedings;
7. This Power of Attorney shall remain effective until revoked in writing by the Principal and correspondingly confirmed in writing by WWM. Any revocation of the authority given to the Attorney(s) shall not affect the validity, ratification and indemnity with respect to any transaction initiated or instruction given by the Attorney(s) prior to confirmation by WWM of such notice. For avoidance of doubt, upon revocation, all rights of the Attorney(s) under this Power of Attorney shall no longer apply.
8. The death, bankruptcy or mental incapacity, or where relevant any insolvency event such as but not limited to the dissolution, winding up or liquidation of either the Principal or the Attorney(s) shall also act to revoke this Power of Attorney. The effective date of revocation under this clause shall be the date upon which WWM receives documentary evidence of any such event and confirms receipt of that evidence.

9. This Deed may be executed in three counterparts, which together will have the same effect as if the Principal and the Attorney(s) have signed the same document. The Principal and/or the Attorney(s) may deliver an executed copy of this Deed to WWM by facsimile transmission or by emailing a scanned copy of the executed Deed to WWM, and such delivery shall have the same force and effect as delivery of an original signed copy of this Deed.

**THIS POWER OF ATTORNEY IS EXECUTED AS A DEED AND IS DELIVERED AND TAKES EFFECT ON THE DATE OF THE LAST SIGNATURE BELOW**

**TERMS SET OUT ABOVE AND EXECUTE AND DELIVER THIS POWER OF ATTORNEY AS A DEED**

**SIPP Trustee:**

Authorised Signatory 1:

Print Name:

Date (MM/DD/YYYY):

Authorised Signatory 2:

Print Name:

Date (MM/DD/YYYY):

**I, THE ATTORNEY, HEREBY AGREE TO ALL OF THE TERMS SET OUT ABOVE AND EXECUTE AND DELIVER THIS POWER OF ATTORNEY AS A DEED**

**SIPP Member (if appointed Attorney):**

Member Signature:

Member Name:

Date (MM/DD/YYYY):

Witnessed by (not a family member):

Witness Signature:

Witness Name:

Date (MM/DD/YYYY):

Witness Occupation:

Witness Address:

**Investment Advisor (if appointed Attorney):**

Authorised Signatory 1:

Print Name:

Date (MM/DD/YYYY):

Authorised Signatory 2:

Print Name:

Date (MM/DD/YYYY):