

## Part A – Your Account Information

### 1. Account Type

Please confirm which type of account you want to open (please refer to the FAQ or contact the Client Services Team for further details). You must choose one of the following two options:

Nominee Account      OR       CREST Personal Member Account

### 2. Level of Service

Please confirm which level of service you want to avail of (please refer to the FAQ or contact the Client Services Team for further details). You must choose one of the following two options:

Advisory Share Dealing Service      OR       Execution-Only Share Dealing Service  
 (Complete Parts A, B, C, D and F in full)      (Complete Parts A, B, and F in full)

### 3. Applicant (1) Details

Mr       Mrs       Ms       Other

First Name:

Middle Name:

Surname:

Date of Birth:

Married       Single       Other

Home Address:

Correspondence Address (if different):

Telephone (Home):

Telephone (Business):

Mobile Number:

Email:

Nationality:

Country of Permanent Residence:

Do You Want Additional Nominated Persons Authorised To Trade On Your Behalf?

Please refer to the FAQ for further details

Yes       No

### 4. Applicant (2) Details

Mr       Mrs       Ms       Other

First Name:

Middle Name:

Surname:

Date of Birth:

Married       Single       Other

Home Address:

Correspondence Address (if different):

Telephone (Home):

Telephone (Business):

Mobile Number:

Email:

Nationality:

Country of Permanent Residence:

Do You Want Additional Nominated Persons Authorised To Trade On Your Behalf?

Please refer to the FAQ for further details

Yes       No

### 5. Payment of Sale Proceeds

Sale proceeds will be paid out to you on settlement. If you wish FEXCO Stockbroking Limited to retain the funds on your share dealing account, please tick "Yes – Retain Funds" below.

Yes – Retain Funds

### 6. Source of Funds

Salary / Bonus     Savings     Inheritance

Redundancy     Sale of Shares     Other

## Part B – Knowledge and Experience

### THIS SECTION TO BE COMPLETED BY BOTH ADVISORY AND EXECUTION-ONLY CLIENTS

Your answers to the following questions will enable us to understand your knowledge and experience in financial instruments and allow us to give you a better investment service. The information supplied to us will be retained by us and may only be disclosed to a relevant authority in compliance with regulatory requirements.

#### Warning for Execution-Only Clients

IF YOU DO NOT PROVIDE US THE INFORMATION BELOW WE SHALL NOT BE ABLE TO ASSESS WHETHER TRANSACTIONS IN COMPLEX INSTRUMENTS ARE APPROPRIATE FOR YOU. Complex instruments include futures, options, contracts for difference or other derivative instruments as well as collective investment schemes, private equity and alternative investments.

#### Warning for Advisory Clients

WITHOUT THIS INFORMATION WE ARE UNABLE TO PROVIDE INVESTMENT ADVICE TO YOU.

### 7. Qualifications

Do you hold any qualifications that are relevant to making investment decisions and/or are you a member of a relevant financial services professional body? If yes, please specify:

### 8. Knowledge and Experience in Financial Instruments

#### SHARES

Have you dealt in shares before?     Yes     No

In what capacity?     Execution Only     Advisory     Discretionary Managed

How long have you been dealing in shares?     < 1 year     1–3 years     3–5 years     5 years +

How would you describe your knowledge of shares?     Low<sup>1</sup>     Medium<sup>2</sup>     High<sup>3</sup>

How often do you trade with shares?     Daily     Weekly     Monthly     Yearly

Total volume of transactions per annum?     Less than €5,000     Between €5,000 and €50,000

Over €50,000

## 8. Knowledge and Experience in Financial Instruments (con't)

### BONDS

- Have you dealt in bonds before?  Yes  No
- What type of bonds have you dealt in before?  Corporate Bonds  Government Bonds
- In what capacity?  Execution Only  Advisory  Discretionary Managed
- How long have you been dealing in bonds?  < 1 year  1–3 years  3–5 years  5 years +
- How would you describe your knowledge of bonds?  Low<sup>1</sup>  Medium<sup>2</sup>  High<sup>3</sup>
- How often do you trade with bonds?  Daily  Weekly  Monthly  Yearly
- Total volume of transactions per annum?  Less than €5,000  Between €5,000 and €50,000  
 Over €50,000

### Other Instruments (Derivatives, Contracts for Difference, Collective Investment Schemes etc.)

Please specify:

- In what capacity?  Execution Only  Advisory  Discretionary Managed
- How long have you been dealing in this instrument?  <1 year  1–3 years  3–5 years  5 years +
- How would you describe your knowledge of this instrument?  Low<sup>1</sup>  Medium<sup>2</sup>  High<sup>3</sup>
- How often do you trade with this instrument?  Daily  Weekly  Monthly  Yearly
- Total volume of transactions per annum?  Less than €5,000  Between €5,000 and €50,000  
 Over €50,000

<sup>1</sup> **Low:** None or very limited previous experience of investments. You have a general understanding of shares or bonds, but no knowledge of other investment instruments.

<sup>2</sup> **Medium:** Some knowledge and experience of investment investments. You understand the potential risks and returns for different investment types.

<sup>3</sup> **High:** Extensive knowledge and experience of investment instruments. You have dealt in transactions of significant size and frequently and/or you work in the financial services industry in a role that requires knowledge of the transactions or services envisaged.

## Part C – Investment Objectives & Risk Profile

### THIS SECTION TO BE COMPLETED BY ADVISORY CLIENTS ONLY

Your answers to the following questions will enable us to understand your investment objectives and risk profile and allow us to give you a better investment service. The information supplied to us will be retained by us and may only be disclosed to a relevant authority in compliance with regulatory requirements.

#### Warning for Advisory Clients

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#### 9. Investment Objectives (please refer to the FAQ for further details)

Income       Capital Growth       Balance Income and Growth

#### 10. Risk Profile (please refer to the FAQ for further details)

Low Risk       Medium Risk       High Risk

#### 11. Time Horizon

For how long are you planning to invest your money?     < 1 year     1–3 years     3–5 years     5 years +

#### 12. What is your average anticipated transaction size?

#### 13. What is your anticipated average trading frequency?

times per annum

#### 14. Permitted Investment Instruments

Please tick which instruments you wish to invest in with us:

**Equities**      € Euro     £ Sterling     \$ US Dollar

**Bonds**      Government Bonds     Corporate Bonds

**Other Instruments**    Structured Products     CFDs     Derivatives (Other)

Collective Investments Schemes     Other

Additional comments (if any):

#### 15. Investment Restrictions (if any):

## Part D – Financial Background

### THIS SECTION TO BE COMPLETED BY ADVISORY CLIENTS ONLY

Your answers to the following questions will enable us to understand your investment and financial needs and allow us to give you a better investment service. The information supplied to us will be retained by us and may only be disclosed to a relevant authority in compliance with regulatory requirements.

#### Warning for Advisory Clients

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### 16. Applicant (1)

#### Occupation

#### Income

Your annual salary / business Income, any rental income, any investment income and any other incomes.

- €0 - 15k     €15k - 30k     €30k - 50k  
 €50k - 100k     €100k+

#### Employment Status

- Company Employee     Self-Employed  
 Proprietor / Director     Education  
 Not Employed     Retired

#### Value of Principal Private Residence

- None     €100k - 250k  
 €250k - 500k     €500k - €1m  
 €1m - 5m     €5m+

#### Value Of Other Properties Owned

(please refer to the FAQ for further details)

- None     €100k - 250k  
 €250k - 500k     €500k - €1m  
 €1m - 5m     €5m+

#### Value of Personal Liquid Assets

(please refer to the FAQ for further details)

- €0 - 15k     €15k - 30k  
 €30k - 50k     €50k - 100k  
 €100k+

#### Regular Financial Commitments Per Annum

(please refer to the FAQ for further details)

- €0 - 15k     €15k - 30k  
 €30k - 50k     €50k - 100k  
 €100k+

### 17. Applicant (2)

#### Occupation

#### Income

Your annual salary / business Income, any rental income, any investment income and any other incomes.

- €0 - 15k     €15k - 30k     €30k - 50k  
 €50k - 100k     €100k+

#### Employment Status

- Company Employee     Self-Employed  
 Proprietor / Director     Education  
 Not Employed     Retired

#### Value of Principal Private Residence

- None     €100k - 250k  
 €250k - 500k     €500k - €1m  
 €1m - 5m     €5m+

#### Value Of Other Properties Owned

(please refer to the FAQ for further details)

- None     €100k - 250k  
 €250k - 500k     €500k - €1m  
 €1m - 5m     €5m+

#### Value of Personal Liquid Assets

(please refer to the FAQ for further details)

- €0 - 15k     €15k - 30k  
 €30k - 50k     €50k - 100k  
 €100k+

#### Regular Financial Commitments Per Annum

(please refer to the FAQ for further details)

- €0 - 15k     €15k - 30k  
 €30k - 50k     €50k - 100k  
 €100k+

## Part E – Identification Requirements

Under Ireland's Anti-Money Laundering and Combating the Financing of Terrorism legislation, FEXCO Stockbroking Limited is required to take specific measures to combat money laundering and the financing of terrorism including the requirements to establish the identity of each new customer and to report suspicions of money laundering or financing terrorism to An Garda Síochána and the Revenue Commissioners.

### Customer Identification Documents: Personal / Joint Account

All customers who open an account with FEXCO Stockbroking Limited must furnish suitable documentary evidence establishing identity and current permanent address. Please provide the following identification documentation for each applicant:

1. Proof of Identification: Certified\* copy of a valid passport, Irish/UK drivers licence or European Union national identity card; and
2. Original or certified\* copies of two (2) valid recent\*\* proof of address documents from different institutions i.e. utility bills (electricity, gas, telephone etc.); bank, credit union or building society statements; current house or motor policy documents; or tax/social welfare documents for each applicant.

\* Certification may be done by a practicing Solicitor, Notary or a Garda Síochána stating the copy presented to them is a true copy of the original document. Please ensure that the certification is properly stamped, signed and dated.

\*\* Address document must have been issued within the last six (6) months.

### Customer Identification Documents: Non-Personal Account

Appropriate documentation will be sought from those who wish to open corporate, pension, trust and other non-personal accounts. Please contact our Client Services Team on Lo-Call 1850 227 228 or +353 1 637 3080 for documentary requirements. **Please note we will be unable to open an account unless the correct identification documents are received. Incomplete documentation will result in a delay in opening your account.**

## Part F – Client Acceptance

I/We, the undersigned, confirm that by signing below, I/We confirm that I/We have read, understood and agree to the Terms of Business including the Order Execution Policy and Risk Disclosure Statement.

I/We understand and agree that the final decision to buy or sell securities or other financial instruments is Mine/Ours.

I/We agree that FEXCO Stockbroking Limited is authorised to give instructions and to provide information concerning Me/Us to Pershing Securities International Limited on My/Our behalf as My/Our agent on the terms contained in the Terms of Business. I/We agree that Pershing Securities International Limited is authorised to hold cash and investments for My/Our account and to transfer cash or investments from My/Our account to meet My/Our settlement or other obligations to Pershing Securities International Limited.

I/We agree to such fees and charges in accordance with FEXCO Stockbroking Limited's published rates in effect at the time the transaction is effected and I/We accept FEXCO Stockbroking Limited does not permit clients to be overdrawn or be in debit with respect to any of their accounts and that credit facilities are not afforded.

If any of the information that I have provided on this form, ceases to be correct for any reason, or no longer reflects My/Our situation, I/We will inform FEXCO Stockbroking Limited in writing.

I/We understand that the value of investments and any income derived from them may fall as well as rise, particularly in volatile market conditions, past performance may not be a reliable guide to future performance and investors may not get back the full amount invested.

Applicant (1) Name:  Applicant (2) Name:   
Signature:  Signature:   
Date:  Date:

### FOR OFFICE USE ONLY

Application Form	<input type="checkbox"/>	AML	<input type="checkbox"/>	Account Number:	<input type="text"/>
Advisory	<input type="checkbox"/>	Execution-Only	<input type="checkbox"/>	Date Setup:	<input type="text"/>
Nominee	<input type="checkbox"/>	PMA	<input type="checkbox"/>		