

Execution Only Probate Account Application Form

In order to establish and operate your account with us, we would ask you to please:

1. Complete the enclosed Application Form and provide the requested additional documents. For your convenience, we have attached a checklist below. Please contact your Cantor Relationship Manager for clarification or assistance if you are unsure. You may also wish to obtain independent advice prior to completing the form.
2. Consider your answers carefully. In assessing the appropriateness of your investments, we naturally rely on the information you provide us.
3. Once you receive your client account number and if you intend to purchase investments, transfer funds electronically in advance of any purchase to our custodian Pershing Securities International Limited, quoting your Cantor client account number.

Euro Bank Details

Bank Name: Barclays Bank Ireland
Account Name: Pershing Securities International Limited Client Asset Account – Hub Account
Sort Code: 990212
Account No: 45525315
BIC: BARCIE2D
IBAN: IE10BARC99021245525315
Reference: Client Name and Cantor Client Account Number (starting with DS)

Please note that unfortunately any monies sent without your Cantor client account number will have to be returned to you.

ACCOUNT SET UP CHECKLIST:

- ☐ I/We have completed the attached application form in full and all relevant parties have signed and dated.
- ☐ I/We have attached an original or sealed copy of the Grant of Representation (i.e. Grant of Probate, Letters of Administration, etc.)
- ☐ I/We have attached current (in date) copies of my/our ID (Passport/Driving License) certified by a Garda, solicitor, or Cantor member of staff.
- ☐ I/We have attached a bank statement issued in the last 6 months with the same address and IBAN that matches that provided on the application form. (This is NOT needed if we are paying to a solicitor's client asset bank account).
- ☐ I/We have attached a certified bill/or original copy of a bill issued in the last 6 months with the same address as provided on the application form, being one of:
 - Gas, electricity, phone or motor/home insurance certificate, tax certificate OR
 - Social Insurance document or Revenue Commissioners document

A list of permissible Anti Money Laundering documents can also be found on our website cantorfitzgerald.ie under Useful Forms.

How we use your Personal Information

We collect your personal information to conduct your account opening process and to manage your account. We process your data in line with our privacy policy. For further information outlining the purposes for which personal data is collected, used, disclosed, how long it is kept, and the legal basis for processing your data, please visit <https://cantorfitzgerald.ie/privacy/>

1. Deceased's Person Details & Estate Details (PLEASE USE BLOCK CAPITALS)

Deceased's Name

Deceased's Date of Birth

Deceased's Nationality

Deceased's Date of Death

☐ Will

☐ Letters of Administration

2. Source of Wealth/Funds (PLEASE USE BLOCK CAPITALS)

Please indicate how your overall wealth was accumulated.

You can indicate more than one option.

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

Please indicate the source of your initial transfer to Cantor.

You can indicate more than one option.

- ☐ Share Certificates
- ☐ Bank Account
- ☐ Transfer from other Investment Provider
- ☐ Pension Fund
- ☐ Share Certificate(s)

3. Executor(s) of the Estate (PLEASE USE BLOCK CAPITALS)

Executor 1

Name	<input type="text"/>		
Residential Address	<input type="text"/>		
	<input type="text"/>		
Contact Tel Number	<input type="text"/>	Nationality	<input type="text"/>

Executor 2

Name	<input type="text"/>		
Residential Address	<input type="text"/>		
	<input type="text"/>		
Contact Tel Number	<input type="text"/>	Nationality	<input type="text"/>

Executor 3

Name	<input type="text"/>		
Residential Address	<input type="text"/>		
	<input type="text"/>		
Contact Tel Number	<input type="text"/>	Nationality	<input type="text"/>

Executor 4

Name	<input type="text"/>		
Residential Address	<input type="text"/>		
	<input type="text"/>		
Contact Tel Number	<input type="text"/>	Nationality	<input type="text"/>

Please copy this page and attach details of Executors if there are more than 4 appointed.

4. Payment Details (PLEASE USE BLOCK CAPITALS)

We, the executors hereby acknowledge that

Solicitors are acting on our behalf in relation to the above named estate.

Please choose the required option below and complete all details required:

We, the executors hereby select the following options for the proceeds of the sale of the estate's shareholdings:

☐ **Option 1: Executor(s) - Bank Transfer**

Please note that a bank statement dated within the last 6 months and matching the below IBAN is required for this option.

The proceeds can be transferred to the bank account in the name of all executors or 1 selected executor.

Please transfer the proceeds to the account in the name of:

who are noted executor(s) for the estate.

Account Name

Bank Name

Bank Address

IBAN

BIC

☐ **Option 2: Solicitor - Bank Transfer**

(The solicitor must have their own Solicitor account set up with Cantor in order to pay to their client asset account.)

Please note that the payment will be transferred to the solicitors client asset account stated below quoting deceased's name as a payment reference.

BANK DETAILS

Account Name

Bank Name

Bank Address

IBAN

BIC

*These details will be on your bank statement. Please ensure the bank statement provided as part of your identity verification matches the IBAN provided above.

☐ **Option 3: Executor(s) New Account - Retain shares in the name of one or more Executor**

New account to be opened in the name of the below:

1. Name

2. Name

Please complete new account opening document in the name of the Executors who will retain the shares (max 2) and attach supporting documents required for new accounts.

5. Solicitor's Section (PLEASE USE BLOCK CAPITALS)

Solicitors Account Number

(i) We, Solicitors request that Cantor Fitzgerald open an account where relevant on behalf of the above executors for the purpose of the administration of the estate's shareholdings.

6. 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/We have carefully read, acknowledge and understand the terms of the below listed documentation which I/we have been presented with and have had an opportunity to consider. I/We hereby agree that by signing this acknowledgement that I/we will be bound by all terms and conditions contained in the following documents:
1. Probate Application Form
 2. Terms and Conditions booklet:
 - i. Execution Only 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/us in its entirety, and for which I/we now hereby apply.
- (c) The details provided in the Probate Form are a complete and accurate record of all information relevant and necessary to allow Cantor to provide the service to me/us.
- (d) I/We acknowledge that Cantor will arrange for a nominee account to be opened with Pershing Securities International Limited on my/our behalf to process the proceeds based on the Executors expressed wishes.
- (e) I/we have been presented with and have had an opportunity to consider the **Client Asset Key Information Document** and I/We have carefully read, acknowledge and understand the arrangements Cantor have put in place for holding client assets and the risks associated with them.
- (f) I/We confirm that I/we have been formally appointed Executors of the Estate noted on Probate and are in full agreement as to the options chosen in order to process the deceased's estate.

Executor Acceptance

	PRINT NAME	SIGNATURE	DATE SIGNED
EXECUTOR 1:	<input type="text"/>	<input type="text"/>	<input type="text" value="DD"/> <input type="text" value="MM"/> <input type="text" value="YY"/>
EXECUTOR 2:	<input type="text"/>	<input type="text"/>	<input type="text" value="DD"/> <input type="text" value="MM"/> <input type="text" value="YY"/>
EXECUTOR 3	<input type="text"/>	<input type="text"/>	<input type="text" value="DD"/> <input type="text" value="MM"/> <input type="text" value="YY"/>
EXECUTOR 4	<input type="text"/>	<input type="text"/>	<input type="text" value="DD"/> <input type="text" value="MM"/> <input type="text" value="YY"/>
	PRINT NAME	AUTHORISED PERSON'S SIGNATURE	DATE SIGNED
SOLICITOR:	<input type="text"/>	<input type="text"/>	<input type="text" value="DD"/> <input type="text" value="MM"/> <input type="text" value="YY"/>