

Davy Select Trading Account (Execution-Only) Application Form

Thank you for choosing Davy Select

The Davy Select Trading 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 open the account, it is important you have taken the time to read and understand all of the account opening information provided, 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 Asset Key Information Document) to ensure that the Davy Select Trading 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 +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.

Davy Select Trading Account (Execution-Only) Application Form

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.ie.

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.

***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**

JOINT ACCOUNT

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

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
.....

3

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.

4

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

.....

.....

.....

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

.....

.....

.....

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 contact Davy if you require these forms.*

5

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)			

.....

6

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)

.....

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

Your Knowledge and Experience

THIS SECTION MUST BE COMPLETED IF YOU WISH TO TRADE IN COMPLEX INSTRUMENTS.

Where you propose to trade in complex instruments we are required to consider information that you provide regarding your knowledge and experience of investing and to take that information into account in assessing whether the investment product envisaged is appropriate for you. **This includes trading in unlisted shares (grey market), warrants, futures and options, certain investment trusts, unit trusts, mutual funds, private equity and alternative investments.**

Your answers to the questions below will enable us to assess your knowledge and experience. It is also important that you take the time to read the Risk Disclosure Statement.

1. (i) How would you describe your knowledge and understanding of investment markets? (e.g. ISEQ, FTSE, etc.)

Limited¹

Good²

Informed³

Please give details

.....
.....

(ii) Please give us details of the investments you have made in the last 12 months

(excluding details of investments made where you have received financial advice).

	Yes/No	Frequency (e.g. daily, weekly, monthly, etc.)	Amount
Equities
Fixed Income
Property
Private Equity
Leveraged Trading
Other Alternative Investments

Do you currently consult with a professional advisor for investment advice? Yes No (if yes, please give details)

Name

Address

.....

Relationship

2. Do you hold any relevant investment qualifications and are you a member of a professional body?

.....
.....

3. Do you currently work in the financial service sector or have you previously? Please give details.

.....
.....

¹ Limited: Little prior experience of investments having mainly held money on deposit until now; limited knowledge of investments and the relationship between returns and risk.

² Good: Some knowledge and experience of investments; understand the different investment types and that the investments that offer higher returns generally bring higher risks.

³ Informed: Knowledge and experience of a broad range of investment types and their risks having actively invested in them over a period of time; or have worked in the financial sector.

Davy Select Trading Account (Execution-Only) Declaration

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

TERMS

I/We have read and agree to the Execution-Only Service Terms (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.

Commission & Other Charges

I/We confirm that I/we have received details of the Davy as contained in the Execution-Only Service Terms.

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.

Applicant's Name Applicant's Signature Date (DD/MM/YYYY)	Applicant's Name Applicant's Signature Date (DD/MM/YYYY)
---	---

For office use only

--	--	--	--	--	--	--	--	--	--

J&E Davy, trading as Davy, is regulated by the Central Bank of Ireland. Davy is a member of the Irish Stock Exchange and the London Stock Exchange. In the UK, Davy is authorised by the Central Bank of Ireland and authorised and subject to limited regulation by the Financial Conduct Authority. Details about the extent of our authorisation and regulation by the Financial Conduct Authority are available from us on request.