



# Cantor Fitzgerald Ireland Ltd ("Cantor") **Aviva - Self Directed Investment Option Execution Only Account Opening Document ("SDIO")**

## HOW TO PROCEED

**Relevant Documents** Please complete the attached form in full. Please also take the time to read our Terms & Conditions, Client Asset Key Information Document and review the applicable fees on our Rate Card available at [cantorfitzgerald.ie](http://cantorfitzgerald.ie).

**Warning** This application form is to open an SDIO Account on an execution only basis, which will facilitate investment in quoted securities such as Equities, Government Bonds, Corporate Bonds, Exchange Traded Products (ETF's), Deposits, Structured Products and such other investments as Aviva may deem admissible from time to time. Cantor Fitzgerald Ireland Ltd will not give any investment advice in respect of investments to be held in an Execution Only account. Should you require investment advice please contact your financial advisor or wealth manager directly.

**Post/Delivery** Return the completed form to:  
Dublin: Cantor Fitzgerald Ireland Ltd  
Cantor Fitzgerald House,  
23 St Stephen's Green,  
Dublin 2

**Email** [SDIO@cantor.com](mailto:SDIO@cantor.com)

**Service Queries** Call your financial advisor or our client services team on 01 633 3888  
Dublin Dealing Desk: +353 1 633 3800  
Cork Dealing Desk: +353 21 422 2122  
Limerick Dealing Desk: +353 61 436500

Please note Crypto Currency related stocks/ETFs and Aviva Shares are not available under SDIO.

ALL SECTIONS MUST BE COMPLETED

## 1. Policyholder Details (PLEASE USE BLOCK CAPITALS)

Title Mr  Mrs  Ms  Miss  Other

Surname

Forename(s)

Date of Birth

Aviva Policy Number:

Country of Residence

Nationality:

If nationality is United Kingdom please include NI number:

## 2. Policyholder Contact Details (PLEASE USE BLOCK CAPITALS)

Home Address

Home  Mobile

Email

**REQUIRED TO MAINTAIN AN ACCOUNT**

## 3. Knowledge & Experience Relevant to the Decision Maker\* (PLEASE USE BLOCK CAPITALS)

**WARNING: All of the following sections must be completed in order for us to open an account for you. This information is required by law to allow us to complete an appropriateness assessment, if required.**

\*Decision Maker is a person authorised on the account and appointed to make decisions on behalf of the account i.e. the account holder, beneficial owner or authorised signatory. A group of two or more natural persons are required to designate one person's Knowledge & Experience for the purposes of conducting the appropriateness assessment.

**(i) Please select your previous trading experience:** (You can select more than one option if applicable)

EXECUTION ONLY (no advice)	ADVISORY (broker advises, you decide)	DISCRETIONARY/MANAGED (broker agrees investment parameters with you and has discretion to transact)	NO PREVIOUS EXPERIENCE
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please note Crypto Currency related stocks/ETFs and Aviva Shares are not available under SDIO.

# Self Directed Investment Option Account Opening

Execution Only



## 3. Knowledge & Experience Relevant to the Decision Maker\* Continued

(ii) Please indicate your investment experience in relation to the following Financial Instruments:

**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.

THESE COLUMNS ARE MANDATORY

THESE COLUMNS ARE MANDATORY

FINANCIAL INSTRUMENTS	NONE**	BASIC	GOOD	EXTENSIVE	NUMBER OF YEARS EXPERIENCE	NUMBER OF TRADES IN THE LAST 5 YEARS <small>(if 'zero' trades please note 0 in the box)</small>
Equities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
Corporate Bonds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
Government Bonds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
Investment Funds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
Structured Products	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
Corporate Finance/ Unquoted Investments	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>
Derivatives <small>(CFD's, Options, Futures)</small>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="text"/>	<input type="text"/>

\*\*If you have selected NONE for any Financial Instrument experience, you do not need to complete NUMBER OF YEARS EXPERIENCE and NUMBER OF TRADES IN THE LAST 5 YEARS

(iii) If you have answered '0' for NUMBER OF TRADES IN THE LAST 5 YEARS in part (ii) above, please explain how you have attained your years experience? (if not applicable please write N/A or leave blank):

### (iv) Relevant Professional Qualification or Experience

- Do you have a relevant professional qualification? Yes  No   
Please list qualification(s)
- Do you work as an investment manager/advisor? Yes  No
- Are you a member of a professional body? e.g. ACOI, LIA, IIB, Chartered Accountants Ireland etc. Yes  No

### Source of Wealth/Funds

1. Please indicate your source of wealth (this refers to how you have accumulated your wealth), you may indicate more than one option

- Salary/Bonus
  - Inheritance
  - Savings
  - Sale of Shares
  - Sale of Property
  - Other:
- If other please specify:

2. Please indicate your source of funds (this refers to the funds being transferred for investment with Cantor), you may indicate more than one option

- Maturing Deposit
  - Savings Account
  - Transfer from other investment provider
  - Proceeds of asset sale
  - Pension Fund/ARF
  - Other:
- If other please specify:

### Dividends

Unless you specify otherwise you will receive cash dividends. Alternatively if you wish to receive stock(where available) please tick here

ALL SECTIONS MUST BE COMPLETED

ALL SECTIONS MUST BE COMPLETED

#### 4. Acknowledgement

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 acknowledgement that I will be bound by all terms and conditions contained in the following documents:
  - 1. Self Directed Investment Option Account Opening Document
  - 2. 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 information provided in the Account Opening Document is a complete and accurate record of all information relevant and necessary to allow Cantor to provide an 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 acknowledge that this account will invest in quoted securities such as Equities, Government Bonds, Corporate Bonds, Exchange Traded Products (ETF's), Deposits, Structured Products and such other investments approved by Aviva only.
- (f) 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.
- (g) I have been presented with the current SDIO Rate Card and I am aware that any changes to this will be updated to the Cantor Fitzgerald website for my reference.
- (h) I acknowledge that this account is owned by Aviva Life & Pensions Ireland DAC through my Pension or Approved Retirement Fund policy and I am a limited power of attorney for trade instruction only.
- (i) I am aware that communications and documentation will be delivered to me, as limited power of attorney, where suitable by electronic means through an online portal, to which I will receive a password as part of the account opening process.  
I confirm I will update Aviva and Cantor of any changes to my email address in the future.

**Confirmation acknowledgments have been read and understood:**

Signature of policyholder

Print Name

Date