

Appropriateness assessment – complex financial instruments



Personal Details

Name	DOB
CX Account Reference(s)	
Email address	

You have asked us to invest in an instrument that we believe is a complex financial instrument. Before we can act on your instruction, we have to assess whether an investment in a complex financial instrument is appropriate for you.

A complex financial instrument is one that requires a greater experience and knowledge of investments to fully understand the risks involved. In general, these instruments have an increased level of risk and volatility so you should not use them unless you are prepared to sustain a loss of your entire investment.

Conexim defines complex financial instruments as anything that is not defined as non-complex. **Non-complex financial instruments are;**

› Shares listed on a recognised stock exchange	› Bonds (Government or Corporate Bonds)
› Units/shares in a UCITS Fund or UCITS ETF	› Money market instruments

This appropriateness test is designed to check whether your knowledge and experience is such that you can understand the features of complex financial instruments, their terms and the risks involved, and therefore whether they are appropriate for you.

Assessing appropriateness for your level of knowledge and experience is different to advising you on whether an investment is suitable for you. Conexim does not give financial advice. If you have any doubts whether an investment is suitable for you, you should discuss this with your Financial Advisor.

Please indicate below your experience and understanding of complex financial instruments				
Level of Understanding	Low	Medium	High	None
Years of Experience	<1 year	1-2 years	>2 years	None
Transactional Experience	<50	50-100	>100	None

Do you understand you may lose your entire investment?	Yes	No
Do you understand this instrument may lack liquidity?	Yes	No
Do you understand that there may be penalties for early redemption?	Yes	No
Do you understand that when investing in leveraged derivatives this may magnify losses?	Yes	No
Do you understand that if the instrument trades in a foreign currency the value can be affected by exchange rates?	Yes	No

DECLARATION

I fully accept the risks that accompany complex financial instruments and confirm that Conexim have not provided me with any financial or investment advice. I have read and understood all the available literature and I understand the implications of the transaction(s) I am entering.

I understand the risks involved in dealing in complex financial instruments and declare that I have sufficient knowledge and experience and am able to assess the merits and risks of these complex financial instruments and declare that the investment(s) are appropriate in relation to my investment needs and abilities.

SIGNATURE ACCOUNT HOLDER	PRINT NAME
<div></div>	<div></div>
DATE	
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