



Davy Select Personal Investment Account (Execution-Only)

Application Form
(For use by Estates Only)

Davy Select Personal Investment Account (Execution-Only) Application Form

Thank you for choosing Davy. We look forward to working with you to achieve the investment objectives of the Estate.

Before you, as the Executor(s) of the Estate, complete this application form to open a Davy Select Personal Investment Account (Execution-Only), it is important that you have taken the time to read and understand all of the account opening information including the Execution-Only Service Terms (and related documentation) which are contained in a separate document and include and incorporate the Terms & Conditions, the Appendices, the Risk Disclosure Statement, the Order Execution Policy, the Schedule of Fees & Charges, the Conflicts of Interest Policy, the Privacy Notice and the Client Asset Key Information Document, to ensure that this is the most appropriate account for you.

We fully respect your right to privacy, and any information (including any personal data) which we obtain and process about you ('Information') will be treated in accordance with our Privacy Notice, our standard principles regarding client confidentiality and applicable data protection legislation. We take your privacy very seriously and our policy is to only collect and process necessary information about you. We shall use the information that you provide to us in this form for the purpose of providing our services to you. Full details of how we use and safeguard your personal data are available in your terms and conditions and in The Davy Group Privacy Notice, which can be found on the Davy website.

As part of the account opening process, please ensure the documents listed on page 5 are enclosed with this application form:

Please see the Identification Requirements on page 6 for a list of acceptable documents. These documents are required in order to comply with the Criminal Justice (Money Laundering and Terrorist Financing) Act and Regulations 2010 to 2021.

We would ask you to read this application form carefully, complete pages 1-3 6-7-8 and return the completed application form to:

Probate Services,
Davy House,
49 Dawson Street,
Dublin 2.

WARNING: The value of your investment may go down as well as up. You may lose some or all of your invested capital. This account does not constitute investment advice as it does not take into account your investment objectives, knowledge and experience and financial situation.

To ensure that you have submitted all the required documentation with your application form please confirm you have completed/enclosed with this application:

- Name Verification for executor(s) (Page 5)
- Address Verification for executor(s) (Page 5)
- List of executor(s) (Page 6)
- Completed FATCA Self Certification (Page 7)
- Completed Declaration/Signatory Page (Page 3)
- Grant of Probate

Effective January 2025

1 Estate Details

Name of Estate _____

Address _____

Full name of Deceased _____

Date of birth of Deceased _____

*Nationality of Deceased _____

* Under Markets in Financial Instruments Directive (MiFID II) we may require additional information from you depending on this nationality.

2 Contact Details**

Solicitor Executor

Solicitor Firm's Name (if applicable) _____

Contact Name _____

Address _____

Same as address above

Daytime Phone Number _____ Mobile Phone Number _____

Email _____

** In providing these details, you confirm that the person above has been notified by you that their personal data is being held for these purposes by J & E Davy.

3 Administration of the Estate

I/We the Executor(s) of the Estate of _____ (Name of the Deceased) hereby appoint _____ (insert name of solicitor) to act on our behalf in the administration of this Estate. Please provide the above appointed solicitor with all relevant information and documentation required to complete the administration of the said Estate.

Or

I/We the Executor(s) of the Estate of _____ (Name of the Deceased) will be administering this Estate without engaging the services of a solicitor.

4

Payment Details

- I/We the Executor(s) dealing with the administration of the above named Estate confirm that any future transfers out of this account will be made payable to the bank details below.*

Bank: _____

Account Name: _____

Client Reference: _____

IBAN: _____

BIC: _____

* Please note that we do not facilitate cash transfers or payments to or from third parties. All payments must be made payable to Davy and must be drawn on the estate's/solicitor's client account held with an EU regulated financial institution. Note that the account details provided can only refer to a client bank account of the solicitor appointed to administer the estate OR to a bank account of the Estate.

5

Please indicate source AND amount of funds

Please confirm the amount of your initial investment and the country from which funds will be transferred to Davy

SOURCE OF FUNDS

Please tick
one box

Domestic Institution

EU Institution

Non EU Institution

Initial Investments Amount

Country

6

Please indicate source of wealth

This refers to how you accumulated your total net wealth. For example, your source of funds for this investment may be as a result of a sale of shares whereas your total net worth may have been accumulated as a result of your occupation, i.e. Salary / Bonus

SOURCE OF WEALTH

Please tick appropriate box(es)

Business Interests

Inheritance

Gift

Investment Income

Pension Income

Variable Remuneration
e.g. Bonus/Commission

Compensation Payment

Sale of Main Residence

Lottery / Betting / Casino Win

Salary

Sale of Other Property

Please give details in relation to the selection made

Davy Select Personal Investment Account (Execution-Only) Declaration

By signing this declaration page you are applying to open a Davy Select Personal Investment Account (Execution-Only) and agree to the following :

Terms

I/We have read and agree to the Execution-Only Service Terms which include the Terms & Conditions, the Appendices, the Risk Disclosure Statement, the Order Execution Policy, the Schedule of Fees & Charges, the Conflicts of Interest Policy, the Privacy Notice and the Client Asset Key Information Document. The Execution-Only Service Terms are applicable at the date of application and may be subsequently changed.

By providing Davy with the information requested, I/we acknowledge and explicitly consent to the processing of our data for the purpose described.

I/We also confirm that the person(s) above have/has been notified that their personal data is being held for these purposes by Davy.

I/We understand that this account is provided on an execution-only basis from Davy and that Davy will not be providing me/us with investment advice or assistance. Accepting the Execution-Only Service Terms requires the following specific consents.

Arrangements for Holding Client Assets

By signing this declaration I/we hereby provide the consents specified in Section 6 of the Execution-Only Service Terms.

I/We understand and acknowledge that this declaration applies to any additional accounts opened in the future.

Information via the website

I/We consent to Davy providing the information described below to me/us via its website.

- General information about Davy and its services
- Information about the nature and risks of certain financial instruments

- Information concerning the safeguarding of financial instruments and holding of client money
- Information on costs and associated charges
- Information about Davy’s execution policy

Order Execution Policy

I/We have read and agree to the ‘Information about Davy’s Order Execution Policy’ provided to me/us in the Terms. I/We consent to Davy executing orders on my/our behalf outside a Regulated Market, Multilateral Trading Facility or Organised Trading Facility.

Fees & Charges

I/We confirm that I/we have received details of the Davy Fees & Charges.

Risk Disclosure Statement

I/We have received the Risk Disclosure Statement, and have read this document carefully. I/We understand the risks and other significant complexities of trading in financial instruments.

Conflicts of Interest

I/We have received details of Davy’s Conflicts of Interest Policy.

Let us Stay in Touch

By ticking this I/we am/are giving Davy permission to keep me/us informed about its products and services.

At Davy we will never share your details with third parties for marketing purposes. To make our marketing more relevant to you, we may analyse the information we hold about you. You have the right at any time to change your mind regarding how we use your information and can opt out of marketing by emailing optout@davy.ie, or writing to **FREEPOST, The Head of Data Protection, Group Risk, Davy, 49 Dawson Street, Dublin 2.**

Please note that by opting out of marketing, all your Davy accounts will automatically be opted out too. The Davy Group Privacy Notice can be found at www.davy.ie.

Signed

Executor Signature

Date

Executor Signature

Date

For and behalf of

Executor Signature

Date

Executor Signature

Date

108_23_(01/01/2025)_1454122

Document Checklist

The following documents must be submitted with your application to open an account.

- For name verification purposes we will require a certified copy of a valid ID for **ONE** executor to the Estate. If there is **more than one executor**, these documents are required for at least **TWO** executors *(Page 5)*
- For address verification we will require two original OR certified copies from two different sources for **ONE** executor to the Estate. If there is **more than one** executor, these documents are required for at least **TWO** executors. *(Page 5)*
- List of executors *(Page 6)*
Please include the home address, date of birth and nationality for each executor listed.
- Completed FATCA Self Certification *(Page 7)*
- Completed Declaration/Signatory Page *(Page 3)*
- Grant of Probate
Original or Court Sealed copy of Grant of Probate
Note: if a Grant of Probate has not been extracted and the entire Estate has a value of less than €25,000 as at date of death, please contact Probate Services at probate@davy.ie to discuss further.

Identification Requirements

In accordance with the Criminal Justice (Money Laundering and Terrorist Financing) Acts and Regulations 2010 to 2021 required to verify the identity of each new client. In order to satisfy these requirements please ensure that name verification document and address verification documents as listed below accompany this application form when returning it to Probate Services, Davy, 49 Dawson Street, Dublin 2 or probate@davy.ie.

It is important to note that we will not be able to open an account unless we have received the correct identification documents.

Option 1 – Digitally (Please tick if you are using this option) Available for EU/UK Residents only

If you would like you submit your identification documents digitally, we will email you a link to upload your documents to. Contact us at probate@davy.ie to to choose this option.

You'll need to provide the following:

- Your EU/UK passport OR passport card OR EU/UK driving licence;
- A selfie of your face;
- A bank statement (dated within the last 6 months) or a utility bill which has been sent to your home within the last 6 months e.g. gas, electricity, broadband, landline phone bill (mobile phone bills or refuse bills are not accepted)

Option 2 (Please tick if you are using this option)

You'll need to provide the following:

- A certified* copy of your passport OR passport card OR EU/UK driving licence;
- An original bank statement (dated within the last 6 months);
- A utility bill which has been sent to your home within the last 6 months e.g. gas, electricity, broadband, landline phone bill (mobile phone bills or refuse bills are not accepted).

In order to comply with our obligations under legislation, we may, at our discretion at any time seek further information and documentation from you to verify your identity.

E Statements accepted, PDF or printout must contain all pages Applicable for Option 1 & 2.

* IMPORTANT NOTICE: CERTIFICATION OF DOCUMENTS

Please note that the meaning of 'certified copy' is different for residents and non-residents.

Residents: By 'certified copy' we mean a photocopy that has been signed and stamped by a Solicitor, Chartered Accountant, Commissioner for Oaths or Bank Official as evidence that the photocopy is a true copy of the original. The person certifying the document must state 'I certify that this is a true copy of the original document' and should sign the document confirming their full name, title and the date they certified the document. Alternatively, call into one of our Davy offices and we can certify it for you.

Non-Residents: By 'certified copy' we mean a photocopy that has been certified as a true copy of the original by a notary public or a consular or embassy official from your consulate or embassy. The person certifying the document must state 'I certify that this is a true copy of the original document' and should sign the document confirming their full name, title and the date they certified the document in English. Please note that documentation provided in a language other than English will only be accepted where accompanied by a professional translation document.

List of Executors

In providing these details, you confirm that the person(s) above has been notified by you that their data is being held for these purpose by J & E Davy Unlimited Company.

Executor 1

Name _____

Home Address _____

Date of Birth _____

Email Address _____

Mobile Number _____

*Nationality _____

**Are you a US Citizen? Yes No

**Are you a US Resident
or Green Card Holder? Yes No

Tax Identity Number(s) e.g. PPSN, NINO, SSN _____

Country/Countries of Tax Residence _____

Executor 2

Name _____

Home Address _____

Date of Birth _____

Email Address _____

Mobile Number _____

*Nationality _____

**Are you a US Citizen? Yes No

**Are you a US Resident
or Green Card Holder? Yes No

Tax Identity Number(s) e.g. PPSN, NINO, SSN _____

Country/Countries of Tax Residence _____

Executor 3

Name _____

Home Address _____

Date of Birth _____

Email Address _____

Mobile Number _____

*Nationality _____

**Are you a US Citizen? Yes No

**Are you a US Resident
or Green Card Holder? Yes No

Tax Identity Number(s) e.g. PPSN, NINO, SSN _____

Country/Countries of Tax Residence _____

Executor 4

Name _____

Home Address _____

Date of Birth _____

Email Address _____

Mobile Number _____

*Nationality _____

**Are you a US Citizen? Yes No

**Are you a US Resident
or Green Card Holder? Yes No

Tax Identity Number(s) e.g. PPSN, NINO, SSN _____

Country/Countries of Tax Residence _____

* Under Markets in Financial Instruments Directive (MiFID II) we may require additional information from you depending on your nationality.

**Under FATCA, these questions must be answered if the entity is classified as a Passive NFFE (See page 9).

FATCA Self-Certification for Entities

The Foreign Account Tax Compliance Act ('FATCA') is US legislation brought in to improve US tax compliance in relation to US persons and their foreign financial assets and offshore accounts. The Irish Government signed an Inter-Governmental Agreement with the US which implements FATCA in Ireland. It means that we are obliged under Section 891E of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to that section to collect an organisation's classification under FATCA. In certain circumstances we are obliged to share information on your account with the Irish Revenue Authorities who in turn will pass this information to the US Tax Authorities. If you have any questions about your organisation's classifications, please contact your tax advisor.

Entity Self-Certification

Entity Name: _____

Section A: FATCA Classification

Please tick one box only in this section.

Financial Institution (FI)

1. Exempt Beneficial Owner
2. Participating Foreign Financial Institution (If so, please complete Section B)
3. Non-Participating Foreign Financial Institution
4. Irish Financial Institution or a Partner Jurisdiction Financial Institution (If so, please complete Section B)
5. Financial Institution resident in the USA or in a US Territory (If so, please complete Section B)
6. Excepted Financial Foreign Entity
7. Deemed Compliant Foreign Financial Institution
(besides those listed above)

Non-Financial Foreign Entity (NFFE)

8. Active Non-Financial Foreign Entity
9. Passive Non-Financial Foreign Entity (Please complete list of Directors/Beneficial Owners)
10. Excepted Non-Financial Foreign Entity

Specified US Person

Yes No

If so, please provide US TIN: _____

Section B: Financial Institutions (FI)

(Please complete if you ticked box 2, 4 or 5 in section A)

Financial Institution (FI)

- 1. Please provide your Global Intermediary Identification Number ('GIIN'): _____
- 2. If you are unable to provide a GIIN, please tick one of the below reasons:
 - i The Entity is an IGA Partner Jurisdiction Financial Institution and has not yet obtained a GIIN
Sponsor's Name: _____
Sponsor's Name: _____
 - ii GIIN not yet obtained but sponsored by another entity which does have a GIIN
 - iii US person but not a Specified US person

Section C: Declarations and Undertakings

I/We declare (as an authorised signatory of the Entity) that the information provided in this form is, to the best of my/our knowledge and belief, accurate and complete.

I/We undertake to advise Davy and promptly provide an updated Self-Certification if any change occurs which causes any of the information contained in this form to be incorrect.

Authorised Signature(s) _____	Authorised Signature(s) _____
Capacity in which declaration is made _____	Capacity in which declaration is made _____

Authorised Signature(s) _____	Authorised Signature(s) _____
Capacity in which declaration is made _____	Capacity in which declaration is made _____

FATCA Useful Terms

This document is for information purposes only and does not constitute advice.

On the 12th December 2012 the Irish Minister for Finance signed an agreement with the US to implement FATCA in Ireland. This Intergovernmental Agreement (IGA) provides for the automatic reporting and exchange of information on an annual basis in relation to accounts held in Irish Financial Institutions by US persons, in return the US will exchange information regarding US Financial Accounts held by Irish residents.

Intergovernmental Agreement (IGA). An IGA means a Model 1 IGA or a Model 2 IGA. For a list of jurisdictions treated as having in effect a Model 1 or Model 2 IGA, see "List of Jurisdictions" available at www.irs.gov/fatca.

Foreign Financial Institution (FFI). A foreign financial institution (FFI) generally means a foreign entity that is a financial institution. It is any foreign entity that:

- Accepts deposits in the ordinary course of a banking or similar business (banks, credit unions);
- Holds financial assets for the account of others as a substantial portion of its business (brokerages, custodians); or
- Is engaged (or holding itself out as being engaged) primarily in the business of investing, reinvesting, or trading in securities, partnership interests, commodities, or any interest (including a futures or forward contract or option) in such securities, partnership interests, or commodities (mutual funds, private equity funds, hedge funds).

GIIN means a Global Intermediary Identification Number assigned to a PFFI or Registered Deemed Compliant FFI.

Non-Financial Foreign Entities (NFFEs). An NFFE is any non-US entity that is not treated as a Financial Institution. An NFFE will either be an Active NFFE or a Passive NFFE.

Criteria for determining an Active NFFE An Active NFFE is defined as any NFFE that meets ONE of the following criteria:

- Less than 50 per cent of the NFFE's gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50 per cent of the assets held by the NFFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income. For FATCA purposes, income received on assets used as capital in general insurance business should be treated as active rather than passive income;
- The stock of the NFFE is regularly traded on an established securities market or the NFFE is a

related entity of an entity the stock of which is traded on an established securities market;

- The NFFE is organised in a US Territory and all of the owners of the payee are bona fide residents of that US Territory;
- The NFFE is a non-US government, a government of a US Territory, an international organisation, a non-US central bank of issue, or an entity wholly owned by one or more of the foregoing;
- Substantially all of the activities of the NFFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an NFFE shall not qualify for this status if the NFFE functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
- The NFFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution; provided, that the NFFE shall not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFFE;
- The NFFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution; or
- The NFFE primarily engages in financing and hedging transactions with or for related entities that are not Financial Institutions, and does not provide financing or hedging services to any entity that is not a related entity, provided that the group of any such related entities is primarily engaged in a business other than that of Financial Institution.
- Excepted NFFE as defined in US Regulations or the NFFE meets all of the following requirements:
 - It is established and maintained in its country of residence exclusively for religious, charitable, scientific, artistic, cultural, or educational purposes;
 - It is exempt from income tax in its country of residence;
 - It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;

- The applicable laws of the entity's country of residence or the entity's formation documents do not permit any income or assets of the entity to be distributed to, or applied for the benefit of, a private person or non-charitable entity other than pursuant to the conduct of the entity's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the entity has purchased; and
 - The applicable laws of the entity's country of residence or the entity's formation documents require that, upon the entity's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the entity's country of residence or any political subdivision thereof.
- Any commodity hedging transaction described in section 954(c)(5)(A) of the US Revenue Code, determined by treating the entity as a controlled foreign corporation; or
 - Active business gains or losses from the sale of commodities, but only if substantially all the foreign entity's commodities are property described in paragraph (1), (2), or (8) of section 1221(a) of the US Revenue Code;

Passive NFFE

A passive non-financial entity/passive non-financial foreign entity (Passive NFFE) means any NFFE that is not (i) an Active NFFE or (ii) a withholding foreign partnership or withholding foreign trust pursuant to relevant US Treasury Regulations.

Passive Income

The term passive income means the portion of gross income that consists of:

- Dividends, including substitute dividend amounts;
- Interest;
- Income equivalent to interest, including substitute interest and amounts received from or with respect to a pool of insurance contracts if the amounts received depend in whole or part upon the performance of the pool;
- Rents and royalties, other than rents and royalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFFE;
- Annuities;
- The excess of gains over losses from the sale or exchange of property that gives rise to passive income described in items 1 to 5;
- The excess of gains over losses from transactions (including futures, forwards, and similar transactions) in any commodities, but not including:

- The excess of foreign currency gains over foreign currency losses;
- Net income from notional principle contracts. These are financial instruments that provide for the payment of amounts by one party to another at specified intervals calculated by reference to a specified index upon a notional principal amount in exchange for specified consideration or a promise to pay similar amounts (NB: in the UK this would normally be a swap);
- Amounts received under cash value insurance contracts; or
- Amounts earned by an insurance company in connection with its reserves for insurance and annuity contracts.

US Person

- A US citizen (or Dual Citizen) or resident individual e.g. Green Card holder.
- A partnership or corporation organised in the United States or under the laws of the United States or any State thereof.
- A trust if:
 - a court within the United States would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust; and
 - one or more US persons have the authority to control all substantial decisions of the trust, or an estate of a decedent that is a citizen or resident of the United States.

If you wish to trade in US shares please contact Client Data Management on 01 614 9028 to request a W8BEN-E series form.

Dublin Office

Davy House
49 Dawson Street
Dublin 2
Ireland

T +353 1 679 7788
dublin@davy.ie

Cork Office

Hibernian House
80A South Mall
Cork
Ireland

T +353 21 425 1420
cork@davy.ie

Galway Office

1 Dockgate
Dock Road
Galway
Ireland

T +353 91 530 520
galway@davy.ie

www.davy.ie