

# **TELEPHONE TRADING ACCOUNT (EXECUTION- ONLY) APPLICATION FORM**

This Application Pack is intended for those individuals who have chosen their pension product without any assistance from Davy.

# Davy Select Telephone Trading Account (Execution-Only) Application Form

## Thank you for choosing Davy Select

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

Before you complete this application form to open a Davy Select Telephone Trading Account (Execution-Only), it is important you have taken the time to read and understand all of the account opening documentation contained in the Execution-Only Service Terms booklet to ensure that the Davy Select Telephone Trading Account (Execution-Only) is suitable for you. The documents included in this booklet are the Execution-Only Service Terms, the Appendices, the Risk Disclosure Statement, the Order Execution Policy, the

Schedule of Fees & Charges, the Conflicts of Interest Policy, the Privacy Notice and the Client Asset Key Information Document.

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 (listed on page 1) 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 [davyselect@davy.ie](mailto:davyselect@davy.ie).

# Identification Requirement

## 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 **originals** of **TWO** 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;
- **Motor-Tax Renewal Form** - dated within the last 6 months; or
- **Current Health Insurance Policy** (only) - dated within the last 12 months

**If you wish to deal in US stocks you will need to complete a W-8BEN form. Please contact please call +353 1 614 8900 or email at [davyselect@davy.ie](mailto:davyselect@davy.ie)**

**For joint applications, proofs of address documents are required for EACH applicant named on the account. We are unable to accept e-statements.**

# Identification Requirement

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## PERSONAL DETAILS

### INDIVIDUAL ACCOUNT

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

### JOINT ACCOUNT

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

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

### Online Services

You have the option of choosing to receive important information (for example, Terms, Valuations, Client Asset Statements and Contract Notes, etc.) by accessing it online or by receiving it in paper form. Please refer to the terms and conditions for further information. Please indicate your preference by choosing from the options below:

If you would prefer to receive important information **online**, please tick here

(Please note that if you choose this option you will receive a Username & Password by post & you will not receive a paper copy of these reports).

If you would prefer to receive important information in the **post**, please tick here

**If you do not indicate a preference, you will receive your reports online.**

*For office use only*

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## PERSONAL DETAILS

Date of Birth (DD/MM/YYYY)

.....

Country of Birth

.....

Country of Citizenship

.....

Nationality\*

.....

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) e.g. PPS, NINO, SSN

.....

Date of Birth (DD/MM/YYYY)

.....

Country of Birth

.....

Country of Citizenship

.....

Nationality\*

.....

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) e.g. PPS, NINO, SSN

.....

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## OCCUPATION

Occupation

.....

Business Name

.....

(Employer Name)

Occupation

.....

Business Name

.....

(Employer Name)

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## RESIDENCY

Are you resident in Ireland?  Yes  NoIf **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

.....

.....

.....

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

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### SOURCE AND AMOUNT OF FUNDS

Please indicate your source AND amount of funds (This refers to the funds provided for investment).

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

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### SOURCE OF WEALTH

Please indicate your source of wealth (This refers to how you have accumulated your wealth).

SOURCE	(Please tick appropriate box(es))		
Salary / Bonus	<input type="radio"/>	Sale of shares	<input type="radio"/>
Inheritance	<input type="radio"/>	Transfer of stock / share cert	<input type="radio"/>
Savings	<input type="radio"/>	Other (please specify)	<input type="radio"/>
Redundancy	<input type="radio"/>		

.....

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

## Your Knowledge and Experience

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.)

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 (e.g. daily, weekly, monthly, etc.)	Amount
Equities	Yes <input type="radio"/>	No <input type="radio"/>	.....	.....
Fixed Income	Yes <input type="radio"/>	No <input type="radio"/>	.....	.....
Property	Yes <input type="radio"/>	No <input type="radio"/>	.....	.....
Private Equity	Yes <input type="radio"/>	No <input type="radio"/>	.....	.....
Leveraged Trading	Yes <input type="radio"/>	No <input type="radio"/>	.....	.....
Other Alternative Investments	Yes <input type="radio"/>	No <input type="radio"/>	.....	.....

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

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.

# Davy Select Telephone Trading Account (Execution-Only) Declaration

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

## Terms

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

By providing Davy with the information requested, I/we acknowledge and explicitly consent to the processing of my/our data for the purpose described.

I/we also confirm that the person(s) above has been notified that their personal data is being held for these purposes by Davy.

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 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.

**If you do not wish your shares to be registered in a nominee company of the Davy Group or in a segregated account with an eligible custodian, please tick here**

## Information via the website

I/We consent to Davy providing the information described below to me/us via its website.

- General information about Davy and its services
- Information about the nature and risks of certain financial instruments

- Information concerning the safeguarding of financial instruments and holding of client money
- Information on costs and associated charges
- Information about Davy's execution policy

## Order Execution

I/We have read and agree to the 'Information about Davy's Order Execution Policy' provided to me/us in the Terms. I/We consent to Davy executing orders on my/our behalf outside a Regulated Market, Multilateral Trading Facility or Organised Trading Facility.

## Commission & Other Charges

I/We confirm that I/we have received details of the Execution-Only Fees and Charges schedule.

## 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.

## Conflicts of Interest

I/We have received details of Davy's Conflicts of Interest Policy.

## Let us Stay in Touch

By ticking this I am/we are giving Davy permission to keep me/us informed about our products and services.

At Davy we will never share your details with third parties for marketing purposes. To make our marketing more relevant to you, we may analyse the information we hold about you. You have the right at any time to change your mind regarding how we use your information and can opt out of marketing by emailing [optout@davy.ie](mailto:optout@davy.ie), or writing to **FREEPOST, The Head of Data Protection, Group Risk, Davy, 49 Dawson Street, Dublin 2.**

Please note that by opting out of marketing, all your Davy accounts will automatically be opted out too. The Davy Group Privacy Notice can be found at [www.davy.ie](http://www.davy.ie).

## SIGNED

### ACCOUNT HOLDER

Signature

.....

Date (DD/MM/YYYY)

.....

### JOINT ACCOUNT HOLDER

Signature

.....

Date (DD/MM/YYYY)

.....



**Dublin Office**

Davy House  
49 Dawson Street  
Dublin 2  
Ireland

T +353 1 679 7788  
dublin@davy.ie

**Belfast Office**

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7 Donegall Square North  
Belfast BT1 5GB  
Northern Ireland

T +44 28 90 310 655  
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