



Cantor Fitzgerald Ireland Ltd ("Cantor")

Pension/ARF/AMRF Structured Product Account Opening Form

INTERMEDIARY CLIENTS

Structured Product is defined as:

1. Corporate Finance Products (Private Equity Incl EIS/Private Loan Notes/ Property Investments); or
2. Investment Bonds (Full capital protection at maturity, Partial capital protection at maturity, Kick Out Products and other equivalent Notes or Bonds).
3. Collective Investments: Schemes to invest in 1 & 2 such as QAIFs, Trusts or Special Purpose Vehicles.

PENSION FUNDS, SSAP, ARF, AMRF ACCOUNT SET UP CHECKLIST:

- I have completed the attached application in full as per the instructions in each section.
- I have completed the Trust Deed (where applicable).
- I have attached a copy of the Revenue approval letter (where applicable).
- For Trustees: We have attached certified copy ID (Passport or Drivers Licence)*; Two certified/two original utility bills or bank statements issued in the last 6 months evidencing the residential address of trustee*.
*Where the trustee is a corporate, the documentation is required for two principal directors of trust company.
- For the Beneficiary of this account: I have attached certified copy ID (Passport or Drivers Licence); Two certified/two original utility bills or bank statements issued in the last 6 months evidencing the residential address of beneficiary.

Please choose one of the below payment methods:

- IWe have enclosed cheque made payable to "Cantor Fitzgerald Ireland Ltd"
- IWe have enclosed bank draft made payable to "Cantor Fitzgerald Ireland Ltd" together with supporting documentation evidencing origin of funds e.g. copy of bank statement.
- IWe are investing from funds already in my/our Cantor Account
- IWe are investing this amount by Electronic Funds Transfer

Payment Details

Please use the Ulster Bank details below for any Electronic Fund Transfers to your account in Cantor Fitzgerald Ireland Ltd. Please do not transfer funds until your Cantor Fitzgerald Ireland Ltd. account is open as you will need an account number as a reference.

Euro Bank Details

Bank Name: Ulster Bank
Account Name: Pershing Securities International Limited Client Asset Account - Hub Account
Sort Code: 98-50-10
Account No: 31911845
SWIFT Code: ULSBIE2D
IBAN: IE72ULSB98501031911845
Reference: Client Name & A/c Number. (All transfers must include client name and Cantor A/c number as a reference).

Post/Delivery

Return the completed application and identification to:

DUBLIN: Cantor Fitzgerald Ireland Ltd, 75 St Stephen's Green, Dublin 2
LIMERICK: Cantor Fitzgerald Ireland Ltd, Theatre Court, Lower Mallow Street, Limerick
CORK: Cantor Fitzgerald Ireland Ltd, 45 South Mall, Cork

Queries/Advice

Call your Cantor Fitzgerald Account Manager:

DUBLIN: +353 1 633 3633. CORK: +353 21 422 2122. LIMERICK: +353 61 436 500

Email Queries to Client Services at ireland@cantor.com

www.cantorfitzgerald.ie

ARF/AMRF & Pension Structured Product Account Opening Form INTERMEDIARY CLIENTS



Intermediary Cantor Fitzgerald Account Number

Intermediary Firm

Client Cantor Fitzgerald Account Number

Type of Pension SSAP ARF AMRF

Where there is an existing Account with Cantor Fitzgerald Ireland Ltd and the information we have on file is current, please complete Section 4 and Section 8 only.

Section 1 - Beneficiary/Trustee QFM Details (to be completed by all new applicants or where your details are being updated)

<p>BENEFICIARY</p> <p>Title Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss <input type="checkbox"/> Other <input type="text"/></p> <p>Surname <input type="text"/></p> <p>Forename(s) <input type="text"/></p> <p>PPS Number <input type="text"/></p> <p>Date of Birth <input type="text" value="DD"/> <input type="text" value="MM"/> <input type="text" value="YY"/></p> <p>Nationality <input type="text"/></p> <p>Country of Residence <input type="text"/></p> <p>Provisional Retirement date (if applicable) <input type="text" value="DD"/> <input type="text" value="MM"/> <input type="text" value="YY"/></p>	<p>PENSIONER TRUSTEES/QFM</p> <p>Pension Scheme ARF/AMRF Name: <input type="text"/></p> <p>Trustee/QFM Firm <input type="text"/></p> <p>Title Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms <input type="checkbox"/> Miss <input type="checkbox"/> Other <input type="text"/></p> <p>Contact Surname <input type="text"/></p> <p>Contact First Name <input type="text"/></p>
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Section 2 - Contact Details (to be completed by all new applicants or where your details are being updated)

<p>BENEFICIARY</p> <p>Home Address <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/></p> <p>Telephone Numbers and Email Address:</p> <p>Home No. <input type="text"/></p> <p>Mobile No. <input type="text"/></p> <p>Office No. <input type="text"/></p> <p>Email <input type="text"/> <input type="text"/></p> <p><small>For correspondence purposes, Cantor will use the email address of the beneficiary.</small></p>	<p>PENSIONER TRUSTEES/QFM</p> <p>Firm Address <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/></p> <p>Telephone Numbers and Email Address:</p> <p>Home No. <input type="text"/></p> <p>Mobile No. <input type="text"/></p> <p>Office No. <input type="text"/></p> <p>Email <input type="text"/> <input type="text"/></p>
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Section 2 - Contact Details CONTINUED

Trustee Details

Pensioner Trustee 1

Pensioner Trustee 2

Residential Address

Residential Address

Date of Birth

Date of Birth

Position

Position

Online Access

Would you like "view only" online access to your Cantor Account? Yes No
This will allow you to view your account statement and valuation online.

I authorise Cantor to provide online access to my financial advisor Yes No

Name of Advisor:

Email Address:

The following persons are authorised to issue instructions (oral or otherwise) on the account ("Authorised Persons")

Name:

Name:

Position:

Position:

Email:

Email:

Signature:

Signature:

Section 3 - Bank Details of Pension/ARF/AMRF

(to be completed by all new applicants or where your details are being updated)

Bank Name

Bank Address

Account Name

IBAN*

BIC

*Your IBAN includes your account number and sort code and is an international standard for identifying bank accounts across national borders. This is detailed on your bank statement.

Section 4 - Source of Wealth/Funds (to be completed by all investors)

(i) Please indicate how your **overall wealth** was accumulated. You can indicate more than one option.

- Savings
- Inheritance
- Equity/Fund Investment
- Property Investment
- Sale of Business
- Retirement Fund
- Redundancy
- Other: If other please specify:

(ii) Please indicate the source of your **initial transfer to Cantor**. You can indicate more than one option.

- Pension Account
- Existing ARF
- Existing AMRF

Section 5 - Assessment of Appropriateness, Knowledge and Experience

(to be completed by all new applicants or where your details are being updated)

Basic: Have some knowledge but limited trading history.

Good: Have knowledge and have traded over a number of years.

Extensive: Have knowledge and have traded consistently over the past 5 years.

Where you have dealt previously, has this service been primarily? (If no previous experience please tick same)

- Execution Only (no broker input) Advisory (broker advises, you decide)
- Discretionary/managed (broker agrees investment parameters and has discretion to transact)
- No previous experience

Financial Instruments

(i) Please indicate your investment experience in relation to the following instruments:

	NONE	BASIC	GOOD	EXTENSIVE	NUMBER OF YEARS EXPERIENCE	NUMBER OF TRADES PER ANNUM
Equities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input style="width: 40px;" type="text"/>	<input style="width: 40px;" type="text"/>
Corporate Bonds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input style="width: 40px;" type="text"/>	<input style="width: 40px;" type="text"/>
Government Bonds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input style="width: 40px;" type="text"/>	<input style="width: 40px;" type="text"/>
Investment Funds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input style="width: 40px;" type="text"/>	<input style="width: 40px;" type="text"/>
Investment Bonds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input style="width: 40px;" type="text"/>	<input style="width: 40px;" type="text"/>
Corporate Finance Products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input style="width: 40px;" type="text"/>	<input style="width: 40px;" type="text"/>

Relevant Professional Qualification or Experience

Do you have professional qualifications or experience?

Yes No

1. Do you have a professional qualification?

Yes No

2. Do you work as an investment manager/advisor?

Yes No

3. Are you a member of a recognised association?

Yes No

4. Other (please specify)

Section 6 - Pension Investors (to be completed by all new applicants or where your details are being updated)

Trustee Resolution Form (to be completed by all new applicants)

Trustees Resolution on behalf of the _____ pension fund.

Resolutions of the Trustees

We certify that at a meeting of the Trustees of above named pension fund ('the Client'), duly convened and held on the _____ day of _____ 20_____, the following resolutions were duly passed.

Authority to open a Securities dealing account

That an account or accounts be opened with Cantor Fitzgerald Ireland Ltd (the 'Company') at 75 Stephen's Green, Dublin 2 under the terms and conditions outlined in the foregoing Account Opening Document, the Terms and Conditions booklet and the conditions below.

Authority to Cantor Fitzgerald Ireland Ltd

That the Company be authorised and instructed to undertake the following:

1. To act on instructions on dealings with securities, etc.

Subject to the terms and conditions outlined in the attached Account Opening Document and the Terms and Conditions booklet, to act on any instructions from the persons specified in the part 1c of the Account Opening Document (or as varied from time to time) with regard to the purchase or sale of or other dealings in securities or documents of the Client or any foreign currency transaction (without prejudice to the Company's right to refuse to allow accounts become overdrawn).

2. To honour orders

To honour and comply with any orders to withdraw any or all money on any account or accounts of the Client with the Company and with instructions to deliver, dispose of or deal with any securities, deeds or documents or other property whatsoever from time to time in the Company's possession for the account or accounts of the Client whether by way of security or safe custody or otherwise provided that the instructions are received as agreed with the Company.

Not to restrict Company's right to lien, etc.

The Client agrees that nothing in the arrangements between the Company and the Client shall be treated as constituting an implied agreement restricting or negating any lien, charge, pledge or right of set-off.

To furnish the Company with its Trust Deed

The Company will be furnished with an up to date copy of the Trust Deed of the pension fund

To provide list of Trustees, etc.

That the Company be furnished with a list of the names of the Trustee(s) of the pension fund and with specimens of their signatures (or in the case that the Trustee is a corporate, a list of directors and their specimen signatures) and that the Company be notified immediately in writing signed by the Trustee(s) of the Client of any changes which may from time to time take place in these details and be entitled to act on any such notice and that until receipt of such notice the Company may continue to treat the last list received as correct.

To communicate resolutions to the Company

That these resolutions be communicated to the Company and shall constitute the Account Opening Document and shall remain in force until an amending resolution shall be passed and a copy of such resolutions certified by the Trustee of the Client shall be communicated to the Company.

Statements of Account

The Client agrees that it will examine all statements supplied by the Company setting out transactions on any of its account within 30 days.

Entry of resolutions in minute book

We certify that the above resolutions have been duly entered in the minute.

Beneficiary Signature

Beneficiary Name

Date Signed

Pensioner Trustee Signature

Pensioner Trustee Name

Date Signed

Section 7 - Acknowledgement (to be completed by all new applicants)

In signing this document it will constitute a contract, both legally binding and enforceable. If you have any queries about any aspect of the account opening documentation please contact Cantor for clarification or, if you think it appropriate to do so, obtain independent legal advice.

The undersigned hereby acknowledges that:

- (a) I have carefully read, acknowledge and understand the terms of the below listed documentation which I have been presented with and have had an opportunity to consider. I hereby agree that by signing this acknowledgment that I will be bound by all terms and conditions contained in the following documents:
 1. The Brochure or Information Memorandum pertaining to the Structured Product
 2. This Structured Product Application Form
 3. Execution Only Terms and Conditions booklet:
 - I. Terms and Conditions of Service
 - II. Conflicts of Interest Policy
 - III. Order Execution Policy
 - IV. Information on Financial Instruments
- (b) The service description set out in the Terms and Conditions booklet incorporates the service to be provided by Cantor to me in its entirety, and for which I now hereby apply.
- (c) The investment experience and information provided in this Account Opening Document is a complete and accurate record of all information relevant and necessary to allow Cantor to provide and Execution Only service to me.
- (d) I acknowledge that Cantor will arrange for a nominee account to be opened with Pershing Securities International Limited on my behalf.
- (e) I have been presented with and have had an opportunity to consider the **Client Asset Key Information Document** and I have carefully read, acknowledge and understand the arrangements Cantor have put in place for holding client assets and the risks associated with them.

Client Acceptance

Beneficiary Signature

Print Name

Date Signed

Pensioneer Trustee Signature

Print Name

Date Signed

8. INVESTMENT DETAILS (to be completed by all investors) Please see bank details on the front cover

A) Corporate Finance/Collective Investment

(Private Equity Incl EIS/Private Loan Notes/ Property Investments)

Amount to Invest

B) Investment Bonds

Bond Option (if applicable)

Amount to Invest

(Full capital protection at maturity, Partial capital protection at maturity, Kick Out Products and other equivalent Notes or Bonds).

Where you are investing your ARF/AMRF in the bonds, Please confirm the split between both.

Your ARF Investment Your AMRF Investment

Where you are investing in both an ARF & AMRF please ensure that you have indicated this in the above section.

ARF/AMRF & Pension Structured Product Account Opening Form INTERMEDIARY CLIENTS



8. INVESTMENT DETAILS CONTINUED Please see bank details on the front cover

INVESTMENT ADVISOR DECLARATION:

I confirm that I have provided financial advice to the client(s) above in relation to this product and have fully explained all of the potential risks involved, including the risk of total capital loss. I confirm the following:

- i) Having conducted a full review of this investor's financial circumstances, that this product is consistent with the investor's investment objectives and risk appetite.
- ii) I/We can confirm that I/we have given due consideration to the target market assessment as outlined in the product brochure and manufacturer KID document and are satisfied that the investor falls within the positive target market.
- iii) I have complied with legislative requirements as set out under Criminal Justice (Money Laundering and Terrorist Financing) Act 2010 & Criminal Justice Amendment Act 2013.
- iv) Where an investor has been identified as potentially vulnerable (e.g. over 60 years of age), I have taken the necessary precautions to protect the investor in this regard.

Advisor Firm Name

Advisor Name (Print)

Advisor Signature:

Date: DD MM YY

INVESTOR DECLARATION:

I declare that:

- i) the above details are correct
- ii) I am over 18
- iii) I understand and accept that the Terms and Conditions of the product(s) set out in the brochure(s) are consistent with my risk profile and investment objectives
- iv) I understand that the investment will not be deemed to have been made until the application has been accepted and that if accepted will commence on the issue date.

I hereby acknowledge, request and authorise you to:

- i) Place my capital investment in the product(s) issued by the issuer as detailed in the brochure(s).
- ii) Where I am investing through an authorised intermediary of Cantor and do not already have an account with Cantor Fitzgerald Ireland, to open an execution only account for the purposes of administering Structured Product only.
- iii) Should I wish to engage in trading or make any other investment I will need to complete supplementary documentation as requested by Cantor

By signing this application I am agreeing that Cantor Fitzgerald Ireland Ltd may use my information in the way described in this form and in the associated terms and conditions.

I declare that; I have received financial advice on this product.

I fully understand all of the potential risks involved in this product, including the risk of total capital loss

Beneficiary Signature

Print Name

Date Signed DD MM YY

Pensioneer Trustee Signature

Print Name

Date Signed DD MM YY



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Cantor Fitzgerald Ireland Ltd is regulated by the Central Bank of Ireland. Cantor Fitzgerald Ireland Ltd is a member firm of the Irish Stock Exchange and the London Stock Exchange.