

# INVESTMENT PROFILE FOR COMPLEX INSTRUMENTS

This form must be completed if you wish to trade in complex instruments.

| Account | Number |
|---------|--------|

Account Name

Where you propose to trade in complex instruments we are required to consider information that you provide regarding your knowledge and experience of investing and to take that information into account in assessing whether the investment product envisaged is appropriate for you. This includes trading in unlisted shares (grey market), warrants, futures and options, certain investment trusts, unit trusts, mutual funds, private equity and alternative investments.

### 1. (i) How would you describe your knowledge and understanding of investments?

investments and the relationship

between returns and risk.

| ~      |           |  |
|--------|-----------|--|
| ()     | Limited   |  |
| $\cup$ | Liiiiicoa |  |

## Little prior experience of investments having mainly held money on deposit until now; limited knowledge of

#### ⊖ Good

Some knowledge and experience of investments; understand the different investment types and that the investments that offer higher returns generally bring higher risks.

#### 

Knowledge and experience of a broad range of investment types and their risks having actively invested in them over a period of time; or have worked in the financial sector.

Please give details

2.

3.

# (ii) Please give us details of the investments you have made in the last 12 months

(excluding details of investments made where you have received financial advice).

|  | Yes/No    | )   | Frequency<br>(e.g. daily, weekly, monthly, etc.) | Amount |  |
|--|-----------|---|--|--------|--|
| Equities   | ⊖ Yes     | ⊖ No  |  |        |  |
| Bonds  | ⊖ Yes     | ⊖ No  |  |        |  |
| Collective Investment Scheme<br>(incl. UCITs)  | es () Yes | ⊖ No  |  |        |  |
| Alternative<br>(incl. private equity, non-UCITs)   | ⊖ Yes     | ⊖ No  |  |        |  |
| Derivatives  | ⊖ Yes     | ⊖ No  |  |        |  |
| Do you currently consult with a professional advisor for investment advice?                    |           | ○ Yes ○ No<br>(if yes, please give details) |  |        |  |
| Advisor Name Relationship  |           |   |  |        |  |
| Advisor Address  |           |   |  |        |  |
| Do you hold any relevant investment qualifications or are you a member of a professional body? |           |   |  |        | <ul> <li>○ Yes</li> <li>○ No</li> <li>(if yes, please give details)</li> </ul> |
|  |           |   |  |        |  |

J&E Davy, trading as Davy, is regulated by the Central Bank of Ireland. Davy is a member of Euronext Dublin and the London Stock Exchange. In the UK, Davy is authorised by the Central Bank of Ireland and authorised and subject to limited regulation by the Financial Conduct Authority. Details about the extent of our authorisation and regulation by the Financial Conduct Authority are available from us on request. Confidential © Davy 2018. No part of this document is to be reproduced without our prior written permission. Your answers will help us to understand your investment and financial needs and to give you a better investment service. Any information that you provide here will be treated in accordance with the Data Protection Acts 1988 & 2003, and our own principles regarding client confidentiality. Please see our Terms & Conditions for more information on our policies on personal information.