

Intermediary Application Form



APPLICANT DETAILS

Legal Name _____

Address _____

Telephone _____ Fax _____

Email _____ Web Address _____

Central Bank Ref _____ Date Authorised _____

Tax Reference No _____ Type of Investment Firm _____

Company No _____ Compliance Officer _____

Do you have Professional Indemnity Insurance? Yes No

If so, does it cover non-insurance investments? Yes No

If so, does it comply with the ring fenced requirements of the Central Bank for non-insurance investments? Yes No

Amount of cover € _____ per claim € _____ in aggregate

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 Central Bank 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 Central Bank sanction you must inform us accordingly.

Please provide the following with this application:

- Sample of your headed paper
- A copy of your Central Bank Authorisation Certificate(s)
- A copy of your Professional Indemnity Schedule

BANK DETAILS FOR COMMISSION PAYMENTS

Bank Name

Bank Address

Bank Account No

Sort Code

 BIC Code

IBAN

Payment Method: Electronic Transfer Cheque

CONTACT INFORMATION

Contact for Marketing	Tel No	Email
<hr/>	<hr/>	<hr/>

Contact for Commission	Tel No	Email
<hr/>	<hr/>	<hr/>

Contact for other	Tel No	Email
<hr/>	<hr/>	<hr/>

DECLARATION

I/We, confirm that the information provided in this application form is true and correct. I/We agree to be bound by the terms and conditions attached. I/We agree that Bespoke Investments Ltd can seek any reference for the applicant firm and directors/principals it deems fit in connection with this proposed agency appointment.

GDPR: I/We confirm that the persons listed in this Application Form have been advised that their personal details are being provided to Bespoke Investments Ltd, may be used for the purposes set out above, and that they have given consent to such use.

Signature _____ Date _____

Print Name _____ Date _____

Position Held _____ Date _____

Signed on behalf of
Bespoke Investments Ltd _____ Date _____

INTERMEDIARY TERMS AND CONDITIONS OF AGENCY APPOINTMENT

The services to be provided by you, as an investment intermediary, 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 Anti Money Laundering/Countering the Financing of Terrorism/Financial Sanctions 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 GDPR.

We may require information about clients introduced by you in order to comply with the requirements for the prevention of money laundering and countering the financing of terrorism. 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 Central Bank.

No representations about any investment products of Bespoke Investments Ltd may be made in any manner other than those specifically authorised 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 or if you are the subject of sanction by the Central Bank or other regulator.

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 authorisation by from the Central Bank 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 to any third party or entity without the express permission of Bespoke Investments Ltd.