

# Investment Profile for Complex Instruments

**This form must be completed if you wish to trade in complex instruments.**

Davy Client Account Reference         Account Name \_\_\_\_\_

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.

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

- Limited<sup>1</sup>                                       Good<sup>2</sup>                                       Informed<sup>3</sup>

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 <i>(e.g. daily, weekly, monthly, etc.)</i>	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.**

\_\_\_\_\_  
\_\_\_\_\_

<sup>1</sup> 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.

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

<sup>3</sup> 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.