



Top-Up Investment Instruction Form

It is a prerequisite for providing LEAP services to you that you supply us with accurate, comprehensive and current details about you. Please complete all sections of this form diligently.

The information sought below are also utilised for anti-money laundering purposes, for your advisor to assess the suitability of investments, for Independent Trustee Company Limited ("ITC") to assess the appropriateness (where relevant) when receiving and transmitting orders on your behalf and for Conexim Advisors Limited ("Conexim") to assess the suitability and/or appropriateness (where relevant) of investments or services that may be provided to you.

Your Existing Account Details

LEAP Account Number(s)	
Name(s) on LEAP Account	

Please update the below information only if your details have changed since your last investment with us

Personal Details – First Applicant

Title		First name	
Surname		Gender	
Address		PPS Number	
		Occupation	
County		Home phone	
Date of birth		Mobile phone	
Place of birth		Work Phone	
Email address			
US citizen or Green Card holder	<input type="checkbox"/> Yes* <input type="checkbox"/> No		

Personal Details – Joint Applicant

Title		First name	
Surname		Gender	
Address		PPS Number	
		Occupation	
County		Home phone	
Date of birth		Mobile phone	
Place of birth		Work Phone	
Email address			
US citizen or Green Card holder	<input type="checkbox"/> Yes* <input type="checkbox"/> No		

Financial Advisor Details

Advisor Name		Telephone	
Advisor Firm		Email	
Address			

**Please note that we may require additional information if you are a US citizen or Green Card holder and may be unable to supply you with certain services due to custodian restrictions and FATCA requirements.*

Bank Account Details

Note: these details are required so we can transfer monies to you electronically from your accounts. Please note we cannot transfer monies to 3rd party accounts.

Account name	
Name of Bank / Building Society	
Address of Bank / Building Society	
IBAN No	
Swift/BIC	

Source of Funds / Source of Wealth Verification

We have an obligation to capture a number of details about the source of funds and source of wealth in relation to this application. This is required to satisfy Anti Money Laundering and Terrorist Financing Legislation. Please carefully and diligently fill in the sections below to assist us in this regard.

Confirmation of Source of Funds to be transferred

Please note that we can only accept funds when these are transferred electronically from an account in your name or joint names, or from a cheque drawn on same. If you are transferring funds from any other source, please indicate the source of funds below:

Source of Funds

This refers to funds provided for this investment:

Source	Salary/bonus	Inheritance	Savings	Redundancy	Investment proceeds	Other (please specify)
<i>First applicant</i>	<input type="checkbox"/>					
<i>Joint applicant</i>	<input type="checkbox"/>					

Source	< €25,000	€25,000 - €50,000	€50,000 - €75,000	€75,000 - €150,000	> €150,000
<i>First applicant</i>	<input type="checkbox"/>				
<i>Joint applicant</i>	<input type="checkbox"/>				

Source of Wealth

How did you accumulate your wealth:

Source	Salary/bonus	Inheritance	Savings	Redundancy	Investment proceeds	Pension contributions	Other (please specify)
<i>First applicant</i>	<input type="checkbox"/>						
<i>Joint applicant</i>	<input type="checkbox"/>						

Top-Up Form for Existing Investment Accounts. Account Number: _____

Investment Instruction - Model Portfolios

I wish to apply for a LEAP Model Portfolio Account as described in the Statement of Suitability/Investor Policy Statement as provided to me by my financial advisor.

The Model Portfolios below are risk weighted and designed to match particular investment objectives and attitudes to risk.

Please select only **ONE** Model Portfolio below.

For bespoke investments please detail investment choices overleaf.

global allocation



fund strategies

Portfolio	Cautious	Moderately Cautious	Moderate	Moderately Adventurous	Adventurous
Risk Rating*	3	3/4	4	4/5	5

Risk Rated Portfolio Selection:

Amount: € Minimum Investment €20,000



Research Based Approach
utilising Dimensional Funds

Portfolio	Ultra Defensive	Defensive	Moderate	Balanced	Growth	Equity Focus	Targeted Equity
Risk Rating*	2	3	3/4	4	4/5	5	6

Risk Rated Portfolio Selection:

Amount: € Minimum Investment €20,000



Ivy+ Risk Managed Funds

Portfolio	Balanced Growth Fund
Risk Rating*	4

Amount: € Minimum Investment €20,000



Portfolio	Defensive	Cautious	Balanced	Growth	Global Equity
Risk Rating*	3	4	5	6	7

Risk Rated Portfolio Selection:

Amount: € Minimum Investment €20,000



Please refer to PortfolioMetrix's Consent and Declaration, Mandate & Deal sheet for consent to services and dealing instruction

* The above risk ratings are indicative and can change. Please review the Key Features Documents and KIIDs for each of the options above prior to investment.

Additional Instructions

If you have any direct investment instructions, please indicate these below. Any comments detailed below will form part of the instruction on the account.

Name of fund, share, product	ISIN / Sedol / Ticker	Amount of money to invest
		€
		€
		€
		€
		€
		€
		€
		€

Rebalancing Instructions within Model Portfolios

I confirm that I wish to make this investment on an execution-only basis with Conexim, having received advice from my financial advisor. I understand that this means that Conexim will provide its services following my request and without having ascertained whether the service is suitable or appropriate for me.

I confirm that I have provided all the information required to enable my financial advisor to confirm that this investment is suitable for me and I confirm that I am instructing Conexim to follow this recommendation, or I am making this instruction on an execution-only basis. I confirm that I have requested Conexim to provide its services to me on an execution-only basis and that I do not wish to provide any financial or other personal information to Conexim to enable it to determine whether the service is appropriate for me, as my financial advisor has provided investment advice and assessed the suitability of this investment for me, or I am making this instruction on an execution-only basis.

I note that in some of the model portfolios available through LEAP, in order to maintain the asset allocation discipline of my chosen portfolio after I have invested Conexim will, from time to time, need to rebalance the holdings in my portfolio to the percentage allocations at the date of my original investment ("**Original Asset Allocation**"). I note that a rebalance will need to be effected on my behalf where the asset allocations in my portfolio drift by the amount specified in the Key Features Document ("**Asset Allocation Drift**") relative to that model portfolio. This pre-authorized rebalance to the Original Asset Allocation will normally be effected by Conexim at 10am (Irish time) on the first business day following the occurrence of the Asset Allocation Drift (the "**Rebalance Date**") provided the Asset Allocation Drift has still occurred at that time.

Where Asset Allocation Drift has occurred in my portfolio, I HEREBY INSTRUCT Conexim to effect, on the Rebalance Date, the number of sale and buy instructions of units in each of the funds in the portfolio, based on the published net asset value of the funds on the Rebalance Date, as are required to restore each of the holdings in the portfolio to my Original Asset Allocation.

I understand and acknowledge that I retain absolute discretion over all investment decisions and that I may by notice in writing to my financial advisor and/or Conexim rescind this/these standing rebalancing instruction(s).

I understand that the above pre-authorized rebalancing instruction(s) is/are designed to maintain the asset allocation discipline of my chosen portfolio after I have invested. I understand that the Original Asset Allocation may change due to market movements and the above pre-authorized rebalancing instruction is intended to restore my investment to the Original Asset Allocation in order to keep my portfolio consistent with my risk appetite as I have described it to my financial advisor.

Should I wish to change into a different portfolio with different asset class allocations, this can be facilitated but will require a new instruction from me accepting the changes in the risk/return characteristics of the chosen portfolio.

Consent and Declaration

1. Declaration

I declare that the information provided by me on this form is correct and I undertake to immediately inform my financial advisor should any of the information change.

2. Receipt and understanding of Terms of Business

This is my application to open a LEAP account and for ITC and Conexim to provide LEAP services, as set out in the Terms of Business (the "Terms").

I have received the Terms of Business in relation to the LEAP services and have read them carefully. In particular, I confirm that I understand and agree to the following terms, policies and statements, i.e. the Risk Disclosure Statement, Summary Order Execution Policy, Summary Conflicts of Interest Policy and 'The Pershing Agreement'.

3. Receipt of Clients Assets Key Information Document ("CAKID")

I confirm I have received a CAKID relating solely to the client assets which Conexim instructs PSIL to provide safe custody and nominee services on your behalf and outlines the Client Asset Regulations as they pertain to Pershing Securities International Limited only.

4. Invitation to treat

I understand that my completing and submitting this form and associated documents (if any) is an invitation to treat and that ITC, Conexim, Pershing Securities International Ltd ("PSIL") and Pershing Securities Ltd ("PSL") are not bound by the Terms until such times as a welcome letter is communicated to me and my advisor, an account opened in respect of my investments and funds contributed or in specie transfer of existing funds, shares, or product effected. I further note that the Terms may subsequently change as provided for in the Terms.

5. Investor Declaration

I confirm that I have taken such professional advice as appropriate in connection with the quality, suitability and appropriateness of the investments provided for inclusion in my portfolio. I understand that this means that Conexim will provide their services following my request and without having ascertained whether the service is suitable or appropriate for me and that their services may be provided on an "execution-only" basis. Where Conexim rebalance investments within a model portfolio I confirm that such rebalancing is based on the pre-authorized rebalancing instruction as detailed in the model portfolio guides, which I have received a copy of, and that such rebalancing does not imply that Conexim is making an assessment of suitability or appropriateness for the purposes of providing LEAP services to me and if any discretion is employed it is only to rebalance the portfolio to remain consistent with the characteristics for each model portfolio as specified in the model portfolio guides.

6. Express consent to execute order outside of regulated market or multilateral trading facility

Where I have requested that an order be executed in an instrument admitted to trading on a Regulated Market ("RM") or Multilateral Trading Facility ("MTF"), then I acknowledge that PSL may execute such order outside an RM or MTF in accordance with PSL's execution policy and I hereby give my consent for such execution.

7. Fees, commissions, charges

I have received details of the fees, commissions and charges in relation to the LEAP services and I agree to these. In doing so, I confirm that Conexim has explicit permission to deduct such amounts from my account to satisfy any indebtedness to my advisor, ITC, Conexim or PSIL.

8. Taxation

I confirm that no representations have been made to me and I rely on no confirmations or actions by ITC, or Conexim regarding the tax treatment or any tax advantage understood by me as applicable. To this end I will have to take my own, separate tax advice.

9. W-8BEN

I understand that I will be unable to trade in US securities until a correctly completed W-8BEN form has been submitted and lodged with the appropriate withholding agent. I understand that while W-8BEN form may confer certain reliefs and exemptions with regards to withholding tax under the terms of the Double Taxation Agreement between Ireland and the United States, it is not the responsibility of my advisor, ITC or Conexim to claim or secure any such reliefs or exemptions or notify me should such reliefs or exemptions not be available. To that end, I will take my own tax advice.

10. Contract notes

I understand that I will not receive trade confirmations from each individual trade entered into within a model portfolio, but instead will have the ability to query any transaction in my online account. Conexim will receive and store all trade confirmations on my behalf, as well as providing the trade confirmations to ITC, as well as providing the trade confirmations to my advisor.

11. Advisor Fees

The charges payable to my financial advisor which will be levied and deducted from my LEAP account are:

Implementation Charge (€ or %)

Indicate only if a change to the annual charge is to be made

Annual Charge (€ or %)

Annual charge will be as per original investment instruction unless otherwise indicated. Any amendment to the annual charge will be reflected across the total account value.

I hereby consent to the deduction of these charges from my account(s). The implementation charge will be deducted once cleared funds are received into my account, and the annual charge will be deducted quarterly in arrears at the end of each calendar quarter. Should I close my account within a charging period, a charge will be made on pro-rata basis based on the average amount of holdings in the account during the period. I acknowledge receipt of a charging schedule which details the charges levied by ITC and Conexim in relation to the LEAP services.

 First Applicant Signature

 Print Name

 Date

 Joint Applicant Signature

 Print Name

 Date

Advisor Declaration

I declare that I have met the above named applicant and have explained the relevant investments provided within the LEAP services and am satisfied that the investments chosen on this application form are suitable for their needs and risk profile. I can confirm that I/we fully comply with Anti Money Laundering and Terrorist Financing Legislation.

Advisor Signature

Print Name

Date

