How to complete this form: Please use BLOCK CAPITALS. All sections are mandatory.

- **To open a TD Direct Investing Trading Account, please complete sections 1 to 4 of this form and ensure that you sign (X) and date the Declaration in section 5.**
- **Please complete section 6 if you wish to trade in Warrants and/or Securitised Derivatives, such as Covered Warrants.**
- **Please ensure you read the TD Direct Investing Customer Terms of Service available on our website, www.tddirectinvesting.ie, before completing the form.**
- **Should you require any help completing this form, please call us on 1 800 646 582.**
- **If you already have an account, please enter your Customer Account Number here:** ☐☐☐☐☐☐☐

1 About yourself

First applicant details

Title	
Forename	
Middle name(s)	
Surname	
Date of birth	DD / MM / YYYY
Nationality	
Country of residence	REPUBLIC OF IRELAND
Tax Identification Number or place of birth (town and country)	
Home phone no. inc code	
Work phone no. inc code	
Mobile phone no.	
Email address *	
Mother's maiden name	

Joint applicant details

Title	
Forename	
Middle name(s)	
Surname	
Date of birth	DD / MM / YYYY
Nationality	
Country of residence	REPUBLIC OF IRELAND
Tax Identification Number or place of birth (town and country)	
Home phone no. inc code	
Work phone no. inc code	
Mobile phone no.	
Email address *	

***As you will receive correspondence electronically, please ensure that you have included your email address.**

First applicant address

Residence Type: Homeowner – owned outright ☐ Homeowner – subject to mortgage ☐ Tenant ☐ Living with relatives ☐

Time at current address: Years ☐ Months ☐

Joint applicant address

Residence Type: Homeowner – owned outright ☐ Homeowner – subject to mortgage ☐ Tenant ☐ Living with relatives ☐

Time at current address: Years ☐ Months ☐

If you have lived at your residence for less than 3 years, we need you to provide us with your previous address detail below.

First applicant previous address

Time at previous address: Years ☐ Months ☐

Joint applicant previous address

Time at previous address: Years ☐ Months ☐

Continued...

2 Employment status (please complete as appropriate)

First applicant

- ☐ Full time employment
- ☐ Part time employment
- ☐ Self employed
- ☐ Retired
- ☐ Homemaker
- ☐ Unemployed
- ☐ Student
- ☐ Armed Forces

Joint applicant

- ☐ Full time employment
- ☐ Part time employment
- ☐ Self employed
- ☐ Retired
- ☐ Homemaker
- ☐ Unemployed
- ☐ Student
- ☐ Armed Forces

Employer's name

Employer's address

No. of years in current employment YY / MM

Employer's name

Employer's address

No. of years in current employment YY / MM

3 Withdrawals from your Account

Please provide details of your bank account into which you wish to receive withdrawals from your Trading Account.

Bank Identification code (BIC)

International Bank Account Number (IBAN)

You can find these details on your Bank Account correspondence or alternatively from your Bank.

4 Additional Services to Your Trading Account (please tick as appropriate)

Multi Currency Savings Account

Do you want us to add a Multi Currency Savings Account? ☐

With a Multi Currency Savings Account you can hold EUR, GBP, USD and CAD.

We realise some customers may not wish to receive interest on their uninvested cash. If you do not wish interest to be paid please tick this box. ☐

Your Password

You will receive both your Login and Dealing passwords by email, so please ensure that your email address is correct.

Account Administration

You will receive your account administration messages such as Statements, Contract Notes and Corporate Action Notifications electronically.

If you would like to receive news and email information on other products and services offered by TD Direct Investing or other members of its Group of companies by email or SMS please tick this box ☐. You may unsubscribe from this service at anytime by contacting us on 1 800 646 582.

5 Declaration (please read and sign this section)

To open a TD Direct Investing Account and receive Banking Services all applicants must read and complete the relevant sections below. Before signing the Declaration you should ensure that you have read and understood the TD Direct Investing Customer Terms of Service.

- I/We confirm that I/we have read and understood the TD Direct Investing Customer Terms of Service, and agree to be bound by their terms.
- I/We confirm that I/we have read and consent to the use of my/our personal information as set out in clause 19 of the TD Direct Investing Customer Terms of Service.
- I/We understand that by submitting this form, I am/we are indicating my/our consent to receiving marketing information as described in the "keeping you informed" section as set out in clause 19.2 of the TD Direct Investing Customer Terms of Service unless I/we have indicated an objection to receiving such information by ticking the following box. **First applicant** ☐ **Joint applicant (if applicable)** ☐
- I/We confirm that I am/we are 18 years of age or over and agree that the information in this form is true and correct to the best of my/our knowledge and beliefs.
- I/We confirm that my/our permanent address is not outside the Republic of Ireland.
- I/We will undertake to notify you promptly of any changes to the details supplied.
- I/We confirm that this Account is not to be used for or on behalf of anyone other than the applicant(s), without disclosure to TD Direct Investing.

First applicant signature

✗

Date D D M M Y Y Y Y

Joint applicant signature

✗

Date D D M M Y Y Y Y

Continued...

6 Appropriateness Assessment – UK Warrants & Securitised Derivatives

Product Information

Warrants

A warrant is a time-limited right to subscribe for shares, debentures, loan stock or government securities and is exercisable against the original issuer of the underlying securities. It is important to note that a relatively small movement in the price of the underlying security results in a disproportionately large movement, unfavourable or favourable, in the price of the warrant. As a result, the prices of warrants can be volatile. The right to subscribe conferred by a warrant is generally limited by time, which means that if the investor fails to exercise this right within the predetermined time-scale then the investment becomes worthless. It is therefore important to understand that if you are considering purchasing a warrant you should be prepared to lose all of the money you have invested plus any commission or other transaction charges.

Securitised Derivatives (e.g. Covered Warrants)

These instruments may give you a time-limited right to acquire or sell one or more types of investment, which is normally exercisable against someone other than the issuer of that investment. Or they may give you rights under a contracts for difference, which allow for speculation on fluctuations in the value of the property of any description or an index, such as the FTSE 100 index. In both cases, the investment or property may be referred to as the "underlying instrument". These instruments often involve a high degree of gearing or leverage, so that a relatively small movement in the price of the underlying investment results in a much larger movement, unfavourable or favourable, in the price of the instrument. The price of these instruments can therefore be volatile. These instruments have a limited life, and may (unless there is some form of guaranteed return to the amount you are investing in the product) expire worthless if the underlying instrument does not perform as expected. You should only buy this product if you are prepared to sustain a total loss of the money you have invested plus any commission or other transaction charges.

For more information please refer to the Customer Terms of Service on our website www.tddirectinvesting.ie

This form will help us to assess whether you have the necessary knowledge and experience in order to understand the risks involved in dealing in UK Warrants and/or Securitised Derivatives. Please answer all of the following questions as honestly as possible. Should you not wish to share the necessary information with TD Direct Investing then this will restrict our ability to assess whether you have the required knowledge and experience to understand the risks involved in investing in Warrants and/or Securitised Derivatives.

	First applicant	Joint applicant (if applicable)
1. How many times a year do you trade in shares, bonds, fixed interest & funds?	☐ None ☐ 5 or less ☐ 6-20 ☐ 21+	☐ None ☐ 5 or less ☐ 6-20 ☐ 21+
2. How many times a year do you trade in Contracts for Difference (CFDs), Financial Spread Bets (FSB), Futures and Options?	☐ None ☐ 5 or less ☐ 6-20 ☐ 21+	☐ None ☐ 5 or less ☐ 6-20 ☐ 21+
3. How many times a year do you trade:		
Warrants?	☐ None ☐ 5 or less ☐ 6-20 ☐ 21+	☐ None ☐ 5 or less ☐ 6-20 ☐ 21+
Securitised Derivatives?	☐ None ☐ 5 or less ☐ 6-20 ☐ 21+	☐ None ☐ 5 or less ☐ 6-20 ☐ 21+
4. How many years experience do you have trading:		
Warrants?	☐ None ☐ Less than 1 ☐ 1-4 ☐ 5+	☐ None ☐ Less than 1 ☐ 1-4 ☐ 5+
Securitised Derivatives?	☐ None ☐ Less than 1 ☐ 1-4 ☐ 5+	☐ None ☐ Less than 1 ☐ 1-4 ☐ 5+
5. Have you traded in Warrants, Covered Warrants, CFDs, FSB, Futures and/or Options in a professional capacity in the last 5 years?	☐ Yes ☐ No ☐ Dont know	☐ Yes ☐ No ☐ Dont know

I/we confirm that I/we understand the nature of the risks associated with dealing in UK Warrants & Securitised Derivatives and that I/we consider them suitable for my/our investment objectives. I/we verify the answers I/we have provided are to the best of my/our knowledge and are truthful. I/we have read the Customer Terms of Service and understand why I/we need to complete this form.

First applicant signature

✗

Date D D M M Y Y Y Y

Joint applicant signature

✗

Date D D M M Y Y Y Y

7 What to do next – have you returned?

Checklist

- ☐ Your Verification of Identity form (which has been completed by a regulated intermediary)
- ☐ Please ensure that you complete a W8-BEN form if you wish to trade on US markets
- ☐ Certified copies of your proof of address and proof of identity
- ☐ Included your email address, postal address and telephone number?

Return your form to TD Direct Investing, Customer Accounts Dept., AA1626, PO Box No. 4214, FREEPOST, DUBLIN 2 (please ensure that you write 'No stamp required' in the top right corner of your envelope).

Brokerage Services provided by TD Direct Investing (Europe) Limited (a subsidiary of The Toronto-Dominion Bank). Registered in England under No. 2101863. Registered office: Exchange Court, Duncombe Street, Leeds, LS1 4AX, United Kingdom. Authorised and regulated by the Financial Services Authority (FSA), 25 The North Colonnade, Canary Wharf, London, E14 5HS, United Kingdom (FSA firm reference number 141282), member of the London Stock Exchange and the PLUS Markets. VAT Registration No. 397103051.

Banking Services provided by TD Bank N.V. Incorporated in the Netherlands and registered as a branch in England and Wales under branch registration number BR006780. Authorised by the Dutch Central Bank (De Nederlandsche Bank – DNB Institution Number 481) and subject to limited regulation by the Financial Services Authority (FSA firm reference number 216791). Details on the extent of our regulation by the Financial Services Authority are available from us on request. www.tddirectinvesting.ie.

What we need

In order to complete your application we will need to verify your identity and address. Please take this Verification of Identity form and the following documents to a Bank or Building Society who will be able to verify your identity and address for us.

Please note each applicant will need to complete a separate Verification of Identity form.

You will need:

- **Your passport or photographic driving licence; and**
- **Bank statement (dated within the last 6 months showing your current address)**

If you cannot supply a Bank Statement we will only accept one of the following documents:

- **Gas bill**
- **Electricity bill**
- **Water supply bill**
- **Home telephone bill (not mobile bills)**

Documents we do NOT accept include internet print-outs, Credit Card statements, mobile phone bills and mortgage statements.

Take these documents to a Bank or Building Society along with the Verification of Identity form.

An alternative recommendation is to take your documents to the Garda for completion. Please ensure you do not work for the firm that is verifying your identity.

How to complete:

- **The applicant should complete Section 1.**
- **The verifying firm should complete sections 2 and 3.**
- **The verifying firm should take photocopies of the applicant's passport/driving licence and bank statement/bill.**
- **The verifying firm should endorse (branch sort code stamp), sign and print their name on the photocopies of the passport and bank statement. These should be endorsed by the same person who completes sections 2 & 3.**
- **It is important to note that the firm who completes sections 2 and 3 of this form is asked only to verify your identity and address. It does not ask them to confirm your financial standing or provide a recommendation on your suitability for an account.**

Next Steps:

Then please send the Verification of Identity form along with the signed photocopies of your passport/driving licence and bank statement/bill to:

You can return the form to us by freepost to the following address. Please be aware it may take up to 10 days to reach us:

TD Direct Investing Customer Accounts Dept
AA1626
PO BOX No: 4214
BUSINESS REPLY
Dublin 2

Alternatively, you can speed up the process by paying the postage costs to the UK and send your Verification of Identity form directly to us at:

TD Direct Investing Customer Accounts Dept
Exchange Court, Duncombe Street
Leeds
West Yorkshire
LS1 4AX
United Kingdom

Please ensure you write "No Stamp Required" in the top right hand corner of your envelope.

Once we have received your Verification of Identity form and endorsed photocopies we will be able to process your application.
If your application is successful we will contact you by telephone to provide you with your account number.

If you are having difficulty supplying/completing any of the documentation, please call one of our Customer Service Representatives on 1 800 646 582.
All fields are mandatory unless indicated otherwise.

Continued...

Private Individual Verified by an EU Regulated Financial services Firm

1 Details of Individual (see explanatory notes in section 4 below)

Title

Forename

Surname

Current address

Postcode

Previous address if individual has changed address in the last three years

Postcode

Date of birth DD / MM / YYYY

Email

Tax identification number or place of birth (town and country)

2 Confirmation (to be completed by a member of the verifying firm)

I/we confirm that

(a) the information in section 1 above was obtained by me/us in relation to the customer;

(b) the evidence we have obtained to verify the identity of the customer meets the requirements of our national money laundering legislation that implements the EU Money Laundering Directive, and any relevant authoritative guidance provided as best practice in relation to the type of business or transaction to which this confirmation relates;

(c) where the underlying evidence taken in relation to the verification of the customer's identity is held outside the UK, in the event of any enquiry from UK law enforcement agencies or regulators, copies of the relevant customer records will be made available under court order or relevant mutual assistance procedure, to the extent that we are required under local law to retain these records.

Name Position

Signature ✗ Date D D M M Y Y Y Y

3 Details of Verifying Firm

Full name of regulated firm

Regulated firm web address

Jurisdiction

Name of regulator

Regulator reference number (if applicable)

Regulated firm's stamp

4 Explanatory Notes

(a) A separate confirmation must be completed for each customer (e.g. joint holders, trustee cases and joint life cases). Where a third party is involved, e.g. a payer of contributions who is different from the customer, the identity of that person must also be verified, and a confirmation provided.

(b) This form cannot be used to verify the identity of any customer that falls into one of the following categories:

- those who are exempt from verification as being an existing client of the introducing firm prior to the adoption of our national legislation that implements the EU Money Laundering Directive; or
- those whose identity has not been verified by virtue of the application of a permitted exemption under the EU Money Laundering Directive.

(c) This confirmation must carry an original signature, or electronic equivalent.

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