

Davy Select Trading Plus Account (Execution-Only) Application Form

Thank you for choosing Davy Select

The Davy Select Trading Plus Account (Execution-Only) is designed for those who are comfortable making their own investment decisions, without financial advice. The account allows you to invest in shares, funds, exchange traded funds ('ETFs'), bonds and cash.

The minimum initial amount to open an account is €500.

Before you complete this application form to open a Davy Select Trading Plus Account (Execution-Only), it is important you have taken the time to read and understand all of the account opening information including the Execution-Only Service Terms (and related documentation) which are contained in a separate document and include and incorporate the Terms & Conditions, the Appendices, the Risk Disclosure Statement, the Order Execution Policy, the Schedule of Fees & Charges, the Conflicts of Interest Policy and the Client Assets Key Information Document to ensure that the Davy Select Trading Plus Account (Execution-Only) is suitable for you.

In order to comply with the Criminal Justice (Money Laundering and Terrorist Financing) Act 2010 and the Criminal Justice Act 2013, we are required to verify the identity of each new client. It is important to note that we will not be able to open an account unless the correct documents have been received.

We would ask you to read this booklet carefully, complete, sign, enclose the appropriate identification documents and return it to **Davy Select, Davy, 49 Dawson Street, Dublin 2**. Should you have any questions, please contact us at +353 1 614 8900 or email at davysselect@davy.ie.

Proof of Identity

Please enclose **copies of TWO** of the following:

- **Current passport or passport card;**
- **Current EU driving licence; or**
- **Current EU National Identity card.**

Note: The copy document must be in date and all details must be clearly visible including the photograph and expiry date. Please do not send your original documents as we are unable to accept responsibility for the safe return of same.

For joint applications, identification documents are required for EACH applicant named on the account.

Proof of Address

Please enclose an **original of ONE** of the following:

- **Utility Bill** (for example, electricity, gas, water or phone bill) - dated within the last 6 months;
- **Financial Statement** from a regulated financial institution such as a Bank - dated within the last 6 months;
- **Social Insurance Documents** dated within the last 12 months;
- **Current household / motor insurance documents** (policy or renewal notice only) - dated within the last 12 months;
- **Revenue Commissioners** Current Balancing Statement, C2 Tax Credit or Notice of Determination of Tax Credit - dated within the last 12 months;
- **Current local authority document** (for example, refuse collection bill or water charge bill) - dated within the last 6 months;
- **Motor-Tax Renewal Form** - dated within the last 12 months; or
- **Current Health Insurance Policy (only)** - dated within the last 12 months.

For joint applications, proofs of address documents are required for EACH applicant named on the account.

Note: We are unable to accept e-statements.

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Proof of PPS (Tax Identification number)

Please enclose a **copy** of **ONE** of the following that details your PPS number:

- Payslip;
- P60, P45 or P21 Balancing Statement;
- European Health Insurance card;
- PAYE Notice of tax credits or Tax Return form; or
- Social Services card.

WARNING: The value of your investment may go down as well as up. You may lose some or all of your invested capital. This account does not constitute investment advice as it does not take into account your investment objectives, knowledge, and experience and financial situation.

If you are unable to provide any of the above documentation or if you are a Non Resident, please call +353 1 614 8900 or email at daviselect@davy

EFFECTIVE MAY 2017

YOU MUST COMPLETE ALL SECTIONS OF THIS FORM IN ORDER FOR US TO OPEN AN ACCOUNT FOR YOU.

Please indicate the type of account you would like to open:

Individual account

Joint account

1

Contact Details

INDIVIDUAL ACCOUNT

Title
.....First Name
.....Last Name
.....Home Address
.....
.....
.....*Email Address
.....Daytime Phone Number
.....*Mobile Phone Number
.....

You must provide a **daytime phone number and mobile phone number**. These will be used to contact you in the event of a problem with a trade. Your mobile number and email address are required to use our automated password reset process.

JOINT ACCOUNT

Title
.....First Name
.....Last Name
.....Home Address
.....
.....
.....*Email Address
.....Daytime Phone Number
.....*Mobile Phone Number
.....

***You will receive important information (for example Terms, Valuations, Client Asset Statements, Contract Notes etc) via our Account Correspondence Online Service (the "Service"). Further details about the Service are set out in our Execution-Only Service Terms. We will send you an email or SMS text message when important information is available for you to access. If you would prefer to receive this information in the post, please notify us in writing at Davy Select, Davy House, 49 Dawson Street, Dublin 2.**

2

Personal Details

Date of Birth (DD/MM/YYYY)
.....Country of Birth
.....Country of Citizenship
.....Country of Residence
.....Are you a US Citizen or Green Card Holder? Yes No
.....Country of Tax Residence
(please provide ALL countries in which you are tax resident)
.....Tax Identity Number(s) eg PPS, NINO, SSN
.....Date of Birth (DD/MM/YYYY)
.....Country of Birth
.....Country of Citizenship
.....Country of Residence
.....Are you a US Citizen or Green Card Holder? Yes No
.....Country of Tax Residence
(please provide ALL countries in which you are tax resident)
.....Tax Identity Number(s) eg PPS, NINO, SSN
.....

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Occupation

INDIVIDUAL ACCOUNT

Occupation
.....Business Name
.....
(Employer Name)

JOINT ACCOUNT

Occupation
.....Business Name
.....
(Employer Name)

YOU MUST COMPLETE ALL SECTIONS OF THIS FORM IN ORDER FOR US TO OPEN AN ACCOUNT FOR YOU.

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Residency

Are you currently resident in Ireland? Yes No

If **yes**, how long have you been resident in Ireland? Less than 3 years 3 – 5 years 5 - 10 years 10 years plusIf **no**, please answer the following questions:

Please confirm your reason for opening an account with an Irish institution

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Please confirm the country from which funds for your initial lodgement will be transferred to Davy

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NON-RESIDENT ACCOUNT: If the account is non-resident you must complete a Non-Resident Declaration, a Non-Resident DIRT Declaration, and a Non-Resident Dividend Withholding Tax ('DWT') Form to ensure that you receive the tax exemptions that you may be entitled to. Please call Davy Select on **01 614 8900** if you require these forms.

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Please indicate your source AND amount of funds

This refers to the funds provided for this investment. This is required under Irish money-laundering legislation.

SOURCE	Please tick appropriate box(es)	AMOUNT	Please tick one box
Salary / Bonus		Less than €25,000	
Inheritance		€25,000 to €65,000	
Savings		€65,000 to €125,000	
Redundancy		€125,000 plus	
Sale of shares			
Transfer of shares / share cert			
Other (please specify)			

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Please indicate your source of wealth

This refers to how you accumulated your total net wealth. For example, your source of funds for this investment may be as a result of a sale of shares whereas your total net worth may have been accumulated as a result of your occupation, i.e. Salary / Bonus.

SOURCE	Please tick appropriate box(es)
Salary / Bonus	Redundancy
Inheritance	Sale of shares
Savings	Transfer of stock / share cert
Investments that have matured	Other (please specify)

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NOTE: Please ensure that you advise us of any changes to your email address to ensure that you receive all relevant information.

Davy Select Trading Plus Account (Execution-Only) Declaration

By signing this declaration page you are applying to open a Davy Select Trading Plus Account (Execution-Only) and agree to the following:

Terms

I/We have read and agree to the Execution-Only Service (and related documentation) which include the Terms & Conditions, the Appendices, the Risk Disclosure Statement, the Order Execution Policy, the Schedule of Fees & Charges, the Conflicts of Interest Policy and the Client Asset Key Information Document. The Execution-Only Service Terms are applicable at the date of application and may be subsequently changed.

I/We understand that this account is provided on an execution-only basis from Davy and that Davy will not be providing me/us with investment advice or assistance. Accepting the Execution-Only Service Terms requires the following specific consents.

Arrangements for Holding Client Assets

By signing this declaration I/we hereby provide the consents specified in Section 7 of the Execution-Only Service Terms.

I/we understand and acknowledge that this declaration applies to any additional accounts opened in the future.

Order Execution Policy

I/We have read and agree to the information provided to me/us about Davy's Order Execution Policy.

Fees & Charges

I/We confirm that I/we have received details of the Davy Fees & Charges.

Risk Disclosure Statement

I/We have received the Risk Disclosure Statement, and have read this document carefully. I/We understand the risks and other significant complexities of trading in financial instruments.

Signed

INDIVIDUAL ACCOUNT HOLDER

Signature

.....

Date (DD/MM/YYYY)

.....

JOINT ACCOUNT HOLDER

Signature

.....

Date (DD/MM/YYYY)

.....

For office use only

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