

Completing the Claim Form

The Claim Form should be completed only if you are eligible to claim compensation i.e. you fulfil the requirements as an "Eligible Investor" as outlined in Part 1, Section 2 of the Investor Compensation Act, 1998 (the Act), relevant extract is included below for ease:-

An **eligible investor** is a person who:-

- is a client of the failed investment firm, and
- is not excluded from claiming for any reasons outlined below:
 - b) a professional or institutional client including an investment firm, a credit institution, a financial institution, an insurance undertaking, an undertaking for collective investment or a pension or retirement fund;
 - c) a local authority;
 - d) a director, manager or personally liable member of the failed investment firm, a holder of at least 5 per cent of the capital of the failed investment firm, a person responsible for carrying out the statutory audit of the failed investment firm or a client with similar status in a group undertaking;
 - e) a close relative or a third party acting on behalf of parties referred to in (c) above
 - f) another firm in a group undertaking;
 - g) a client who has any responsibility for, or has taken advantage of, facts relating to the failed investment firm which gave rise to the firm's financial difficulties or contributed to the deterioration of its financial situation;
 - h) a company which is of such a size that it is not permitted to draw up abridged balance sheets;
 - i) a client specified by the supervisory authority as an excluded investor in accordance with Section 35(8) of the Act which deals with monies held by an investment firm which is a credit institution.

You should not complete the claim form

- if any of the descriptions in (a) to (i) above relate to you, or
- if you are certain that you are not owed any investment instruments and/or monies from the failed firm.

SECTION 1

Claimant Details

This section has been pre-populated by the ICCL based on information received from the Administrator of the Failed Firm. It provides details of clients who held 'live' client accounts in the firm as at the date of determination (please refer to the relevant Failed Firm webpage on the ICCL website for the date of determination).

Please carefully review the information contained in this section and note any discrepancies in the subsequent section.

Additional Information Required from Claimant

This section should be reviewed and completed carefully by each claimant to ensure that the ICCL holds accurate information and to avoid any issues with future communications in respect of the Failed Firm.

Member of a Trust, Club or Society

Should your holding with the Failed Firm be part of a Trust, Club or Society please provide the full contact details for the Trust or Club to include Trustee, Investment Manager or Beneficiaries as appropriate. Please note that by providing this information you are consenting to the ICCL contacting such a party should it be required when processing your application.

Is the Address noted in Section 1 correct

After reviewing the preceding sections, and if applicable, please provide the correct contact information so that the ICCL can process your application correctly. Address details should be completed only if different to the address details given under the pre-populated section. It is important to note that this address will be used by the ICCL when corresponding with claimants.

Should your contact information change at any point in the claims process, it is requested that you update the ICCL as soon as possible.

Death or illness of Claimant:

If any of the named claimants are deceased or are otherwise unable to sign the declaration in Section 2 of the form due to being medically certified as mentally or physically incapacitated, please contact the ICCL directly on 01-244 4485 to discuss.

SECTION 2

Data Protection Notice

Please review this section carefully as it contains important information in respect of your personal data to include how we will use your information, who it will be shared with, and how long we will hold your personal data for.

Should you require additional detail in respect of our Data Protection obligations, please see our Claimant Privacy Notice here:- [Claimant Privacy Notice \(investorcompensation.ie\)](http://investorcompensation.ie)

SECTION 3

Declaration

Please read this section carefully as there are various items which you will be asked to declare. It is important to note that this declaration will be relied on by the ICCL should it be required in the future.

Please sign the declaration to include printing your name.

Appendix 1

Please complete if the investments in the Failed Firm are held **jointly** and provide the necessary details.

Any party noted as a joint account holder here, and once validated by the Administrator to the Failed Firm as being an eligible client for the purposes of the Investor Compensation Act, 1998, shall receive a separate application form for completion.

Appendix 2

Please complete if the investments in the Failed Firm are assigned to a **3rd Party** and provide the necessary details along with supporting information.

IMPORTANT NOTICE:

Claimants are advised that errors in the completion of the claim application may delay or disqualify the claim from the process. Depending on the nature of the error, a new claim form may have to be submitted to the ICCL.

If available, provide a scanned copy of the last relevant valuation report or account statement, from the Failed Firm in respect of your investments / holdings. This document is important to the Administrator in identifying your holdings within the Failed Firm.