

# Investment Club – Letter of Authorisation for change of Lead Investor and/or change in membership



Please complete this form to tell us about a change of lead investor and/or changes in membership.

### How to complete this form:

- Please complete all fields (where applicable) and use block capitals.
- **Section A and E must be completed in all instances.** Section E must be signed by the Lead Investor and Company Secretary.
- If the Club has appointed a new Lead Investor, please complete Section B. The Lead Investor who signs the Declaration in Section E should be the newly appointed Lead Investor.
- If any new members have joined the Club, please complete Section C and each new member will also need to complete their personal details in Appendix 1 and provide the ID documentation requested in Appendix 3.
- If any members have resigned from the Club, please complete Section D.
- Please return your completed form together with a copy of the relevant Club minutes noting the membership change(s) and/or change of Lead Investor.

On completion and submission of this form you will be subject to EQi Terms and Conditions.  
If you have any questions about this form please call our Customer Experience Centre on 0345 0700 720.

## Section A: Club Details

---

Club name

EQi account number

## Section B: Change of Lead Investor

---

### Previous Lead Investor

Title                                Mr                                Mrs                                Miss                                Ms                                Other

First name(s)

Last name

EQi account number (if an individual EQi account is held)

### New Lead Investor

Title                                Mr                                Mrs                                Miss                                Ms                                Other

First name(s)

Last name

EQi account number (if an individual EQi account is held)

# Investment Club – Letter of Authorisation for change of Lead Investor and/or change in membership



## Section C: New Club Members

---

The following information is required for all new Club members.

**Please note:** Each new member will need to complete their personal details in Appendix 1 and provide identity documents as detailed in Appendix 3.

Title	First name(s)	Last name	Individual EQi account number (If applicable)
-------	---------------	-----------	--

## Section D: Resignation Club Members

---

The following individual(s) is/are no longer (a) member(s) of the Investment Club:

Title	First name(s)	Last name	Individual EQi account number (If applicable)
-------	---------------	-----------	--

# Investment Club – Letter of Authorisation for change of Lead Investor and/or change in membership



## Section E: Authorisation

---

This agreement is made on the \_\_\_\_\_ (day) of \_\_\_\_\_ (month) of \_\_\_\_\_ (year)  
between the members of the \_\_\_\_\_ Investment Club ("**the Club**")  
whose names are given below, and \_\_\_\_\_ (Lead Investor)

It is hereby agreed as follows:

1. The members of the Club hereby appoint or confirm the continued appointment of the Lead Investor as their agent, and the Lead Investor hereby agrees in such capacity to:
  - 1.1. deposit such funds into the Club's EQi Dealing account, as may be agreed from time to time between the Lead Investor and the Club;
  - 1.2. invest the funds of the Club in such manner and according to such policies as are agreed from time to time between the Lead Investor and the Club and for such purposes the Lead Investor may instruct EQi to:
    - 1.2.1. sell, assign, transfer or otherwise dispose of all or any of the investments held by the nominee appointed by EQi as nominee of the Lead Investor or supplied by the Lead Investor as certificates individually registered in the names of the members/trustees of the Club;
    - 1.2.2. give good receipts and discharges for dividends and redemption for all money payable in respect of sales;
    - 1.2.3. receive and give good receipts and discharges for dividends and redemption monies payable in relation there to, for which EQi will deposit funds into the Club's EQi Dealing account;
  - 1.3. receive on behalf of the Club all documentation relating to transactions carried out by EQi in the Lead Investor's sole name, such documents to include, without prejudice to the generality of the foregoing, contract notes, portfolio valuations and tax vouchers;
  - 1.4. notify EQi of any changes to the membership of the Club and ensure that the Investment Club Agreement is signed by all current Club Members.
2. In giving orders or instructions to EQi, the Lead Investor does so on behalf of the Club and upon reliance of the Club's own judgement.
3. The members of the Club hereby:
  - 3.1. confirm that they agree to be bound by the EQi Terms and Conditions;
  - 3.2. acknowledge that EQi will treat each Club member as a customer for the purposes of the EQi Terms and Conditions;
  - 3.3. acknowledge that EQi offers an execution only investment service and that EQi does not advise clients on the merits or suitability of any transactions;
  - 3.4. declare that, in accordance with the Proshare Investment Club Manual, no member of the Club shall be compensated for providing Services to the Club;
  - 3.5. undertake to ensure that any person who becomes a member of the Club will be required, as a prerequisite of such membership, to become party to and agree to be bound by the terms of this Agreement so long as this Agreement remains in force.
  - 3.6. confirm the resignation and/or addition of Club members listed in Sections D and E of this form.
4. This Agreement will remain in force until it is revoked in writing by all the undersigned members of the Club.
5. This agreement shall be governed in accordance with the laws of England and Wales.

We hereby confirm the above information to be true, correct and enclose a copy of the Club's minutes documenting any change in the membership/Lead Investor

### **New Lead Investor**

Name \_\_\_\_\_ Signed \_\_\_\_\_

### **Club Secretary**

Name \_\_\_\_\_ Signed \_\_\_\_\_

**Please remember to print and sign your form with a wet signature before submission.**

Please return this form to: **EQi PO BOX 4923 Worthing BN99 6SF**

# Investment Club – Letter of Authorisation for change of Lead Investor and/or change in membership



## Appendix 1: New Club Members

---

The following information is required for all new Club members.

Please note that identity documents, as detailed in Appendix 3, must be provided for each new Club member

Club name	Account number				
Title	Mr	Mrs	Miss	Ms	Other
First name(s)					
Last name					
Date of birth	Day	Month	Year		
Telephone number					
Email address					
Country and town of birth					
Mother's maiden name					
Postal address					

### Tax Residence details:

Country of tax residence

National Insurance number

I have no National Insurance number/Tax Identification number

If you do not have a National Insurance number/  
Tax Identification number, please indicate why

Additional country of tax residence (1)

Taxpayer Identification number (1)

Additional country of tax residence (2)

Taxpayer Identification number (2)

Are you a United States Green Card holder?      Yes      No

### Nationality details:

Please disclose your nationality details, by completing the country of each (up to three) in the boxes below.

### Primary nationality details:

If you have **sole UK nationality**, you do not need to complete this part. For all other customers, you will need to establish your primary nationality and complete the relevant National Identifier & National ID Code for this in the box below, according to the instructions in **Appendix 2** or using [www.nationalitycalculator.co.uk](http://www.nationalitycalculator.co.uk).

First priority	National Identifier	National ID	Tick if unable to provide
Second priority			

# Investment Club – Letter of Authorisation for change of Lead Investor and/or change in membership



## Appendix 2: National Identifier Instructions

Below, you will find a table that lists the countries of the European Economic Area (EEA), including a section for any non-EEA countries, and details of each country's requested National Identifier. Following the instructions and using the information provided in the table, please establish your **primary nationality** & complete the relevant **National Identifier** number in Section C. Alternatively you can refer to [www.nationalitycalculator.co.uk](http://www.nationalitycalculator.co.uk).

You are not required to complete the National Identifier details in Appendix 1 if you are a UK National only.

### Using the table

#### 1. Establishing your primary nationality

Referring to the table below and the **country column**, whichever of your nationalities is listed **highest** will be your primary nationality. (Please note, the countries are ordered alphabetically according to the National ID Code). *E.g. if you are a national of the United Kingdom and Spain, as Spain is listed higher than the UK in the country column list, your primary nationality will be Spain.*

#### 2. Identifying your national identifier

Once you have established your **primary nationality**, you must provide us with the relevant **national identifier** details as requested in the table, in the order of priority as indicated in each field. Please refer to the country specific instructions in the table for further guidance. *E.g. using the same example as above, if your country of primary nationality is Spain, you will need to complete your Spanish Tax Identification Number & the National ID Code (ES1) in Appendix 1.*

#### Please note:

- If you are unable to provide a National Identifier number as requested, please complete the National ID Code(s) & **tick the box** in Section F to confirm that you are unable to provide the details.
- You only need to provide **one** National Identifier **in the order of priority** listed in each field. *E.g. if you have established that your country of primary nationality is Czech Republic, you should only provide us with your Czech Republic National Passport Number if you are unable to provide your National Identification Number in the first instance and tick to confirm you are unable to provide the first priority National Identifier.*
- \*If you have established your **primary nationality** as one of the following countries, **Estonia, Spain, Iceland, Italy, Malta or Poland** and you are unable to provide a National Identifier as requested, **trading rules will prevent us from accepting your instruction to trade or transfer.**

Please contact our Customer Experience Centre if you have any questions regarding this table and/or completing the relevant details in Appendix 1.

Country	National Identifier	National ID Code	Country specific instructions for completing Section C
Austria	No additional data required	AT1	Leave the National Identifier & National ID Code boxes blank.
Belgium	<b>Belgian National Number (Numéro de register national – Rijksregisternummer)</b>	BE1	Enter the requested National Identifier and National ID Code details, or tick to confirm if you do not have this.
Bulgaria	<b>Bulgarian Personal Number</b>	BG1	
Cyprus	<b>National Passport Number</b>	CY1	
Czech Republic	First Priority: <b>National Identification Number (Rodné číslo)</b>	CZ1	Enter the National Identifier & National ID Code details in the order of priority indicated. If you are unable to provide the first priority, tick to confirm this and complete the second priority details, or tick to confirm you do not have it.
	Second Priority: <b>National Passport Number</b>		
Germany	No additional data required	DE1	Leave the National Identifier & National ID Code boxes blank.

# Investment Club – Letter of Authorisation for change of Lead Investor and/or change in membership



Country	National Identifier	National ID Code	Country specific instructions for completing Section C
Denmark	Personal Identity Code	DK1	Enter the requested National Identifier and National ID Code details, or tick to confirm if you do not have it.
*Estonia	Estonian Personal Identification Code (Isikukood)	EE1	
*Spain	Tax Identification Number (Código de identificación fiscal)	ES1	
Finland	Personal Identity Code	FI1	
France	No additional data required	FR1	Leave the National Identifier & National ID Code boxes blank.
United Kingdom	UK National Insurance Number	GB1	Enter the requested National Identifier and National ID Code details, or tick to confirm if you do not have this.
Greece	10 DSS Digit Investor Share	GR1	
Croatia	Personal Identification Number (OIB – Osobni identifikacijski broj)	HR1	
Hungary	No additional data required	HU1	Leave the National Identifier & National ID Code boxes blank.
Ireland	No additional data required	IR1	
*Iceland	Personal Identity Code	IS1	Enter the requested National Identifier and National ID Code details, or tick to confirm if you do not have this.
*Italy	Fiscal code (Codice Fiscale)	IT1	
Liechtenstein	First Priority: Personal code (Asmens Kodas)	LI1	Enter the National Identifier & National ID Code details in the order of priority indicated. If you are unable to provide the first priority, tick to confirm this and complete the second priority details, or tick to confirm you do not have it.
	Second Priority: National Passport Number	LI2	
Lithuania	First Priority: Personal code (Asmens Kodas)	LT1	
	Second Priority: National Passport Number	LT2	
Luxembourg	No additional data required	LU1	Leave the National Identifier & National ID Code boxes blank.
Latvia	Personal Code (Personas Kods)	LV1	Enter the requested National Identifier and National ID Code details, or tick to confirm if you do not have this.

# Investment Club – Letter of Authorisation for change of Lead Investor and/or change in membership



Country	National Identifier	National ID Code	Country specific instructions for completing Section C
*Malta	First Priority: <b>National Identification Number</b>	MT1	Enter the National Identifier & National ID Code details in the order of priority indicated. If you are unable to provide the first priority, tick to confirm this and complete the second priority details, or tick to confirm you do not have it.
	Second Priority: <b>National Passport Number</b>	MT2	
Netherlands	First Priority: <b>National Passport Number</b>	NL1	
	Second Priority: <b>National Identity Card Number</b>	NL2	
Norway	<b>11 digit Personal ID (Foedselsnummer)</b>	NO1	Enter the requested National Identifier & National ID Code details, or tick to confirm if you do not have this.
*Poland	First Priority: <b>National Identification Number (PESEL)</b>	PL1	Enter the National Identifier & National ID Code in the order of priority indicated. If you are unable to provide the first priority, tick to confirm this and complete the second priority details, or tick to confirm you do not have it.
	Second Priority: <b>Tax Number (Number Identyfikacji podatkowej)</b>	PL2	
Portugal	First Priority: <b>Tax Number (Número de Identificação Fiscal)</b>	PT1	
	Second Priority: <b>National Passport Number</b>	PT2	
Romania	First Priority: <b>National Identification Number (Cod Numeric Personal)</b>	RO1	
	Second Priority: <b>National Passport Number</b>	RO2	
Sweden	<b>Personal Identity Number</b>	SE1	Enter the requested National Identifier and National ID Code details or tick to confirm if you do not have this.
Slovenia	<b>Personal Identification Number (EMŠO: Enotna Matična Številka Občana)</b>	SL1	
Slovakia	First Priority: <b>Personal Number (Rodné číslo)</b>	SK1	Enter the National Identifier details in the order of priority indicated. If you are unable to provide the first priority, tick to confirm this and complete the second priority details, or tick to confirm you do not have it.
	Second Priority: <b>National Passport Number</b>	SK2	
All other Countries (including Crown Dependencies such as Jersey, Guernsey, Isle of Man etc)	<b>National Passport Number</b>	XX1	Enter the requested National Identifier and National ID Code or tick to confirm you do not have it. If you are a national of more than one non-EEA country, please refer to <a href="http://www.nationalitycalculator.co.uk">www.nationalitycalculator.co.uk</a> or contact our Customer Experience Centre to assist in establishing your primary nationality.

# Investment Club – Letter of Authorisation for change of Lead Investor and/or change in membership



## Appendix 3: Identity documents

---

We are required by law to confirm the identity of all individuals using our service. In order to help us establish your identity we require two documents, one from each of the lists below (or three if a void cheque is used).

Both documents must show your full name and, between the two documents, must also evidence your date of birth and current address. PO Box numbers cannot be accepted. Please note we are unable to accept documents which only show initials. Copies of any documents you provide retained by us and any original documents will be returned to you at the earliest opportunity.

### List A – Primary identity documents

(Government issued):

- Current UK/EEA driving licence
- Current full signed passport
- Current EEA member state identity card

We can accept either an original or a copy of the original, certified by a government department or an entity regulated by the Financial Conduct Authority, e.g. a bank. Please provide the full name, address and telephone number of any person certifying a primary identity document on your behalf. You cannot certify your own documentation.

### List B – Supporting documentary evidence either

- Bank/building society/credit union statement or pass book – less than three months old  
N.B. We are not able to accept internet printouts of bank statements.
- A second item from list A
- Most recent HM Revenue & Customs tax notification (not a P45 or P60)
- Utility bill or statement (not mobile phone) – less than three months old
- Local authority council tax bill (valid for the current year)
- Signed documentation from a regulated financial services firm which indicates a current relationship with the firm exists.

**Items from list B must be originals, which we will return to you.**

**Please remember to print and sign your form with a wet signature before submission.**

Please return this form to: **EQi, PO BOX 4923, Worthing, BN99 6SF**