

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

## Thank you for choosing Davy Select

Please read the accompanying Execution-Only Service Terms (and related documentation) which 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.

We are obliged by law to obtain certain information from our clients. 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](mailto: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 **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;
- **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.**

**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 [davysselect@davy.ie](mailto:davysselect@davy.ie).

EFFECTIVE MAY 2017

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

**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

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## Contact Details

### INDIVIDUAL ACCOUNT

Title

.....

First Name

.....

Last Name

.....

Home Address

.....

.....

.....

\*Email Address

.....

Daytime Phone Number

.....

\*Mobile Phone Number

.....

### JOINT ACCOUNT

Title

.....

First Name

.....

Last Name

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Home Address

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.....

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\*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 is required to use our automated password reset process.

### 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.**

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## 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

.....

.....

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

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## Occupation

Occupation

Occupation

Business Name

Business Name

(Employer Name)

(Employer Name)

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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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## 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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# 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 (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 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

### 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 Commission & Other 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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