

**NCB**

*Independent & International*

# Wealth Management Application Form

NCB Stockbrokers Limited is a member of the Irish Stock Exchange and the London Stock Exchange.  
NCB Stockbrokers Limited is regulated by the Central Bank of Ireland.

NCB Stockbrokers Limited is a 'Qualifying Fund Manager' (QFM) as defined in Section 784A, Taxes Consolidation Act, 1997.

# APPLICATION FORM

## Personal Details

PLEASE COMPLETE USING BALL POINT PEN IN BLOCK CAPITALS

Name:

Name (Joint a/c):

Address:

Tel No. (Home):

Tel No. (Work):

Tel No. (Mobile):

Fax:

Irish Resident  US Resident  Other (please specify)  \_\_\_\_\_

E-mail Address: \_\_\_\_\_

Date of Birth (1st named): \_\_\_\_/\_\_\_\_/\_\_\_\_ Marital Status: \_\_\_\_\_ Nationality: \_\_\_\_\_

Date of Birth (2nd named): \_\_\_\_/\_\_\_\_/\_\_\_\_

Occupation: \_\_\_\_\_

### Bank Details

Name of Bank: \_\_\_\_\_

Address of Bank: \_\_\_\_\_

Account Name: \_\_\_\_\_

Sort Code \_\_\_\_ - \_\_\_\_ - \_\_\_\_ Account No

IBAN

**Under the Markets in Financial Instruments Directive (MiFID), NCB Stockbrokers Limited (NCB), must request the information set out below in order to assess the suitability of the services that we are to provide to you.**

## Summary of Financial Position

	Self	Partner (if joint account)	
<b>Total Annual Income</b>	€ _____ p.a.	€ _____ p.a.	
<b>Total Annual Financial Commitments</b>	€ _____ p.a.	€ _____ p.a.	
<b>Are you:</b>	<input type="checkbox"/> Self-employed	<input type="checkbox"/> Company Employee	<input type="checkbox"/> Proprietor/Director <input type="checkbox"/> Retired
<b>Pension Type:</b>	<input type="checkbox"/> Company	<input type="checkbox"/> Self - employed	<input type="checkbox"/> Self-administered <input type="checkbox"/> None
<b>What is your provisional retirement date?</b>	_____		
<b>Please give initial investment amount</b>	€ _____		
<b>Source of funds:</b>	<input type="checkbox"/> Savings	<input type="checkbox"/> Inheritance	<input type="checkbox"/> Sale of Property
	<input type="checkbox"/> Sale of business	<input type="checkbox"/> Rental Income	<input type="checkbox"/> Other, please specify _____

## Value of Personal Assets

Please indicate your estimated net worth:

< €1m     
  €1m - €3m     
  €3m - €5m     
  €5m - €10m     
  > €10m

Principal Private Residence Value      € \_\_\_\_\_      Net Value      € \_\_\_\_\_

Investment Properties Value      € \_\_\_\_\_      Net Value      € \_\_\_\_\_

Cash Deposits      € \_\_\_\_\_

Equities      € \_\_\_\_\_

Bonds      € \_\_\_\_\_

Investment Funds      € \_\_\_\_\_

Pension Fund      € \_\_\_\_\_

Other Assets      € \_\_\_\_\_

**Total Net Value of Assets**      € \_\_\_\_\_

## Investment Objectives

### 1. Investment Objective

Please indicate which of the following statements best describes your requirements:

- a) Extremely risk averse.  
 b) Low risk tolerance.  
 c) Moderate growth with limited risk.  
 d) Capital growth with medium risk.  
 e) Maximum growth with high risk.

### 2. Risk Profile

How would you describe the risk profile of your **existing** assets?

1       2       3       4       5   
 Low      Medium      High

### 3. Do you require regular income from your investment with us:

Yes       € \_\_\_\_\_ p.a.  
 No

### 4. Time Horizon

How long are you planning to invest your money for?     
 < 1year     
 1-3 years     
 3-5 years     
 5 years+

### 5. Permitted Investment Instruments

Please tick which instruments you wish to invest in.

€ denominated equities	<input type="checkbox"/>	Other equities	<input type="checkbox"/>
Cash deposits	<input type="checkbox"/>	Government bonds	<input type="checkbox"/>
Corporate bonds	<input type="checkbox"/>	Derivatives, incl. CFDs	<input type="checkbox"/>
Unquoted Investments	<input type="checkbox"/>	Other, please specify	<input type="checkbox"/>

### 6. Other investment considerations

Please specify if there is any other information, including any restrictions that you feel may be relevant to your investment objectives e.g. ethical investment only.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## Knowledge and Experience

	Shares	Bonds	Derivatives	Investment Funds	Other instruments
Have you dealt in this instrument before?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	Please specify:
If yes, please answer questions below:					
Please specify type:	N/A	<input type="checkbox"/> Corporate Bonds <input type="checkbox"/> Government Bonds	<input type="checkbox"/> CFDs <input type="checkbox"/> Options <input type="checkbox"/> Warrants <input type="checkbox"/> Futures <input type="checkbox"/> Other		
In what capacity?	<input type="checkbox"/> Execution only <input type="checkbox"/> Advisory <input type="checkbox"/> Managed Portfolio	<input type="checkbox"/> Execution only <input type="checkbox"/> Advisory <input type="checkbox"/> Managed Portfolio	<input type="checkbox"/> Execution only <input type="checkbox"/> Advisory <input type="checkbox"/> Managed Portfolio	<input type="checkbox"/> Execution only <input type="checkbox"/> Advisory <input type="checkbox"/> Managed Portfolio	<input type="checkbox"/> Execution only <input type="checkbox"/> Advisory <input type="checkbox"/> Managed Portfolio
How would you describe your knowledge and understanding of this financial instrument?	<input type="checkbox"/> 1 Basic <input type="checkbox"/> 2 <input type="checkbox"/> 3 Good <input type="checkbox"/> 4 <input type="checkbox"/> 5 Extensive	<input type="checkbox"/> 1 Basic <input type="checkbox"/> 2 <input type="checkbox"/> 3 Good <input type="checkbox"/> 4 <input type="checkbox"/> 5 Extensive	<input type="checkbox"/> 1 Basic <input type="checkbox"/> 2 <input type="checkbox"/> 3 Good <input type="checkbox"/> 4 <input type="checkbox"/> 5 Extensive	<input type="checkbox"/> 1 Basic <input type="checkbox"/> 2 <input type="checkbox"/> 3 Good <input type="checkbox"/> 4 <input type="checkbox"/> 5 Extensive	<input type="checkbox"/> 1 Basic <input type="checkbox"/> 2 <input type="checkbox"/> 3 Good <input type="checkbox"/> 4 <input type="checkbox"/> 5 Extensive
How often do you deal in this financial instrument?	_____ p.a.	_____ p.a.	_____ p.a.	_____ p.a.	_____ p.a.
Average transaction size	€ _____	€ _____	€ _____	€ _____	€ _____
How long have you been dealing in this financial instrument?	_____ years	_____ years	_____ years	_____ years	_____ years

Do you hold any qualifications that are relevant to making investment decisions or are you/were you currently/formerly employed in the financial services sector?

Yes  Please give details: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

No

## Authorised Financial Advisors

By completing this section you are authorising NCB to deal with any queries from the advisors as named by you.

### Accountant/Tax Advisor

Name: \_\_\_\_\_

Address: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

### Solicitor

Name: \_\_\_\_\_

Address: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

## Identification

In order to comply with the Criminal Justice Act 2010 in relation to Moneylaundering regulations we require one type of identification and two forms of address verification. Please attach **one** type of identification from Section A below and any **two** from Section B below. If you wish to open a joint account both parties must provide ID.

### Section A (one required)

An original valid Passport (or stamped certified copy\*), or  
 An original valid Irish Drivers Licence (or stamped certified copy\*)

\* Must be stamped and certified by An Garda Siochana, a bank official, a solicitor or a member of the judiciary.

### Section B (any two documents required)

Original utility bill(s) issued within the last six months  
 Original bank statement(s) issued within the last six months

- For non-residents we also require a bank reference letter.
- For Limited Companies/Corporate bodies additional documentation will be required, details of which are available from NCB.

## Account Options

Please tick the account option which suits your requirements

Refer to our current Schedule of Commissions & Charges for the costs associated with each of these accounts.

OPTION ONE

### Standard Nominee Account - Advisory

This is a designated nominee account which will hold securities electronically on your behalf, as beneficial owner. No certificates are issued and most of the routine administration associated with share dealing is handled by NCB. You can sell shares held in your nominee account without delay. Your account manager can offer advice in relation to investment decisions.

OPTION TWO

### Portfolio Managed Account - Advisory

In addition to the Standard Nominee Account outlined above, you will be provided with detailed quarterly valuations and regular reviews of your portfolio, together with access to NCB's comprehensive research offering. The account is designed for clients with investments in excess of €250,000.

OPTION THREE

### Portfolio Managed Account - Discretionary

With a Discretionary account you will be provided with access to NCB's dedicated investment management team who have responsibility for managing your portfolio of assets. This service is particularly suitable for clients who do not have the time to be actively involved in day-to-day investment decisions. While changes can be made without prior consultation, any investment decisions will be based on the strict investment parameters agreed with you at the outset. You will receive detailed quarterly valuations and regular reviews of your portfolio. This type of account is designed for clients with investments in excess of €500,000.

## Declaration

I/We hereby apply to open an account with NCB and I/we have read and fully understand the Terms of Business that accompany this application and agree to be bound by same. I/We am/are aware that the Terms of Business are applicable at the date of this application and may subsequently be revised.

I/We have read NCB's Order Execution Policy and confirm that I/we consent to the policy.

I/We understand that client money may be pooled with those of one or more clients and I/we also understand that client money may be held with an eligible credit institution or relevant third party outside of Ireland.

I/We understand that securities may be held by NCB through a Nominee Account on my/our behalf and that I/we will remain the beneficial owners of such securities. I/We also understand that they may be held by a third party custodian outside of Ireland.

Under the Data Protection Act 1988, I/we agree that the information provided by me/us may be held by NCB and used for the purposes registered under the Data Protection Act 1988, including general business purposes, credit decisions and marketing.

I/We declare that the information supplied in this application is correct. I/We agree that if any of this information should change, I/We will inform you in writing without delay.

**Signature of Client:** \_\_\_\_\_ **Date:** \_\_\_\_ / \_\_\_\_ / \_\_\_\_

**Signature of Joint Account Holder:** \_\_\_\_\_ **Date:** \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Please return this Application Form together with the relevant forms of identification as requested to:  
NCB Stockbrokers Limited, Wealth Management Division, 3 George's Dock, IFSC, Dublin 1.

## Joint Account Mandate (Please tick one box for Joint Accounts)

### Investment Instructions

NCB will be entitled to act on the investment instructions, of any of the named parties to this Account, unless otherwise directed in writing.

### Bank Transfers/Cheque requests (Please tick one box for Joint Accounts)

We confirm that any instruction regarding the transfer of funds (including to a third party), can be accepted by NCB from any of the named parties to this Application.

OR

We confirm that any instruction regarding the transfer of funds (including to a third party), can only be accepted by NCB from all of the named parties to this Application.

**Signature of Client:** \_\_\_\_\_ **Date:** \_\_\_\_ / \_\_\_\_ / \_\_\_\_

**Signature of Joint Account Holder:** \_\_\_\_\_ **Date:** \_\_\_\_ / \_\_\_\_ / \_\_\_\_  
(all signatures required)

## For Official Use Only

Retail  Professional

Client introduced by: \_\_\_\_\_

CR: \_\_\_\_\_ %

Dealer appointed: \_\_\_\_\_

AAC: Eur \_\_\_\_\_

### Checklist

- Valid Passport or valid Irish Drivers Licence received.
- Two recent utility bills or other forms of address verification received.
- Application Form fully completed.
- IRS requirements in place, i.e. clarification of clients residency and ID received.

AMC: Eur \_\_\_\_\_

CL: Eur \_\_\_\_\_

VF: \_\_\_\_\_

V.CYC: \_\_\_\_\_

Add to ML  Add to IRS

Signed: \_\_\_\_\_  
Dealer

Date: \_\_\_\_ | \_\_\_\_ | \_\_\_\_

Signed: \_\_\_\_\_  
Money Laundering/IRS

Date: \_\_\_\_ | \_\_\_\_ | \_\_\_\_

Signed: \_\_\_\_\_  
Authorised by

Date: \_\_\_\_ | \_\_\_\_ | \_\_\_\_

NCB Account Number allocated: \_\_\_\_\_