

NCB

Independent & International

Wealth Management Corporate Account 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 Financial Regulator.

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

APPLICATION FORM

Company Details

PLEASE COMPLETE USING BALL POINT PEN IN BLOCK CAPITALS

Company Name:

Contact Name:

Address:

Tel No:

Tel No. (Mobile):

Fax:

E-mail Address:

Country of Registration:

Date of Incorporation:

Business Activity:

Bank Details

Name of Bank:

Address of Bank:

Account Name:

Sort Code - -

Account No

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

Current Net Assets € as at / /

Most recent profit/loss after tax € as at / /

Have you provided latest financial statements Yes No

Type of Company Investment Trading

Company Structure Limited Liability Unlimited Liability Partnership

Charity Other (please specify)

Analysis of Company Assets

Cash Deposits € _____
Equities € _____
Bonds € _____
Investment Funds € _____
Property € _____
Other Assets € _____
Total Net Value of Assets € _____

Please specify: _____

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

Cash deposits

Corporate bonds

Unquoted Investments

Other equities

Government bonds

Derivatives, incl. CFDs

Other, please specify

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
Has the Company 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 the Company's Officers' 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 does the Company deal in this financial instrument?	_____ p.a.	_____ p.a.	_____ p.a.	_____ p.a.	_____ p.a.
Average transaction size	€ _____	€ _____	€ _____	€ _____	€ _____
How long has the Company been dealing in this financial instrument?	_____ years	_____ years	_____ years	_____ years	_____ years

Do the Directors'/Officers' of the Company hold any qualifications that are relevant to making investment decisions or are they/were they 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 1994 in relation to Moneylaundering regulations we require the following documents from you:

- A copy of the Certificate of Incorporation of the Company
- A copy of the Memorandum and Articles of Association of the Company
- A mandate of the board of directors, which must be signed by a minimum of 2 directors, authorising NCB to set up the account and naming those authorised to act on the account.

In addition we will require **one** type of identification from Section A below and any **two** from Section B for the two Directors, and any other individual(s) nominated to act on behalf of the company.

Section A (one required)

An original valid Passport (or stamped certified copy*), or

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

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

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

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 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 all foreign securities will 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 Director: _____ **Date:** ____ / ____ / ____

Signature of Director: _____ **Date:** ____ / ____ / ____

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

Wealth Management Services

Other Wealth Management services include:

- Independent Investment Advice
- Portfolio Management
- Stockbroking
- Retirement Planning
- Private Equity
- Cash Management
- Investment Funds
- Structured Products
- Alternative Investments
- Approved Share Schemes

If you would like further information about any of these services, please talk to your Account Manager or telephone our Wealth Management Division on +353 1 611 5611.

For Official Use Only

Client introduced by: _____

CR: _____ %

Dealer appointed: _____

AAC: Eur _____

Checklist

- Valid Passport or valid Irish Drivers Licence received (2 Directors)
- Two recent utility bills or other forms of address verification received (2 Directors)
- Application Form fully completed
- IRS requirements in place, i.e. clarification of clients residency and ID received
- Memorandum and Articles
- Certification of Incorporation
- Mandate Letter

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: _____