



Customer Suitability

Name	
Date of birth	
General Health	Poor <input type="checkbox"/> Fair <input type="checkbox"/> Good <input type="checkbox"/>

Financial Situation

Because Contracts for difference, Spread Bets or Foreign Exchange (ForEX or FX) are a high risk investment we need to assess the suitability of these investments in light of your knowledge and experience in the investment field and your investment objectives. Please take some time to complete the following information.

Marital status	Single <input type="checkbox"/>	Married/civil partnership <input type="checkbox"/>	Divorced <input type="checkbox"/>	Widowed <input type="checkbox"/>
----------------	---------------------------------	--	-----------------------------------	----------------------------------

Number of dependents	<input type="text"/>
----------------------	----------------------

Employment status	Employed <input type="checkbox"/>	Self-employed <input type="checkbox"/>	Retired <input type="checkbox"/>	Unemployed <input type="checkbox"/>
-------------------	-----------------------------------	--	----------------------------------	-------------------------------------

Is your employer an investment firm regulated by the FSA?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
---	------------------------------	-----------------------------

Current occupation	
--------------------	--

Education, profession or former profession:	
---	--

Have you worked in the finance industry?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
--	------------------------------	-----------------------------

Do you have a degree level qualification?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
---	------------------------------	-----------------------------

Income and Expenses

In case of joint investors, please give details of both

Annual employment income	£
--------------------------	---

Annual investment income	£
--------------------------	---

Annual pension income	£
-----------------------	---

Annual other income	£
---------------------	---

Please give details:	
----------------------	--

Monthly mortgage/ rent	£
------------------------	---

Other monthly expenditure	£
---------------------------	---

Please give details:	
----------------------	--

Assets and liabilities

In the case of joint investors, please give details of both

Property ownership	Home owner <input type="checkbox"/>	Tenant <input type="checkbox"/>	Other <input type="checkbox"/>
---------------------------	-------------------------------------	---------------------------------	--------------------------------

Assets	Liabilities
Main residence £	Outstanding mortgage £
Shares Listed £	Personal loans £
Shares Unlisted £	Credit card loans £
Savings £	Other Liabilities £
Other investments £	
Please give details:	Please give details:

Are your assets and liabilities jointly owned? Yes No

If yes, please provide details:

Investment Objectives and Risk

Please indicate your investment objectives below

Please tick one

Growth	<input type="checkbox"/>
Income	<input type="checkbox"/>
Income & Growth	<input type="checkbox"/>

Your overall risk profile? Low Medium Low Medium Medium High High

Over what timeframe do you expect your objectives and risk profile to remain as above?

0-1 Years 1-4 Years 5+ Years

Available funds for speculative/high risk investments **£**

Knowledge and Experience

How many years experience do you have investing in:

Shares and/or bonds Listed	Number of months if less than 1 year <input type="text"/>	1 - 2 years <input type="text"/>	3 - 4 years <input type="text"/>	over 5 years <input type="text"/>
Average trade size		Frequency per month		

Shares and/or bonds Unlisted	Number of months if less than 1 year <input type="text"/>	1 - 2 years <input type="text"/>	3 - 4 years <input type="text"/>	over 5 years <input type="text"/>
Average trade size		Frequency per month		

Exchange-traded derivatives (e.g. commodities, warrants, futures or options)	Number of months if less than 1 year <input type="text"/>	1 - 2 years <input type="text"/>	3 - 4 years <input type="text"/>	over 5 years <input type="text"/>
Average trade size		Frequency per month		

OTC derivatives (e.g. CFD's, spread betting, forex, binaries)	Number of months if less than 1 year <input type="text"/>	1 - 2 years <input type="text"/>	3 - 4 years <input type="text"/>	over 5 years <input type="text"/>
Average trade size		Frequency per month		

Other instruments (please give details in space below)	Number of months if less than 1 year <input type="text"/>	1 - 2 years <input type="text"/>	3 - 4 years <input type="text"/>	over 5 years <input type="text"/>
Average trade size		Frequency per month		

Details of other instruments:

I/we confirm and agree the information supplied by me/us is true and correct. Further, I/We undertake to notify Galvan Research & Trading Limited if there is any change to my/our status such that anyone of the statements in the declaration becomes untrue.

Signature

Date

It is our policy to respect the confidentiality of information and the privacy of individuals. We are bound by the Data Protection Principles contained in the Data Protection Act 1998. A copy of our Privacy Notice is available on our website or upon request.

Authorised and regulated by the Financial Services Authority FSA number: 401179

Registered office: Galvan Research and Trading Ltd. CMA House, Newham Road, Truro TR1 2SU

Contact details: T: 01872 262620 E: mail@galvan.co.uk F: 01872 265326