



ARIA | CAPITAL

STRICTLY PRIVATE & CONFIDENTIAL
CORPORATE ACCOUNT APPLICATION FORM
AND DECLARATION OF CONSENT

*Aria Capital Limited is regulated by the Central Bank of Ireland
(Regulated Business only)*

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For Office Use Only

Client name(s):	Account type: A <input type="checkbox"/> D <input type="checkbox"/> E <input type="checkbox"/> Other _____ <input type="checkbox"/>
Client reference:	
Portfolio manager:	



IMPORTANT NOTICE

This is an application to open an Aria Capital Portfolio Account. It is important that you complete all sections of this application carefully. If you require any assistance please contact Aria Capital at private@aria-capital.ie or (01) 6854 100.

Aria Capital Ltd. ("Aria Capital") is authorised as a Multi-Agency Intermediary and Deposit Broker by the Central Bank of Ireland ("Central Bank") under Section 10 of the Investment Intermediaries Act, 1995 (as amended) and as an Insurance Intermediary under the European Communities (Insurance Mediation) Regulations, 2005 (as amended). Conexim Advisors Ltd. ("Conexim") is regulated by the Central Bank of Ireland under Regulation 11(1) of the European Communities (Markets in Financial Instruments) Regulations 2007, and as an insurance intermediary under the European Communities (Insurance Mediation) Regulations, 2005 (as amended).

1. IDENTITY DOCUMENTATION

In order to comply with Anti-Money Laundering regulations, we are required to verify your name and address. Please provide the documentation as outlined below. For joint applicants this information is required for both parties.

AUTHORISATION AND SIGNATORY MANDATE

A mandate of the Board of the Directors, signed by a minimum of two Directors, as well as any individuals nominated to act on behalf of the company, authorising Aria Capital and Conexim to set up the account and to accept instructions.

CORPORATE DOCUMENTS

Certified copies* of the following:

- Certificate of Incorporation of the Company
- Memorandum and Articles of Association of the Company
- Most recent audited accounts
- 2x Proof of Registered Address (and Mailing address if different) - e.g. Utility Bill or Bank statement

NAME VERIFICATION FOR 2 X DIRECTORS / ALL AUTHORISED SIGNATORIES ON THIS ACCOUNT

An original or a certified copy* of current valid passport or full Irish driver's licence.

ADDRESS VERIFICATION FOR 2 X DIRECTORS / ALL AUTHORISED SIGNATORIES ON THIS ACCOUNT

Any two of the following forms of proof of address. All documents must be originals or certified copies* and must be less than 3 months old.

- Utility bill (gas, electricity, local authority bill, landline telephone bill, etc). Mobile phone bills cannot be accepted.
- Bank statement, Credit Union statement or credit card bill.
- Current balancing statement from Revenue Commissioners
- Social insurance documents
- Current household/motor insurance certificate.
- Notification of Determination of Tax Credits or Tax Clearance Certificate

* A certified copy is one that has been signed and stamped as 'a true copy of the original' by a solicitor, commissioner for Oaths, Garda, chartered accountant, bank official or a regulated entity, or another designated person as understood under The Criminal Justice (Money Laundering and Terrorist Financing) Act 2010 (as amended).

2. SERVICE LEVEL

Please tick one

- Advisory
- Execution only
- Transactions authorisation First Named Second Named Any Named All Named Special instructions

Special instructions



3. COMPANY INFORMATION

Full Company Name

Registration Number

Principal Business Activity:

Registered Address

Mailing Address (if different)

Main Contacts / Presenters:

Position / Title

E-mail address

Telephone

4. BANK DETAILS

Monies may only be transferred from your portfolio to the bank account detailed below. Any amendment to these details must be notified to us in writing. Please note that we cannot transfer monies from your portfolio to a 3rd party account.

Bank/Building Society

Branch name and address

Account name

Account number

Bank Sort Code

SWIFT/BIC

IBAN number



5. CONSENT AND DECLARATION

- 5.1 **Declaration**
I declare that the information provided by me in the Application Form and in this Declaration is correct and I undertake to inform Aria Capital without delay and in writing should any of the information change.
- 5.2 **Receipt and understanding of Terms**
I have received and read the Terms of Business ("Terms") governing this application. I understand that Aria Capital, Conexim, Pershing Securities International Ltd ("PSIL") and Pershing Securities Ltd ("PSL") and I are bound by the Terms if my application is completed. I further note that the Terms may subsequently change as set out in the Terms.
- 5.3 **Confirmation of Capacity of Investment**
I confirm that I understand that where I have received investment advice from Aria Capital and/or I am acting in an execution-only capacity in relation to this account I am not requesting Conexim to provide an assessment of suitability or appropriateness in relation to investments on this account. I acknowledge that it is my responsibility to notify Aria Capital of any matters that may affect the assessment of my risk profile, and that there have been no such changes other than as noted on this application form.
- 5.4 **Receipt of and Consent to Order Execution Policy**
I have received information regarding both Conexim and PSL's Order Execution Policy, and by signing this document I consent to having my orders executed as set out in those policies.
- 5.5 **Express Consent to Execution of an Order outside of a Regulated Market or MTF**
Where I have requested Aria Capital or Conexim to transmit an order for execution 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 our consent for such execution.
- 5.6 **Receipt and understanding of Summary Conflicts of Interest Policy**
I have received and understand the summary Conflicts of Interest Policies from Aria Capital, Conexim and PSIL.
- 5.7 **Fees, Commissions and Charges**
I have received details of the fees, commissions and charges in relation to the account to be set up based on this application and I have agreed to these. In doing so I confirm that Conexim has explicit permission to deduct such amounts from my account(s) to satisfy any indebtedness to Aria Capital, Conexim or PSIL.
- 5.8 **Taxation**
I acknowledge and confirm I understand that there can be no guarantee that the tax treatment or any tax advantage promoted as part of any investment or scheme will remain in existence. I acknowledge and confirm that Aria Capital or Conexim will not be responsible for assessing the tax implications of investing in any particular instrument or any recommendations that they may make and that I should always take independent professional tax advice before making an investment decision. Aria Capital or Conexim will never act as a promoter or tax adviser in relation to transactions or schemes designed to enable a person to obtain a tax advantage, as defined in the Finance Act 2010. Should I knowingly receive a tax advantage from any particular investment or series of investments, I hereby confirm and acknowledge that it is me, my tax advisor, or the promoter of any such scheme who is responsible for disclosing any such tax advantage gained under the mandatory disclosure regime introduced by the Finance Act 2010, or any applicable regime in place at any particular time, and it is not the responsibility of Aria Capital or Conexim to identify or disclose any tax advantage gained from any such transactions.
- 5.9 **W-8 BEN**
I have received a copy of the W-8 BEN form and a document designed to assist in its completion. I understand that I will be unable to trade in US Securities until a correctly completed W-8 BEN has been provided to Aria Capital and this has been lodged with the appointed withholding agent. I understand that it is beneficial for clients who may be selling US securities and possibly receiving income in the form of dividends from US securities to complete this form, as it reduces the tax rate that would ordinarily be charged on such income or sales. This is facilitated by the double taxation agreement in place between Ireland and the United States.

6. CONSENT TO TERMS

Before completing and returning this form please ensure that you have read and understood the Terms and the Services you intend to avail of, including reading and understanding the Terms of Business, Risk Disclosure Notice, Summary Conflict of Interest Policy, Order Execution Policy and Schedule of Fees and Charges.

I hereby declare that all information supplied on this form and in any accompanying documentation is current and accurate to the best of my knowledge and I undertake to inform Aria Capital without delay and in writing should any of the information change.

Please sign below to confirm your consent to these Terms and please return the original to us.

SIGNATURE	NAME (PRINTED)	DATE
First Signature: 	<input data-bbox="641 1928 1112 1991" type="text"/>	<input data-bbox="1150 1928 1442 1991" type="text"/>
Second Signatory (if required) 	<input data-bbox="641 2007 1112 2067" type="text"/>	<input data-bbox="1150 2007 1442 2067" type="text"/>



Certified Board Resolution

I, _____
(Name)

in my position as _____
(Director/Secretary)

of _____
(Company Name)

(the "Company") certify that the following resolutions were duly passed by the Directors of the Company at a meeting held on

(Date)

It was resolved as follows:

1. That account(s) (the "Account(s)") be opened in the name of the company for the purpose of trading in investment instruments and contracts, as well as any related or ancillary transactions.
2. That an agreement be entered into in connection with the opening of the Account(s) in such form as Aria Capital Limited ("Aria Capital") and Conexim Advisors Ltd ("Conexim") shall require (the "Agreement") and that all transactions entered into by the Company shall be subject to the Terms of Business and the Agreement as amended from time to time.
3. That each of the persons whose names and specimen signatures appear in the section below (the "Authorised Signatories") shall be and are hereby jointly and severally authorised to sign any document in connection with the opening or operation of the Account(s), including (but without limitation) the Agreement and any document creating, perfecting or relating to any mortgage, charge or encumbrance over the Company's assets and to give any oral or written instructions to Aria Capital or Conexim with respect to the Account(s) including (but without limitation) instructions to the effect or otherwise enter into transactions with or on behalf of the Company.
4. That any transaction of any description whatsoever previously entered into by the Company with or through us be and are hereby ratified and approved.
5. That these Resolutions be communicated to us and shall remain in force and that we shall be entitled to rely on the same until an amending resolution be passed and a copy certified by an officer of the Company shall be received by Aria Capital or Conexim.

(Signature of Director / Company Secretary)

(Date)

Authorised Signatory Specimens

Print Name:
Capacity: (Director/Other)
Signature:
Date:

Print Name:
Capacity: (Director/Other)
Signature:
Date:

Print Name:
Capacity: (Director/Other)
Signature:
Date:

Print Name:
Capacity: (Director/Other)
Signature:
Date:

*(Please supply additional signatories on additional page if required)

Please note, it is the applicant's responsibility to inform Aria Capital of any changes in the Authorised Signatories to the account.