



### 3. Financial Background

Under the Markets in Financial Instruments Directive (MiFID) we must request the information set out below in order to access the suitability of the services that we are able to provide. Your answers to the following questions will help us understand your investment and financial needs, which will ultimately allow us give you a better investment service. The information supplied by you on this form will be retained by us on electronic file and may only be disclosed to a relevant authority in compliance with legal or regulatory requirements.

<b>Please answer all questions</b>		<b>Self</b>	<b>Partner (If joint a/c)</b>
<b>A) Regular Income</b>			
Salary/Business Income	€	<input type="text"/>	€ <input type="text"/> p.a.
Rental Income	€	<input type="text"/>	€ <input type="text"/> p.a.
Investment Income	€	<input type="text"/>	€ <input type="text"/> p.a.
Other	€	<input type="text"/>	€ <input type="text"/> p.a.
<b>Total Income</b>	€	<input type="text"/>	€ <input type="text"/> p.a.

  

<b>B) Are you:</b>	Self-Employed <input type="checkbox"/>	Company Employee <input type="checkbox"/>	Proprietor/Director <input type="checkbox"/>	Retired <input type="checkbox"/>
<b>C) Pension type:</b>	Company <input type="checkbox"/>	Self-Employed <input type="checkbox"/>	Self-Administered <input type="checkbox"/>	None <input type="checkbox"/>

**D) What is your provisional retirement date?** \_\_\_\_\_

**E) Please indicate your estimated net worth** <€1m  €1m - €3m  €3m - €5m  €5m - €10m

  

**F) Value of Personal Assets**  
Please give approximate figures and also indicate if the assets could be easily liquidated.

	Value	Net Value
Principal Private Residence	€ <input type="text"/>	€ <input type="text"/>
Other Homes	€ <input type="text"/>	€ <input type="text"/>
Investment Properties in Ireland	€ <input type="text"/>	€ <input type="text"/>
Investment Properties Abroad	€ <input type="text"/>	€ <input type="text"/>
Cash Deposits		€ <input type="text"/>
Post Office		€ <input type="text"/>
Shares		€ <input type="text"/>
Fixed Interest		€ <input type="text"/>
Investment Funds		€ <input type="text"/>
Pension Fund		€ <input type="text"/>
Other Assets		€ <input type="text"/>
<b>Total Value of Assets</b>		€ <input type="text"/>

  

**G) Regular Financial Commitments (Per month)**

Pension Contribution	€ <input type="text"/>
Mortgage	€ <input type="text"/>
Other Living Expenses	€ <input type="text"/>
Any Other Commitments	€ <input type="text"/>
<b>Total Financial Commitments</b>	€ <input type="text"/>

  

**H) Please give initial investment amount** €

  

**I) Source of funds:** Savings  Inheritance  Sale of Property   
 Sale of business  Rental Income  Other, please specify \_\_\_\_\_

## 4. Investment Objectives

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

- a) You want to protect your principal at all costs. You are extremely risk averse and do not want to take any greater risk than is necessary to preserve your initial investment and / or maintain the steady income you receive from it.
- b) You want your investment to keep in line with inflation but keep your risk to a minimum. You are looking to the future but have a low risk tolerance and are willing to limit your growth investments to low risk or risk free investments.
- c) You want moderate growth but a limited amount of risk. You are willing to accept slower growth on your investments in exchange for a lower amount of portfolio risk.
- d) You seek high returns, but not at the expense of too much risk. You are investing primarily for growth.
- e) Your objective is maximum growth, and you are willing to risk the loss of some, or even most, of your principal to receive higher returns on your investment.

B) Risk Profile

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

<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3	<input type="checkbox"/> 4	<input type="checkbox"/> 5	<input type="checkbox"/> 6	<input type="checkbox"/> 7	<input type="checkbox"/> 8	<input type="checkbox"/> 9	<input type="checkbox"/> 10
Low			Medium				High		

C) Please give an explanation if your current risk profile is different to your investment objectives stated above.

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D) What is the purpose of your investment? \_\_\_\_\_

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E) Please indicate approximate annual income expectation (if any) from your investment with us: € \_\_\_\_\_ p.a.

F) Time Horizon

Generally, the longer your money remains invested, the greater the potential for growth as market trends and fluctuations tend to smooth out over time. Bearing this in mind, for how long are you planning to invest your money?

<input type="checkbox"/> <1 year	<input type="checkbox"/> 1-3 years	<input type="checkbox"/> 3-5 years	<input type="checkbox"/> 5 years +
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G) Please state any on-going funds available for investment € \_\_\_\_\_ p.a.

H) What is your average anticipated transaction size? € \_\_\_\_\_

I) Permitted Investment Instruments

Please tick which instruments you wish to invest in and indicate if you require any minimum or maximum values, or percentages to be invested in any one type of instrument.

	Value or % of Portfolio		Value or % of Portfolio
<input type="checkbox"/> € Denominated Equities	_____	<input type="checkbox"/> Other Equities	_____
<input type="checkbox"/> Cash Deposits	_____	<input type="checkbox"/> Derivatives, incl. CFDs	_____
<input type="checkbox"/> Government Bonds	_____	<input type="checkbox"/> Unquoted Investments	_____
<input type="checkbox"/> Corporate Bonds	_____	<input type="checkbox"/> Other, please specify:	_____

J) 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 investments only.

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## 5. Knowledge and Experience

A) Please answer the following questions in relation to your knowledge and experience of different financial instruments

	1. Shares	2. Bonds	3. Derivatives	4. Investment Funds	5. Any Other Instruments
Have you dealt in this instrument before?	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 <input type="checkbox"/>	Please specify:
If yes, please answer questions below:					
Please specify type:	N/A	Corporate bonds <input type="checkbox"/> Government bonds <input type="checkbox"/>	Margins <input type="checkbox"/> Options <input type="checkbox"/> Futures <input type="checkbox"/> CFDs <input type="checkbox"/> Warrants <input type="checkbox"/> Other <input type="checkbox"/>		
In what capacity?	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 <input type="checkbox"/>
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 Extensive <input type="checkbox"/> 5	<input type="checkbox"/> 1 Basic <input type="checkbox"/> 2 <input type="checkbox"/> 3 Good <input type="checkbox"/> 4 Extensive <input type="checkbox"/> 5	<input type="checkbox"/> 1 Basic <input type="checkbox"/> 2 <input type="checkbox"/> 3 Good <input type="checkbox"/> 4 Extensive <input type="checkbox"/> 5	<input type="checkbox"/> 1 Basic <input type="checkbox"/> 2 <input type="checkbox"/> 3 Good <input type="checkbox"/> 4 Extensive <input type="checkbox"/> 5	<input type="checkbox"/> 1 Basic <input type="checkbox"/> 2 <input type="checkbox"/> 3 Good <input type="checkbox"/> 4 Extensive <input type="checkbox"/> 5
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

B) Do you have any other experience relevant to making investment decisions? Yes  No   
If YES, please give details. If NO, please tick the appropriate box

C) Do you hold any qualifications that are relevant to making investment decisions or are you a member of a relevant professional body? If YES, please give details. If NO, please tick the appropriate box Yes  No

## 6. Account Type

Please choose the type of service you would like to receive on your Personal Portfolio account.

### Bloxham Advisory Service

The Bloxham Advisory Service is for clients who would like to have an active role in their investments, while taking professional advice from our experienced portfolio managers. It is designed for people with all levels of experience who want to have input into both the construction and ongoing management of their portfolio.

Advisory Service

### Bloxham Discretionary Service

The Bloxham Discretionary Service is one that offers a complete portfolio management service. The service is particularly suited to clients who would prefer to hand over the management of their portfolio to an experienced portfolio manager. This allows the portfolio manager to have complete discretion over the investment decisions made on your account. The service provides a discretionary managed service tailored to suit your individual circumstances, objectives and timescale.

Discretionary Service

## 7. Identification

The Third Anti Money Laundering (AML) Directive has been transposed into Irish Law via the Criminal Justice (Money Laundering and Terrorist Financing) Act 2010. Under this Act, Bloxham are obliged to identify all new clients. In this regard please provide the following identification documents:

1. \*Certified proof of identification (e.g. a certified copy of a valid passport/drivers license/National Identity card); and
2. TWO original or original certified proofs of residence from TWO different sources from the following list:
  - Recent utility bill, e.g. electricity bill, gas bill, telephone bill (dated within the last six months).
  - Bank, credit union or building society statement (dated within the last six months).
  - Most recent Notice of Determination of Tax Credit.
  - Official documentation issued by the Revenue Commissioners and addressed to the individual (dated within the last twelve months).
  - Current household/motor insurance certificate and renewal notice.
  - Official documentation issued by the Department of Social Protection and addressed to the individual.
  - Current local authority document e.g. refuse collection bill, water charge bill.

\*A certified copy is a copy, which has been signed and stamped by a solicitor, chartered accountant, Garda, Commissioner for Oaths or a bank official as evidence that the photocopy supplied is a true copy of the original. The certification stamp must be in the original format.

It is important to note that we will not be able to open an account unless correct identification documents have been received. If your application form is in joint names we will need identification documents for BOTH people named on the application form.

## 8. Declaration

I/We agree that by ticking the appropriate account type and signing this declaration I/we fully understand the account type I/we are opening.

I/We understand that securities may be held by Bloxham through a Nominee Account with Pershing International Nominees Ltd 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.

I/We agree, that under the Data Protection Act 1988 and 2003 (the "DPA"), the information provided by me/us may be held by Bloxham and used for the purposes registered under the DPA, including general business purposes, credit decisions and marketing.

I/We have read and fully understand the Terms of Business that accompany this application form and agree to be bound by same. I/We am/are fully aware that the Terms of Business are applicable at the date of this application and may subsequently be revised.

I/We declare that the answers provided in this application form are true and correct and that the contract being proposed between me/us and Bloxham, will be based on this application, declaration and Terms of Business.

Signature \_\_\_\_\_ Joint Applicant \_\_\_\_\_

Date \_\_\_\_\_ Date \_\_\_\_\_

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**Account queries**

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