

## Pension Accounts held with 3rd Party Trustees

INTERNATIONAL

It is a prerequisite for providing services to you that you supply us with accurate, comprehensive and current details about you. Please complete all sections of this form diligently.

This form relates to services in relation to your Pension investment account. If you wish for services to be provided in relation to personally held funds or in relation to assets of other schemes, please complete the relevant form(s).

The information sought below is also utilised for Anti-Money Laundering purposes and for Conexim Advisors Ltd ("**Conexim**") to assess the suitability and/or appropriateness (where relevant) of investments or services that may be provided to you.

### Checklist

**(Before returning this application please ensure that you have all the relevant documentation)**

#### 1. Proof of ID (one of the following) Check

- |  |                          |
|--|--------------------------|
| a. Current (i.e. in date) and valid passport | <input type="checkbox"/> |
| b. Current, full and valid driving license   | <input type="checkbox"/> |

#### 2. Proof of address (Two of the following & less than 3 months of the issue date) Check

- |  |                          |
|--|--------------------------|
| a. A recent utility bill for the applicant's home address<br>(landline phone, gas, electricity, water) | <input type="checkbox"/> |
| b. Bank / Building Society financial statement   | <input type="checkbox"/> |
| c. Tax Authority documents (these three only):   |                          |
| i. Tax Credit Statement  | <input type="checkbox"/> |
| ii. Tax Authority Balancing statement  | <input type="checkbox"/> |
| iii. Tax Authority Tax Certificate   | <input type="checkbox"/> |
| d. Household / Motor Insurance Certificate   | <input type="checkbox"/> |

#### 3. Confirmation of Tax Identification Number (National Insurance Number) Check

Most recent relevant Tax Authority documentation

**Copies of the photo ID, proof of address and proof of Tax Identification Number ("TIN") must be certified by an accountant, solicitor, notary or authorised representative of a regulated entity.**

#### 4. Completed and Signed Application form Check

- |   |                          |
|---|--------------------------|
| This application form, fully completed and signed           | <input type="checkbox"/> |
| W-8BEN-E Completed hard copy to be obtained from Trustee    | <input type="checkbox"/> |
| Tax Authority Approval Letter to be obtained from Trustee   | <input type="checkbox"/> |
| Copy of Trust Deeds for Pension to be obtained from Trustee | <input type="checkbox"/> |

#### 5. Asset Transfer Form Check

Completed Asset Transfer Form/details (if applicable)

## Financial Advisor Details

Advisor Name	Telephone
Advisor Firm	Email
Address	

## Personal Details of Beneficiary

Title	First name
Surname	Gender
Address	TIN/NI Number
	Occupation
	Home phone
Date of birth	Mobile phone
Place of birth	Work Phone
Email address	
Are you a US citizen or resident in the US for tax purposes?	<input type="checkbox"/> Yes* <input type="checkbox"/> No

*\*Please note that we may require additional information and may be unable to supply you with certain services due to custodian restrictions and FATCA requirements.*

## Pensioner Trustee Details

Pension Name and Type

Pensioner Trustee Name

Tax ID Number

Contact/Presenter Details

Position/Title

Email Address

Phone Number

## Additional Tax Identification Details

Please indicate your country of tax residence (if resident in more than one country please detail all countries of tax residence and associated taxpayer identification numbers ('TIN')).

Country Of Tax Residency	Tax ID Number
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Our obligations under the Taxes Consolidation Act 1997 require that we collect certain information about each investors tax arrangements. This is to comply with the Common Reporting Standard developed by the Organisation for Economic Co-operation and Development ('OECD') and approved on 15 July 2014.

For further information on FATCA or CRS please refer to your relevant Tax Authority or the Irish Revenue website at <http://www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx>

You can also check [www.conexim.ie/crs-faq/](http://www.conexim.ie/crs-faq/) for a short FAQ which outlines the reasoning behind collection of this additional information.

**If any of the information above changes, regarding the beneficiaries tax residency or FATCA/CRS classification, please notify us of these changes immediately.**

## Pension Bank Account Details

*Note: these details are required so we can transfer monies electronically from your investment account to your pension bank account. Please note we cannot transfer monies to 3rd party accounts.*

Account name

Name of Bank / Building Society

Address of Bank / Building Society

IBAN No

Swift/BIC

## Additional Information

Is the beneficiary also a member trustee on this pension?

Yes  No

Are there additional corporate or natural persons acting as a Trustee or otherwise exercising control over this account?

Yes  No


If you have answered YES to any of the above please provide the relevant details:

## Investment Instruction




I confirm that I wish to make this investment on an execution-only basis with Conexim. I understand that this means that Conexim will provide its services following my request and without having ascertained whether the service is suitable or appropriate for me.

I confirm that I do not wish to provide any financial or other personal information to Conexim to enable it to determine whether the service is appropriate for me.

**Please select only ONE. For additional investment instructions please detail choices overleaf.**

 <b>Dimensional</b> Research Based Approach utilising Dimensional Funds	<b>Name</b>	<b>Tick to select</b>	<b>Amount</b>	<b>ISIN</b>
	<i>Dimensional Ultra Defensive *</i>			see Dimensional KFD
	<i>Dimensional Defensive *</i>			see Dimensional KFD
	<i>Dimensional Moderate *</i>			see Dimensional KFD
	<i>Dimensional Balanced *</i>			see Dimensional KFD
	<i>Dimensional Growth *</i>			see Dimensional KFD
	<i>Dimensional Equity Focused *</i>			see Dimensional KFD
	<i>Dimensional Targeted Equity *</i>			see Dimensional KFD

 <b>ML CAPITAL</b> Ivy+ Risk Managed Funds	<b>Name</b>	<b>Tick to select</b>	<b>Amount</b>	<b>ISIN</b>
	<i>Ivy+ Balanced Growth C Institutional Eur</i>			IE00BYQ86C95

 <b>global allocation</b>  	<b>Name</b>	<b>Tick to select</b>	<b>Amount</b>	<b>ISIN</b>
	<i>Global Allocation Cautious</i>			see Global Allocation Morningstar KFD
	<i>Global Allocation Moderately Cautious</i>			see Global Allocation Morningstar KFD
	<i>Global Allocation Morningstar Moderate</i>			see Global Allocation Morningstar KFD
	<i>Global Allocation Moderately Adventurous</i>			see Global Allocation Morningstar KFD
	<i>Global Allocation Morningstar Adventurous</i>			see Global Allocation Morningstar KFD

\* Minimum investment in a Dimensional Model Portfolio is €50,000

## Additional Instructions

If you have any direct investment instructions, please indicate these below. Any comments detailed below will form part of the instruction on the account.

Name of fund, share, product	ISIN / Sedol / Ticker	Amount or % of money to invest
		£/€
		£/€
		£/€
		£/€
		£/€
		£/€
		£/€
		£/€

## Rebalancing Instructions within Model Portfolios

I note that in some of the model portfolios available in order to maintain the asset allocation discipline of my chosen portfolio after I have invested Conexim will, from time to time, need to rebalance the holdings in my portfolio to the percentage allocations at the date of my original investment ("**Original Asset Allocation**"). I note that a rebalance will need to be effected on my behalf where the asset allocations in my portfolio drift by the amount specified in the Key Features Document ("**Asset Allocation Drift**") relative to that model portfolio. This pre-authorized rebalance to the Original Asset Allocation will normally be effected by Conexim at 10am (Irish time) on the first business day following the occurrence of the Asset Allocation Drift (the "**Rebalance Date**") provided the Asset Allocation Drift has still occurred at that time.

Where Asset Allocation Drift has occurred in my portfolio, I HEREBY INSTRUCT Conexim to effect, on the Rebalance Date, the number of sale and buy instructions of units in each of the funds in the portfolio, based on the published net asset value of the funds on the Rebalance Date, as are required to restore each of the holdings in the portfolio to my Original Asset Allocation.

I understand and acknowledge that I retain absolute discretion over all investment decisions and that I may by notice in writing to my financial advisor and/or Conexim rescind this/these standing rebalancing instruction(s).

I understand that the above pre-authorized rebalancing instruction(s) is/are designed to maintain the asset allocation discipline of my chosen portfolio after I have invested. I understand that the Original Asset Allocation may change due to market movements and the above pre-authorized rebalancing instruction is intended to restore my investment to the Original Asset Allocation in order to keep my portfolio consistent with my risk appetite as I have described it to my financial advisor.

Should I wish to change into a different portfolio with different asset class allocations, this can be facilitated but will require a new instruction from me accepting the changes in the risk/return characteristics of the chosen portfolio.

## Consent and Declaration

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### 1. Declaration

I declare that the information provided by me on this form is correct and I undertake to immediately inform my financial advisor should any of the information change.

### 2. Receipt and understanding of Terms of Business

This is my application to open an account and for Conexim to provide services, as set out in the Terms of Business (the "Terms").

I have received the Terms of Business in relation to the services and have read them carefully. In particular, I confirm that I understand and agree to the following terms, policies and statements, i.e. the Risk Disclosure Statement, Summary Order Execution Policy, Summary Conflicts of Interest Policy and 'The Pershing Agreement'.

### 3. Receipt of Clients Assets Key Information Document ("CAKID")

I confirm I have received a CAKID relating solely to the client assets which Conexim instructs PSIL to provide safe custody and nominee services on your behalf and outlines the Client Asset Regulations as they pertain to Pershing Securities International Limited only.

### 4. Invitation to treat

I understand that my completing and submitting this form and associated documents (if any) is an invitation to treat and that Conexim, Pershing Securities International Ltd ("PSIL") and Pershing Securities Ltd ("PSL") are not bound by the Terms until such times as a welcome letter is communicated to me and my advisor, an account opened in respect of my investments and funds contributed or in specie transfer of existing funds, shares, or product effected. I further note that the Terms may subsequently change as provided for in the Terms.

### 5. Investor Declaration

I confirm that I have taken such professional advice as appropriate in connection with the quality, suitability and appropriateness of the investments provided for inclusion in my portfolio. I understand that this means that Conexim will provide their services following my request and without having ascertained whether the service is suitable or appropriate for me and that their services may be provided on an "execution-only" basis. Where Conexim rebalance investments within a model portfolio I confirm that such rebalancing is based on the pre-authorized rebalancing instruction as detailed in the model portfolio guides, which I have received a copy of, and that such rebalancing does not imply that Conexim is making an assessment of suitability or appropriateness for the purposes of providing services to me and if any discretion is employed it is only to rebalance the portfolio to remain consistent with the characteristics for each model portfolio as specified in the model portfolio guides.

### 6. Express consent to execute order outside of regulated market or multilateral trading facility

**Where I have requested that an order be executed in an instrument admitted to trading on a Regulated Market ("RM") or Multilateral Trading Facility ("MTF"), then I acknowledge that PSL may execute such order outside an RM or MTF in accordance with PSL's execution policy and I hereby give my consent for such execution.**

### 7. Fees, commissions, charges

I have received details of the fees, commissions and charges in relation to the services and I agree to these. In doing so, I confirm that Conexim has explicit permission to deduct such amounts from my account to satisfy any indebtedness to Conexim, PSIL, any nominated financial advisor or any 3rd party nominated by you and notified to us by you.

### 8. Taxation

I confirm that no representations have been made to me and I rely on no confirmations or actions by Conexim regarding the tax treatment or any tax advantage understood by me as applicable. To this end I will have to take my own, separate tax advice.

### 9. W-8BEN-E

I understand that I will be unable to trade in US securities until a correctly completed W-8BEN-E form has been submitted and lodged with the appropriate withholding agent. I understand that while W-8BEN-E form may confer certain reliefs and exemptions with regards to withholding tax under the terms of the Double Taxation Agreement between Ireland and the United States, it is not the responsibility of my advisor or Conexim to claim or secure any such reliefs or exemptions or notify me should such reliefs or exemptions not be available. To that end, I will take my own tax advice.

## 10. Contract notes

I understand that I will be able to access valuations and contract note summaries online via the client portal.  
Should you wish to receive hard copy contract notes please contact us.

## 11. FATCA / CRS Self-Certification Declaration

By opening this account and signing below, the beneficial owner(s) represents and warrants that he/she/it is not a US person for the purposes of US Federal income tax and that he/she/it is not acting for, or on behalf of, a US person. A false statement or misrepresentation of tax status by a US person could lead to penalties under US law. If your tax status changes or you become a US citizen or resident, you must notify us immediately.

I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete. I acknowledge that the information contained in this form and information regarding the beneficial owner(s) may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the beneficial owner(s) may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information. I undertake to advise the recipient promptly and provide an updated Self-Certification form where any change in circumstances occurs which causes any of the information contained in this form to be incorrect.

## 12. Advisor Fees

The charges payable to my financial advisor which will be levied and deducted from my account are:

**Implementation Charge (£/€ or %)**

**Annual Charge (£/€ or %)**

I hereby consent to the deduction of these charges from my account(s). The implementation charge will be deducted once cleared funds are received into my account, and the annual charge will be deducted quarterly in arrears at the end of each calendar quarter. Should I close my account within a charging period, a charge will be made on pro-rata basis based on the average amount of holdings in the account during the period. I acknowledge receipt of a charging schedule which details the charges levied by Conexim in relation to the services.

## Consent and Declaration to items 1 to 12 above

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Applicant Signature

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Print Name

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Date

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Trustee Authorised Signature(s)

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Print Name

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Date

## Advisor Declaration

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I declare that I have met the above named applicant and have explained the relevant investments provided within the services and am satisfied that the investments chosen on this application form and any subsequent instructions are suitable and appropriate in relation to the clients knowledge and experience, risk tolerance, capacity for loss and the client's investment needs and objectives. I can also confirm that I/we have fully complied with all Anti-Money Laundering and Terrorist Financing Legislation and other relevant legislative requirements in relation to this client.

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Advisor Signature

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Print Name

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Date