

Application Form

Broker Solutions Safety First Bond

AUGUST 2020

Application Form

Broker Solutions Safety First Bond

Please note that by signing this Application Form, you are confirming that you have read and understood the material in the Brochure and the Base Prospectus and that you have received advice from your Financial Broker in relation to the suitability and appropriateness of this investment for you. If you are unclear about any of the information presented in the Brochure or the Base Prospectus or about the suitability of this investment for you, please seek further advice from your Financial Broker before completing this Application Form.

In order to effect this investment, unless you are an insured pension investor, you will also need to open an Execution Only Account with Cantor Fitzgerald Ireland (“Cantor”). The Cantor Execution Only Stockbroking Account Opening Form (which includes its Terms of Business and Client Asset Key Information Document) is included within this pack of documentation for your completion. Note that Cantor will only provide you with an Execution Only service. Neither Cantor nor Broker Solutions will provide you with any investment advice or recommendation nor will it carry out any assessment of suitability or of appropriateness relating to your proposed investment. Your Financial Broker will provide you with investment advice or a recommendation and it will carry out an assessment of suitability or appropriateness of this investment for you. Cantor shall rely on the information transmitted to it by Broker Solutions in relation to you, the client, and shall rely on the assessment carried out by your Financial Broker.

1. Investor Information

Please complete Section A, B or C (as appropriate) and Section D in BLOCK CAPITALS and return along with your cheque made payable to Cantor Fitzgerald Ireland (or the investing life company where an investment is made on behalf of a Self-Directed or Self Invested Insured Pension Plan). Prior to any transaction being entered into, a completed Application Form must be received.

I/We hereby apply for the Broker Solutions Safety First Bond in the name(s) of:

A. Personal Investors

Primary Name*:	Date of Birth:
Address*:	Occupation:
Telephone Number (Home):	Mobile Number:
Email Address:	Nationality:
PPS Number:	Country of Residence:
Secondary Name*:	Date of Birth:
Address*:	Occupation:
Telephone Number (Home):	Mobile Number:
Email Address:	Nationality:
PPS Number:	Country of Residence:

*Certified proof of Identity and Address required.

If your investment is being made together with another person you acknowledge that the investment will be a joint investment between the persons named herein.

B. Pension/Post Retirement Investors

Scheme Name:

Scheme Provider Name:

Pre or Post Retirement:

Scheme Type:

Policy/Plan/Account Number:

Revenue Number:

Scheme/Trust/Fund Legal Entity Identifier (LEI):

Trustee Company LEI:

Country of Residence:

C. Corporate Investors

Entity Name:

Primary Contact Name:

Address:

Primary Contact Phone:

Company Phone:

Primary Contact Email:

Website Address:

Company Number:

Revenue Number:

Legal Entity Identifier (LEI):

Country of Residence:

D. All Investors

Foreign Account Tax Compliance Act (FATCA): Are you a citizen of, or resident for tax purposes in the US?

Primary Investor: Yes No

Secondary Investor: Yes No

Common Reporting Standards: Are you resident in any country or territory other than Ireland for tax purposes?

Primary Investor: Yes No

Secondary Investor: Yes No

If Yes, please list below the countries/territories in which you are resident and provide the relevant Tax Identification Number(s) (TIN) in each case:

Primary Investor: Country/Territory: _____ TIN: _____

Secondary Investor: Country/Territory: _____ TIN: _____

Source of Wealth & Source of Funds

Source of Wealth: _____

Eg: Surplus Earned Income/Investment Gain or Income/Sale of Asset(s)/Retirement Lump Sum/Maturing Investment etc.

Source of Funds: Payment by: (A) Cheque (drawn on an account in the name of the investor(s))

(B) EFT

(C) Existing Cantor Account

Note: Drafts will not be accepted.

Investor Experience/Suitability & Appropriateness

I/We would describe myself/ourselves as having the following Investment Knowledge and Experience:

- Basic (e.g. have never made an investment decision before)
- Informed (e.g. have made a number of investments in the past)
- Advanced (e.g. make regular investments on a frequent basis)

Do you have any other experience or training relevant to making investment decisions?

- Yes No

If yes, please provide any details:

Please tick box A, B or C for each of the 9 investment product categories below and indicate the number of investments made and whether you were advised by a Financial Broker in each case:

Investment Type	(A) Basic Knowledge & Experience	(B) Informed Knowledge & Experience	(C) Advanced Knowledge & Experience	(Number of Investments in the last 5 years)	Advised by a Financial Broker (Y/N)
Equities					
Bonds					
Alternatives (commodities, hedge funds, private equity etc.)					
Real Estate					
Funds (all collective investments)					
Tax Based Investments					
Derivatives					
Structured Products (Capital Protected)					
Structured Products (Capital at Risk)					

Do you understand the risks of the investment, including the potential that you could lose 5% of the amount invested? Yes No

Do you understand that the Bond is designed to be held for the full 5 year investment term and if you encash it early, the amount you may receive would depend on the value of the Certificates at the date of sale and that this value could be less than the amount you invested or the Capital Protected amount? Yes No

Do you understand that if BNP Paribas is unable to pay the amounts due when the investment matures, or on earlier encashment, you may lose 5% of your initial investment as well as any future potential return which you might have otherwise expected? Yes No

Are your Investment Objectives and Risk Profile consistent with the Target Market described in Section 2.2 of the Brochure? Yes No

Do you understand that you will not be entitled to compensation under any Deposit Protection Scheme as a result of your investment in this Bond? Yes No

Do you understand the fees and charges described in the Costs and Charges Section 2.7 of the Brochure? Yes No

2. Application Amount

I/We wish to invest € _____ in the Safety First Bond.

(€250,000 minimum in denominations of €1,000) and if necessary, to open a Cantor Account to do so.

3. Investor Declarations (Please confirm by ticking the boxes)

- I/We declare that the details above are correct, and that
- I/We are over 18 and confirm that
- I/We understand the Key Features and Terms & Conditions of the Bond set out in the Brochure and the Base Prospectus.
- I/We confirm that the Bond is consistent with my/our Investment Objectives and Risk Profile.
- I/We understand that the indicative terms outlined in the brochure are subject to change and that the final terms will not be known until 6 November 2020.
- I/We understand that I/We can lose 5% of the amount invested.
- I/We understand that the investment will not be deemed to have been made until the application has been accepted and that, if and when accepted, the investment will commence on 13 November 2020.
- Where applicable, I/we confirm that I/we have received a copy of the Cantor Fitzgerald Ireland Terms of Business and Client Asset Key Information Document (“CAKID”) and that I/We have read and understood this document and its contents.
- Where applicable, I/we hereby request and authorise you to place my/our Investment Amount in a Client Asset Account in the name of Cantor Fitzgerald Ireland.
- Where applicable, I/we hereby authorise you to transmit to Cantor client information you hold on me.

Primary Signature: _____ Date: _____

Secondary Signature: _____ Date: _____
(Trustees where applicable)

Warning: If you invest in this Bond you may lose 5% of the money you invest.

Warning: The value of your investment can go down as well as up.

4. The General Data Protection Regulation (GDPR) Consent:

I/we authorise Broker Solutions to hold my/our personal data on file and to process it for the purposes intended.

Primary Signature: _____ Date: _____

Secondary Signature: _____ Date: _____
(Trustees where applicable)

5. Financial Broker Declarations (Please confirm by ticking the boxes)

- We have conducted a full review of this investor's financial circumstances.
- This Bond (in the form of Certificates involving derivatives and therefore a complex product) is suitable and appropriate for the investor.
- The investor understands the Key Features and the risks of the Bond.
- This Bond is consistent with the investor's Investment Objectives and Risk Profile.
- The investor is consistent with the Target Market described in Section 2.2 of the Brochure.
- We have advised the investor that they can lose 5% of the amount invested.
- We have complied in full with the Anti Money Laundering (AML) and combating terrorist system that applies to all designated bodies.
- Where an investor has been identified as potentially vulnerable, we have followed our internal procedures in this regard.
- We confirm that we are appropriately authorised by the Central Bank of Ireland to recommend this Bond to the investor and have done so in accordance with the requirements of such authorisation and also with due regard to the suitability and appropriateness approaches as laid down by the ESMA Guidance (ESMA(2014/146)).

Firm Name: _____

Advisor Name: _____ Date: _____

Advisor Signature: _____ Date: _____

Bank Account Details

Please make Electronic Fund Transfers (EFTs) to the following account:

Bank Name: Ulster Bank

Swift/BIC Code: ULSBIE2D

IBAN: IE72ULSB98501031911845

A/C Name: Pershing Securities International Limited Client Asset Account - Hub Account

Reference: Cantor Fitz & Investor Name

Warning: Please do not make any Electronic Fund Transfers until you have received confirmation that your Cantor Account has been opened (if you are using this Account for the first time) or is fully operational (if you have used this account before). Your Financial Broker will assist you in this regard.

Warning: US persons may not invest in the Bond.

Application Checklist

1. Completed Application Form
Completed by Investor and by the Financial Broker

2. Completed Cantor Account Opening Application Form
Completed by Investor and by the Financial Broker

3. Payment
Cheque, EFT or Existing Cantor Account
(Drafts will not be accepted)
Cheques made payable to Cantor Fitzgerald Ireland
Account Details for EFTs on page 6
Investments via Pension & Post Retirement Schemes
transfer investment monies via Administrator/Trustee

4. Personal Investors

Certified Proof of Identity: Certified copy of valid passport, driving license for each Investor

2 Certified Proofs of Address: Certified copy of 2 valid (within last 6 months) Proofs of Address e.g. utility bills (not mobile phone), bank statements, correspondence from Revenue/Department of Social & Family Affairs, correspondence from Local Authority, Household/Motor Insurance Certificate or renewal notice etc.

5. Self Administered Pensions Trusts

Certified copy of the Trust Deed

Certified copy of the Revenue Approval Letter

TRUSTEE COMPANY:

Proof of Identity: Certified copy of valid Proof of Identity for each Trustee Authorised Signatory signing the Application Form(s)

Proof of Address: Certified copy of 2 valid Proofs of Address for each Trustee Authorised Signatory signing the Application Form(s)

Legal Entity Identifier: Trust LEI & Trustee Company LEI provided on Application Form(s)

BENEFICIARY:

Proof of Identity: Certified copy of valid Proof of Identity

Proof of Address: Certified copy of 2 valid Proofs of Address

6. Self Administered ARFs/AMRFs

Certified copy Management Agreement (or other relevant set up document)

TRUSTEE COMPANY:

Proof of Identity: Certified copy of valid Proof of Identity for each Trustee Authorised Signatory signing the Application Form(s)

Proof of Address: Certified copy of 2 valid Proofs of Address for each Trustee Authorised Signatory signing the Application Form(s)

Legal Entity Identifier: Trust LEI & Trustee Company LEI provided on Application Form(s)

BENEFICIARY:

Proof of Identity: Certified copy of valid Proof of Identity

Proof of Address: Certified copy of 2 valid Proofs of Address

7. Companies

Certified copy of Certificate of Incorporation

Certified copy of Memorandum and Articles of Association

Authorised Signatory List

Proof of Identity: Certified copy of valid Proof of Identity for each Authorised Signatory signing the Application Form(s)

Proof of Address: Certified copy of 2 valid Proofs of Address for each Authorised Signatory signing the Application Form(s)

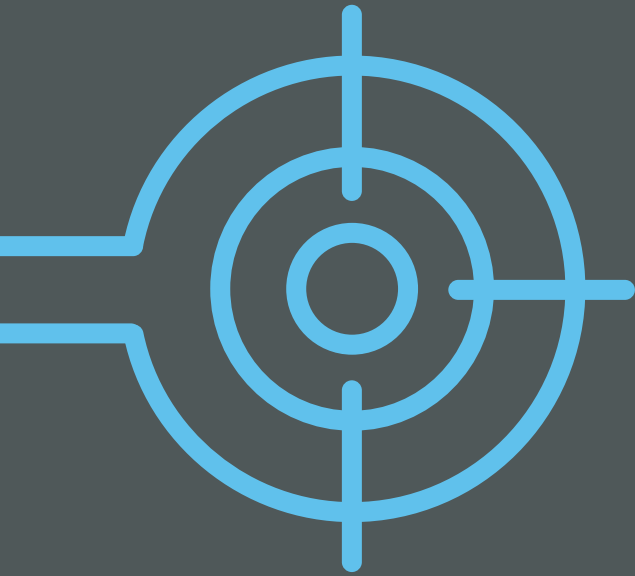
Latest Audited Accounts

Certified Proof of Registered Business Address

Legal Entity Identifier (LEI) provided on Application Form(s)

8. Insured Pension and Insured ARF/AMRF investors

All documentation and investment instructions submitted to the relevant life company



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Sandyford, D18 X4A4

www.brokersolutions.ie

MMPI Limited trading as Broker Solutions is regulated by the Central Bank of Ireland.