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Source of Wealth Questionnaire

For providing details of a client's wealth.

This document was last updated in November 2020.

All references to Quilter International, in this document mean Quilter International Isle of Man Limited and Quilter International Ireland dac.

Under international anti-money laundering and combatting terrorist financing requirements, financial services companies are required to take reasonable measures to establish the Source of Wealth of certain clients. The term 'Source of Wealth' extends further than the funds to be invested, referred to as 'Source of Funds', and relates to a client's entire body of wealth.

The type of client that Source of Wealth requirements relate to will either be Politically Exposed Persons (PEPs) or clients with certain attributes which, under international standards, are regarded as representing an enhanced risk.

This questionnaire seeks to obtain information and documentation to establish the Source of Wealth of such clients.

Section A – Details of the applicant/policyholder/individual providing Source of Wealth

In this section please give details of the applicant, or if an existing policy, the policyholder. If the application is in the name of a legal person or legal arrangement, please provide information on the individual who has generated the wealth behind the investment (referred to as the 'Beneficial Owner' below).

If we have requested Source of Wealth information from more than one individual, please provide the additional information on a separate form.

Name of Applicant/
Policyholder/Beneficial Owner

Policy Number (if known)

Name of individual whose Source
of Wealth is being assessed
(if different from above)

Date of birth of individual whose
Source of Wealth is being assessed

D	D	M	M	Y	Y	Y	Y
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Residential address of individual
whose Source of Wealth is being
assessed

*(This information must be provided in full. We are
unable to accept PO Boxes and 'care of' addresses)*

<input type="text"/>
<input type="text"/>
<input type="text"/>
Postcode

Section B – Sources of Wealth

Please provide below an estimated breakdown of the sources from which the individual's current wealth is derived along with the relevant percentages, details and any open source links (URLs) which may provide additional information relating to the source.

Source	%	Details	URLs
Earned Income (including salaries and bonuses) <i>Please include details of employers and periods of employment.</i>			
Investment Income (e.g. interest, dividends, rents) <i>Please include details of the main investments from which the income is derived.</i>			
Sale of financial assets (e.g. stocks, bonds, collectives) <i>Please include details of the main assets sold to raise the proceeds.</i>			
Sale of business interests (e.g. sale of own company) <i>Please provide name and address of the business(es) sold.</i>			
Sale of property (e.g. sale of residential property or portfolio of properties) <i>Please provide details of the properties sold.</i>			
Inheritance (e.g. by will, receipt from trusts or under law of succession) <i>Please provide details of the inheritance including the source, amount and date.</i>			
Settlement (such as divorce proceedings or arising from litigation) <i>Please provide details of the settlement(s) including the source, amount and date.</i>			
Gifts (e.g. inter-spouse transfers or other lifetime gifts) <i>Please provide details of the grantor, the amount and date.</i>			
Gaming wins (e.g. lottery wins) <i>Please provide details of the win including the source, amount and date.</i>			
Other (please specify) <i>Please provide details of any source not included above.</i>			
Total	100		

Section C – Details of Assets and Liabilities

Please list below details of the individual's assets.

1. Investments (asset portfolios, stockholdings and other financial instruments or products)

Jurisdiction (i.e. where held)	Financial Institution	Account/Product Name	Currency	Value
Total				

2. Pensions (company or personal pensions schemes)

Name of Scheme	Pension Provider	Currency	Approximate Fund Value
Total			

3. Properties (commercial or residential real estate)

Address of Property	Currency	Value	Outstanding Mortgage
Total			

4. Business Interests (shares in privately owned/unlisted companies or partnerships)

Name of Business	Address of Business	Website of Business	Ownership %	Currency	Value
Total					

5. Other Assets (personal property, valuables, cars, artwork etc)

Name of Asset	Asset Description	Currency	Value
Total			

Please list below details of the individuals liabilities.

6. Liabilities (credit cards, loans, debts)

Liability name	Asset Description	Currency	Value
Total			

Section D – Total Net Worth

Please indicate below the individuals total net worth, represented by total assets minus total liabilities, both detailed in Section C. Please tick which currency the net worth is expressed in.

US\$ GBP£ Euro € Other (please state)

Please state in the box below the total estimated net worth of the individual.

Please indicate below the individuals total net worth, represented by total assets minus total liabilities, both detailed in Section C.

Section E – Declaration by the financial adviser representative/suitable certifier

I declare that:

- I have verified the contents of any original documents where copies have been enclosed and confirm that they are true copies of the original.
- To the best of my knowledge and belief, all the information provided in and with this questionnaire is true and complete and was obtained from the individuals who are of good standing. I also confirm I will provide further information if required.
- I have not made any changes to the questionnaire after completion by the applicant/policyholder.

Full name of introducer firm

Full name of financial adviser representative/suitable certifier

Capacity of suitable certifier

Signature of financial adviser representative/suitable certifier

Date

D	D	M	M	Y	Y	Y	Y
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www.quilterinternational.com

Calls may be monitored and recorded for training purposes and to avoid misunderstandings.

Quilter International Isle of Man Limited is registered in the Isle of Man under number 24916C.

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Quilter International Ireland dac is regulated by the Central Bank of Ireland. Registered No 309649.

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