



BESPOKE
INVESTMENTS LIMITED

INTERMEDIARY APPLICATION FORM

APPLICANT DETAILS

Legal Name

Address

Telephone

Fax

Email

Web Address

Financial Regulator Ref

Date Authorised

Tax Reference No

Type of

Company No

Investment Firm (e.g. AA, MAI)

Name of

Compliance Officer

Do you have Professional Indemnity Insurance?

Yes

No

If so, does it cover non-insurance investments?

Yes

No

LIST PRINCIPALS / DIRECTORS

Name	Qualifications	Mobile No	Email Address

Has the applicant or any of its Directors, Principals, Managers, Partners and Sales Advisors:

Had an agency refused or cancelled

Yes

No

Had a claim against you or them under Professional Indemnity Insurance*

Yes

No

Been convicted of any offence whether in connection with insurance or not

Yes

No

Been sanctioned by the Financial Regulator or is any sanction pending*

Yes

No

If **YES** to any of the above please provide details below

*** NOTE:** If a claim is pending, lodged or you become aware of a claim pending against you under your Professional Indemnity Insurance at any point in the future or if you receive Financial Regulator sanction you must inform us accordingly.

INTERMEDIARY TERMS AND CONDITIONS OF AGENCY APPOINTMENT

- The services to be provided by you, as an investment product intermediary, to Bespoke Investments Ltd will be discussed between us from time to time and will comprise of the marketing and distribution of investment instruments produced by Bespoke Investments Ltd.
- You will act as an independent intermediary on your own behalf in all dealings with your clients and shall not hold yourself/yourselves as an 'Agent' of Bespoke Investments Ltd.
- It is a condition of your appointment that you will abide by and observe all regulatory and statutory requirements and codes of conduct applicable to the services being and to be provided by you. You will ensure that all money laundering requirements and regulations have been complied with in relation to any investment forwarded to Bespoke Investments Ltd. Likewise, you will adhere to your obligations under the Data Protection Acts, 1998 and 2003.
- We may require information about clients introduced by you in order to comply with the requirements for the prevention of money laundering. It is a term of your appointment that you will supply any information and assistance that Bespoke Investments Ltd may reasonably require in connection with that or any other regulatory requirement or purpose.
- Remuneration in respect of services provided by you to Bespoke Investments Ltd will be calculated in accordance with any such arrangement as may from time to time be agreed between Bespoke Investments Ltd and you.
- You will only give advice on products for which you are authorised by the Financial Regulator.
- No representations about any investment products of Bespoke Investments Ltd may be made in any manner other than those specifically authorized by Bespoke Investments Ltd.
- You do not have authority to receive cash or payment in any form on behalf of Bespoke Investments Ltd.
- Any payments in respect of any investment products of Bespoke Investments Ltd are to be made in the form of cheque or bank draft (from clients or customers of yours) and are to be made payable to the financial institution stipulated in Bespoke Investments Ltd product documentation.
- You will inform Bespoke Investments Ltd if a change takes place in your authorised status.
- Your appointment may be terminated by either of us giving no less than 72 hours notice in writing to the other. This appointment may however be terminated by Bespoke Investments Ltd forthwith by notice in writing to you in the event of your insolvency, the appointment of an examiner over you, a significant change or the removal of your authorised status from the Financial Regulator or any material breach of this agreement.
- On termination of your agency for whatever reason, you will be entitled only to initial commission outstanding to you in respect of business for which all requirements have been submitted to Bespoke Investments Ltd at the time of termination. No renewal/trail commission will be paid following termination of agency.
- You may not transfer or otherwise assign your book of business with Bespoke Investments Ltd to any third party or entity without the express permission of Bespoke Investments Ltd.