

#### Using the editable fields?

To ensure your information is saved correctly, we recommend you save the form to your desktop before you start completing the required fields.

## Starting or Adding to Your Collective or Executive Bond

*For individual, corporate and trustee investors*

**This document was last updated in June 2021.** Please confirm with your Financial Adviser that this is the most up-to-date document for your needs.

### Financial adviser details

Quilter International account number	<input type="text"/>
Adviser company name	<input type="text"/>
Name of Financial Adviser	<input type="text"/>
Adviser company address	<input type="text"/>
	<input type="text"/>
Telephone number	<input type="text"/>
Email address	<input type="text"/>

Quilter International only accepts business introduced by Financial Adviser companies which have Terms of Business with us.

### Notes – before you complete your application

**We only sell our products through Financial Advisers as we believe it is important that you receive independent financial advice. As it is you who chooses your Financial Adviser, you need to bear in mind that they are acting on your behalf and not on behalf of Quilter International. You are responsible for their actions or omissions.**

All references to Quilter International, **we**, **us** and **our** in this application form mean Quilter International Isle of Man Limited who is the provider of the Collective and Executive Bonds.

### Important information for you – the applicant

**For individual and trustee applicants only:** Your application can be submitted online via Wealth Interactive. If you choose this option, your application can be submitted to us immediately without the delay that can be experienced through the postal system.

Please note this application form must not be used by applicants resident in the UK, Hong Kong, Singapore or the United States of America or its territories.

Before completing the application form, please make sure you have received and read through the relevant product literature:

- the Collective Bond brochure entitled 'Perfectly tuned investments' or the Executive Bond brochure entitled 'The discerning investor',
- the policy terms 'Details of your Collective Investment Bond' (ref CIB4), 'Details of your Collective Redemption Bond' (ref CRB5), 'Details of your Executive Investment Bond' (ref EIB4), or 'Details of your Executive Redemption Bond' (ref ERB4).
- the 'Collective Investment Bond at a glance', 'Collective Redemption Bond at a glance', 'Executive Investment Bond at a glance', or 'Executive Redemption Bond at a glance'.
- the 'charge sheet', which confirms the charges that will apply to your Bond.

Your Financial Adviser will be able to provide you with the relevant Collective or Executive Bond product literature.

### Note - Key Information Document (KID)

A KID is a short document that describes the product's key features and target market, as well as the cost of owning the product and the risks associated with investment. It allows you to make comparisons with similar products from Isle of Man Financial Services Authority authorised insurers.

Under the Isle of Man Financial Services Authority's Insurance (Conduct of Business) (Long Term Business) Code 2021, Quilter International is required to provide you with a KID if you are applying for a new bond or adding to a bond that you started after 31 December 2017. Where it's applicable, you should make sure you read your KID before completing this application. It can be obtained from your Financial Adviser.

If you are starting a new bond, you must sign and return the KID to Quilter International before we can accept your application.

If you are adding to an existing bond, you do not need to return the KID to us.

### Online service account on Wealth Interactive

For individual applicants only: When you apply for your Bond, we will automatically set you up with an Online Service Account on our online service Wealth Interactive.

You will receive an email from us containing a link that lets you activate this service.

Once your policy and your Online Service Account are live, you can sign in to Wealth Interactive whenever you want to review your policy and carry out key transactions.

You can also find all the information you need about your investment with us in one place.

When we need to send you communications, such as policy valuations for example, we will generally do this through your Online Service Account, although there will be times when we still need to correspond with you by post.

If you would prefer to receive ongoing communication from us by post rather than online, please tick here (✓)

### Your right to cancel

You have the right to cancel your bond or additional investment and obtain a refund of any premium(s) paid, less any applicable charges\* and any fall in the value of the Assets linked to your bond. You have 30 days from the date that you receive the Schedule for the initial premium, or letter accepting the additional investment to let us know you want to cancel. Further information on how to cancel can be found in the bond Terms & Conditions.

*\*Where relevant, applicable charges include non-refundable fund charges, fees we have paid to your Financial Adviser on your behalf and bank charges.*

### Completing the form

To complete this form:

- use CAPITAL LETTERS only
- use blue or black ink
- specify choices as appropriate
- complete all relevant sections
- do not use correction fluid – cross through any amendments (initialled by all applicants).

Please ensure that you complete all relevant sections. We will contact you regarding any missing information which will need to be provided to us in writing, and this may delay your application.

### Note

#### Taxation information

Under Automatic Exchange of Information (AEOI) regulations Quilter International is required to obtain information about an applicant's tax status. To enable us to comply with these regulations, when submitting this application form you must also submit the **'Taxation information and self-certification – for entity investors'** or **'Tax declaration and self-certification for Trusts (where the trustees are all individuals)'** form. Completion and submission of a self-certification is mandatory and failure to provide one could result in your Portfolio being reported under AEOI by default. If any of the information contained in the self-certification changes please advise Quilter International promptly so we can determine if a new self-certification is required.

## Section A – Type of application

### Type of application

Type of client (✓)      Individual      Joint      Corporate/Corporate trustee      Trustee

If this is an application for a NEW BOND, please indicate which type of bond you are applying for: (✓)

Life assurance – Collective Investment Bond      Capital redemption – Collective Redemption Bond  
Life assurance – Executive Investment Bond      Capital redemption – Executive Redemption Bond

### Reason for investment

e.g. saving for retirement

### Policy currency

I wish my policy to be valued in (✓)      £      US\$      €      Other  
(state currency)

**Please note if no currency is entered your policy currency will be pound sterling (£). THE POLICY CURRENCY CANNOT BE CHANGED AFTER THE POLICY IS SET UP.**

### Additional investment

**If this is an application for an ADDITIONAL INVESTMENT, please provide your existing policy number:** (you can find this in your policy documentation)

*Note* – Unless your details have changed, you only need to complete the full forename(s) and surname of each policyholder and life assured (if applicable) in section B1 if you are an individual applicant/trustee, or the name of the company in B2 if you are a corporate applicant, and C. The other relevant sections must also be completed.

## Section B1 – Details of the applicant(s)/trustee(s)

Applicants must be at least 18 years old and no older than 89 years. The maximum age for a life assured is 89 years.

**If there are any further applicants, please photocopy this page, have the additional pages signed by all the applicants and attach the details with this application form and tick here (✓)**

*Note* – If additional pages are added, each separate page must be initialled by all applicants.

	Applicant/Trustee 1	Applicant/Trustee 2 (if any)
Title(✓)	Mr      Mrs      Miss Other	Mr      Mrs      Miss Other
Forename	<input type="text"/>	<input type="text"/>
Middle name(s)	<input type="text"/>	<input type="text"/>
Last name	<input type="text"/>	<input type="text"/>
Maiden name, previous name or alias	<input type="text"/>	<input type="text"/>
Gender (✓)	Male      Female	Male      Female
Date of birth	<input type="text"/>	<input type="text"/>
Nationality	<input type="text"/>	<input type="text"/>
Dual nationality (if applicable)	<input type="text"/>	<input type="text"/>

Passport number/national identity card number

Residential/home address

(Where you are currently living. We do not accept c/o and PO Box addresses)

Postcode
Country

Postcode
Country

Correspondence address

(If left blank we will use your residential address for correspondence)

Postcode
Country

Postcode
Country

Quilter International accepts no responsibility for the consequences of sending documentation to this correspondence address, or to an address notified subsequently. Quilter International reserves the right to send correspondence to your residential address where regulations prevent it being sent to any other address.

We can only accept one correspondence address for the bond and will default to Applicant/Trustee 1 residential address if this is blank.

Telephone number including area code (daytime)

Telephone number including area code (evening)

Individual email address

(Please note each client must have a unique email address)

## Employment details

**This section must be completed in all instances.**

Please give details of your employer or your own company, if self-employed.

If you have retired or are not currently employed please include details of your previous employer or your own company. Please also enter your final year's salary/income and bonus if any. If you have never been employed, please state N/A.

### Applicant/Trustee 1

### Applicant/Trustee 2 (if any)

Employment status (✓)

Employed

Self Employed

Employed

Self Employed

Retired

Not employed

Retired

Not employed

Date of retirement/unemployment (if applicable)

D	D	M	M	Y	Y	Y	Y
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D	D	M	M	Y	Y	Y	Y
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Company name

Full address of company

Postcode

Postcode

Country

Company website (if any)

**Occupation**

(including role, e.g. Director and sector, e.g. Accountancy. If you have retired please include your occupation before retirement. Please check that the occupation is not on our list of prohibited occupations as confirmed on our Source of Funds and Source of Wealth guidelines)



Last year's gross salary



Salary currency

£      US\$      €

Other (state currency)

£      US\$      €

Other (state currency)

Last year's bonus



Bonus currency

£      US\$      €

Other (state currency)

£      US\$      €

Other (state currency)

If you receive income from another source, please provide full details here. (e.g. Dividend, Investment, rental income including their nature and source)



### Lead policyholder for the online service account

If there is more than one applicant then each applicant must select one applicant to be the Lead Policyholder. Each applicant must agree to select the same Lead Policyholder.

We, the applicants, appoint (insert name in the box)

to act as the Lead

Policyholder for the policies comprising our Collective/Executive Bond in accordance with the Policy Terms.

The specific e-mail address which will be used for the Online Service Account is (Please note each client must have a unique email address. An email address cannot be shared by users on Wealth Interactive.)

### Section B2 – Corporate/corporate trustee applicant

In this section, please give details of the corporate applicant.

#### Corporate/corporate trustee applicant

Please tick (✓)

Private company

Public company

Other

Corporate name

Contact person

Country of registration

Date of incorporation

D	D	M	M	Y	Y	Y	Y
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Registered office address

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

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

Correspondence address

(If left blank we will use the residential address for correspondence)

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

Quilter International accepts no responsibility for the consequences of sending documentation to this correspondence address, or to an address notified subsequently. Quilter International reserves the right to send correspondence to your residential address where regulations prevent it being sent to any other address.

We will default to the registered office address if the correspondence address field is not completed.

Telephone number including area code (daytime)

Email address

Corporate website address

Please explain the company's main business (for example manufacturing or trading company)

### Authorised signatories

Please confirm the minimum number of authorised signatories of the company needed to give instructions

**Note** – The company directors/authorised signatories of the company must complete and sign the declaration in section J. Additional documents are needed to evidence the identity of at least two directors, one of whom must be an executive director of the company. If there is only a sole director we will require evidence of identity for this individual and at least one other authorised signatory.

### Section B3 – Details of the trust (if applicable)

In this section, please give the following details: the name of the trust (for example, 'the Mary Jones Policy Trust dated 1 April 1990', 'the John Brown Will Trust') and the date the trust was created on.

The trust name is:

The trust was created on:

D	D	M	M	Y	Y	Y	Y
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Trust details:

(Please explain the reason for the establishment of the trust, what type of trust it is and detail the source of the trust assets and country of origin.)

### Trust assets

Please provide an indication of the total value of the trust's assets

Currency (✓)                      £                      US\$                      €                      Other  
(state currency)

Amount

### Section B4 – Politically exposed person

If the applicant(s), or any other party connected to this application either now or in the past/future, could be classed as a politically exposed person (PEP), or connected with a PEP, please provide details. A politically exposed person is someone holding an important public position, or a person clearly related to them. Examples of these are: judicial or military officials, senior politicians, senior executives of publicly owned corporations, senior Government officials and Important political officials.

PEP Name

Connection to applicant

Details of why they are considered a PEP

If a client is a PEP, or is linked to a PEP, Source of Funds evidence must be provided with the application and funding must come from the applicant's bank account. Due to the increased risk of accepting business from PEPs and the specific regulatory requirements relating to them, Quilter International will require Source of Wealth information which can be provided using the Source of Wealth Questionnaire available from the literature library on [www.quilterinternational.com](http://www.quilterinternational.com). We may also require Source of Wealth evidence.

### Section B5 – Existing contracts

Please provide details of any existing Quilter International contracts you have or are making payments to (if applicable).

Type of contract	Type of contract
Policy number	Policy number

All applicants must complete and sign the declaration in Section J.

### Section C – Details of the life/lives assured

**Note** – Do not complete this section if you have selected capital redemption in section A as there are no lives assured on a capital redemption bond and we will not record the details if you fill in this section in error.

Minimum age for life assured is three months and maximum age is 89 years.

Is the applicant(s) also going to be a life assured? Tick if yes (✓)

Please note you do not need to complete this section if the applicant(s) is/are going to be the only life/lives assured.

If there are any further lives assured, please photocopy the next page, have the additional pages signed by all the applicants and attach the details with this application form and tick here (✓)

	First/additional life assured (if any)	Second/additional life assured (if any)																
Title (✓)	Mr      Mrs      Miss Other	Mr      Mrs      Miss Other																
Forename																		
Middle name(s)																		
Last name																		
Maiden name, previous name or alias																		
Gender (✓)	Male      Female	Male      Female																
Date of birth	<table><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y	<table><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y											
D	D	M	M	Y	Y	Y	Y											
Nationality																		
Dual nationality (if applicable)																		

Residential/home address

(Where you are currently living. We do not accept c/o and PO Box addresses)

Postcode
Country

Postcode
Country

Relationship of life assured to applicant

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## Section D – Quilter International Charges

**Note** – Before completing this section, please ask your Financial Adviser for a copy of the charging structure details recommended to you.

The charging structure for your bond is based upon the reference code provided on this application; this will dictate the level, term and type of charges that apply and these will be confirmed to you in your policy documents. These charges will include our administration costs together with those incurred in making any initial commission payment to your Financial Adviser.

If you have agreed to pay your Financial Adviser an ongoing commission payment then this will be reflected in the deduction of an additional Ongoing Service Charge equivalent to the amount agreed.<sup>†</sup>

### Quilter International's Charges

Please enter the code for the Quilter International charge package that your Financial Adviser has explained will apply to your Bond. The appropriate Quilter International charging code should be used. Failure to provide the right code could result in the incorrect package being applied and/or delays.

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Please enter Allocation Percentage for this bond (if applicable)

				.			%
--	--	--	--	---	--	--	---

Please enter the Ongoing Service Charge (if applicable)

				.			%
--	--	--	--	---	--	--	---

## Section E – Investment details

### Premium payment

Amount to be invested (in policy currency)

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Payment method (✓)

Electronic bank transfer

Cheque

Asset transfer

**Note** - The premium payment must come from an account held in the name of the applicant(s).

The minimum initial investment amount for the Collective Bond is £25,000 (US\$37,500, €37 500<sup>†</sup>) and the minimum additional investment is £2,500 (US\$3,750, €3 750<sup>†</sup>).

The minimum initial investment amount for the Executive Bond is £50,000 (US\$75,000, €75 000<sup>†</sup>) and the minimum additional investment is £2,500 (US\$3,750, €3 750<sup>†</sup>).

Please enclose your copy of receipt of your electronic bank transfer payment and your 'Transferring Assets to your bond/account' form with this application form.

<sup>†</sup>or other currency equivalent

### Sterling payments

#### From UK banks (CHAPS\* payments)

Sort code: 55-91-00  
Bank: Isle of Man Bank, East Region,  
2 Athol Street, Douglas, Isle of Man  
Beneficiary: Quilter International Isle of Man Limited  
IBAN\*\*\*: GB94NWBK55910010939946

#### From non-UK banks (SWIFT\*\* payments)

SWIFT code: RBOSIMD2XXX  
Sort code: 55-91-00  
Bank: Isle of Man Bank, East Region,  
2 Athol Street, Douglas, Isle of Man  
Beneficiary: Quilter International Isle of Man Limited  
IBAN: GB94NWBK55910010939946



### Other currency payments (SWIFT payments)

Payments should be made to Quilter International Isle of Man Limited's accounts held with National Westminster Bank, London.

SWIFT code:	NWBKGB2LXXX
Bank:	National Westminster Bank, London
IBAN:	(select as applicable, see below)
1. US Dollar	IBAN – GB05NWBK60730167544800
2. EURO	IBAN – GB63NWBK60720267545858
3. Australian Dollar	IBAN – GB18NWBK60730167535836
4. Canadian Dollar	IBAN – GB80NWBK60730167521916
5. Danish Krone	IBAN – GB22NWBK60730167545270
6. Hong Kong Dollar	IBAN – GB52NWBK60730167555691
7. Japanese Yen	IBAN – GB40NWBK60730167538835
8. New Zealand Dollar	IBAN – GB26NWBK60730167576141
9. Norwegian Krone	IBAN – GB23NWBK60730167568823
10. Singapore Dollar	IBAN – GB53NWBK60730167598838
11. Swedish Krona	IBAN – GB69NWBK60730167554997
12. Swiss Franc	IBAN – GB14NWBK60730167541534

\* CHAPS is an electronic bank-to-bank same day value payment made in the UK in pound sterling (£).

\*\* SWIFT is an acronym for Society for Worldwide Interbank Financial Telecommunications.

\*\*\* IBAN stands for international bank account number and is always used in conjunction with a bank identifier code (BIC).

## Section F – How the bond assets are invested and managed

In this section, please tell us how your bond will be invested and how it will be managed. You can request Quilter International to appoint a Discretionary Asset Manager or you can appoint a fund adviser to manage the Assets held with each custodian.

**Default Custodian** – Assets held by Quilter International

**Authorised Custodian** – Assets held by an authorised third party custodian

**The options available to choose from are:**

- 1) All Assets held by our default custodian
- 2) Some Assets held by our default custodian and some by an authorised custodian
- 3) All Assets held by an authorised custodian
- 4) All Assets held by up to three different authorised custodians

Where you request to appoint more than one authorised custodian, you also need to select a lead custodian who we will instruct to sell Assets to pay for portfolio fund charges debited to the transaction account held with Quilter International. Please refer to your Policy Terms for further information on the portfolio fund charges debited to the transaction account.

### Investment Options

- 1) You can manage the investment yourself
- 2) Request that we appoint a Discretionary Asset Manager on a Discretionary basis
- 3) You can appoint a Fund Adviser on a Discretionary or Advisory basis

**IMPORTANT: The option to request a Discretionary Asset Manager is only available where we have established legal agreements in place with the Discretionary Asset Manager. You must complete a form for each authorised custodian and fund adviser you wish to appoint and/or each Discretionary Asset Manager you wish us to appoint. Your Financial Adviser will be able to provide you with the relevant forms.**

Please detail the investment manager that you wish to appoint to manage the Assets at the authorised custodian(s).

Please select the custodian(s) that will hold the assets.	Name of custodian	Please select the investment manager for each selected custodian		
		Policyholder	Fund adviser	Discretionary asset manager
Default custodian	Default			
Default custodian and one authorised custodian	Default			
One authorised custodian				
Two authorised custodians	Lead:			
Three authorised custodians	Lead:			

### Transferring your premium and/or assets

You can send your premium via electronic bank transfer and/or Asset transfer. Please confirm below how much of your premium will be held with the custodian selected, if applicable, and how the premium will be sent.

Assets held by	Premium payment being sent by (please state currency and amount/value)		Asset transfer (please state currency and total value of assets) See note 2 below
	Electronic bank transfer	Payment to be sent to	
Default custodian		Default Custodian See note 2 below	
An authorised custodian		Quilter International Authorised Custodian	
A second authorised custodian		Quilter International Authorised Custodian	
A third authorised custodian		Quilter International Authorised Custodian	

- Notes**
- 1) A detailed list of any Assets to transfer must be supplied with the application and approved by Quilter International before any transfer takes place.
  - 2) If you have selected the default custodian, electronic bank transfers and Asset transfers must be sent to Quilter International.
  - 3) If you have selected to use an authorised custodian, Asset transfers must be sent direct to the authorised custodian.

### Selected assets to invest with our default custodian

**Note** - Please note that you can invest in as many Assets as you wish, subject to a minimum investment into any one Asset of £2,500 (or currency equivalent) for Executive Investment Bond/Executive Redemption Bond and £1,250, (or currency equivalent) for Collective Investment Bond/Collective Redemption Bond. Some asset providers may have a higher minimum investment requirement and this minimum will prevail.

**If we do not receive sufficient details, this will delay your investment.**

Asset Identifier ISIN/SEDOL	Asset Name	Share class	Base currency of fund	Investment % (whole % numbers only)
				%
				%
				%
				%
				%
				%
				%
				%
				%
				%
				Total 100%

In case we need to clarify the asset choice details above, please provide us with a contact name and telephone number.

Contact name

Telephone number  
including area code  
(daytime)

Telephone number  
including area code  
(evening)

Fax number

E-mail address

## Section G – Source of Funds

### Source of Funds - Bank details of where funds are being remitted from

The premium payment must come from an account held in the name of the applicant(s) and **NOT** a third party.

If multiple payments are being received, please complete this section for each payment (further space available on following page).

- Accounts within the UK, Jersey, Guernsey, Isle of Man or Gibraltar require a bank account number and sort code.
- Premium payments made from banks outside the UK require a SWIFT or Bank Identifier Code (BIC), and an International bank account number (IBAN).
- An ABA number is a code used for electronic payment to and from a US bank account.

#### Bank details 1

Payment currency      £      US\$      €      Other (state currency)

Payment amount

Name as stated on bank account

Sort code (If applicable)

 -  - 

ABA number

Branch code for non-UK banks

Account number/IBAN

SWIFT or BIC code (If applicable)

Bank name

Bank's full address		
Country	Postcode	

How long have you held this account

Y	Y	years	M	M	months
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### Further payments – if applicable

#### Bank details 2

Payment currency	£	US\$	€	Other (state currency)
Payment amount				
Name as stated on bank account				
Sort code (If applicable)		-		-
ABA number				
Branch code for non-UK banks				
Account number/IBAN				
SWIFT or BIC code (If applicable)				
Bank name				
Bank's full address				
Country				Postcode

How long have you held this account

Y	Y	years	M	M	months
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#### Bank details 3

Payment currency	£	US\$	€	Other (state currency)
Payment amount				
Name as stated on bank account				
Sort code (If applicable)		-		-
ABA number				
Account number/IBAN				
SWIFT or BIC code (If applicable)				
Bank name				
Bank's full address				
Country				Postcode

How long have you held this account

Y	Y	years	M	M	months
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## Source of Funds - Activity which generated amount to be invested

*Note* – We need to understand how your premium was acquired. Please provide full details of this below.

Description	Details required	Details	
<b>Accumulated earned income (including salary, bonus and fees)</b>		Currency:	Amount:
	Number of years income accumulated		
	Name of account where funds have been held		
	Account number		
	Institution where it has been held		
	How long it's been held		
	Has the income been accumulated from the employer detailed in this form? (If no please provide further details below)	Yes	No
	Name of employer		
	Full address of employer		
			Postcode
Occupation (including role, e.g. Director and sector, e.g. Accountancy. If you have retired please include your occupation before retirement. Please check that the occupation is not on our list of prohibited occupations as confirmed on our Source of Funds and Source of Wealth guidelines)			
Annual gross salary	Currency:	Amount:	
Relevant bonus details	Currency:	Amount:	

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**Sale of interest in company**

Name of company

Nature of business

Address of company

Postcode

Connection to company  
(i.e. owner, partner, shareholder, etc.)

Total sale amount

Currency:

Amount:

Date of sale

D	D	M	M	Y	Y	Y	Y
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Net amount you  
received from sale  
(minus charges, solicitors fees etc.)

Currency:

Amount:

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**Sale of shares/  
investments**Name of company that held the  
shares/investments  
(i.e. bank, stockbroker or insurance company)

Address of the above company

Postcode

How were they sold? (i.e. bank, stockbroker  
or other agent, if applicable)Description of shares/investments  
(i.e. government bonds, equities, etc.)

Length of time shares/investment held

Total amount of sale

Currency:

Amount:

Date of sale

D	D	M	M	Y	Y	Y	Y
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**Sale of property**If you are not the beneficial  
owner of this property,  
please select a different  
option for Origin of Wealth  
that is more appropriateAddress of property sold  
(including postcode if applicable)

Postcode

Total sale amount

Currency:

Amount:

Date of sale

D	D	M	M	Y	Y	Y	Y
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Net amount you  
received from sale

Currency:

Amount:

<b>Inheritance</b>	Donor's name		
	Relationship to donor		
	Date of donor's death	<div> <div>D</div> <div>D</div> <div>M</div> <div>M</div> <div>Y</div> <div>Y</div> <div>Y</div> <div>Y</div> </div>	
	Details of inheritance (i.e. cash, property, shares etc.)		
	Amount received	Currency:	Amount:
	Date received	<div> <div>D</div> <div>D</div> <div>M</div> <div>M</div> <div>Y</div> <div>Y</div> <div>Y</div> <div>Y</div> </div>	
<b>Gift</b>	Name of person who gave the gift		
	Relationship to donor		
	Reason for gift		
	Description of gift		
	Total amount received	Currency:	Amount:
	Date received	<div> <div>D</div> <div>D</div> <div>M</div> <div>M</div> <div>Y</div> <div>Y</div> <div>Y</div> <div>Y</div> </div>	
<b>Competition or gambling win</b>	Name of organisation		
	How was the money won?		
	Total amount won	Currency:	Amount:
	Date received	<div> <div>D</div> <div>D</div> <div>M</div> <div>M</div> <div>Y</div> <div>Y</div> <div>Y</div> <div>Y</div> </div>	
<b>Maturing investment/policy claim/replacement policy</b>	Reason for policy claim or replacement policy (if applicable)		
	Name of company/policy provider		
	Name of person who held the policy		
	Total amount received	Currency:	Amount:
	Surrender penalty incurred (if any)		
	Date received	<div> <div>D</div> <div>D</div> <div>M</div> <div>M</div> <div>Y</div> <div>Y</div> <div>Y</div> <div>Y</div> </div>	
	Length of time investment/policy held		
<b>Compensation</b>	Who paid the compensation (i.e. name of organisation or individual)		
	Reason for compensation		
	Total amount received	Currency:	Amount:
	Date received	<div> <div>D</div> <div>D</div> <div>M</div> <div>M</div> <div>Y</div> <div>Y</div> <div>Y</div> <div>Y</div> </div>	



<b>Loan</b>	Name of loan provider									
	Address of loan provider									
	Postcode									
	Reason for loan									
	Total amount borrowed	Currency: Amount:								
Date of loan	<table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>		D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y			
<b>Other</b>	Nature of activities generating the wealth									
	Role in relation to above activities									
	Period over which the activities occurred									
	Currency:	Amount:								
	Date received	<table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y			

## Section H – Regular withdrawals

**Note** – Minimum amount for regular withdrawals is £500/\$750/€750 (or currency equivalent) regardless of frequency.

### Withdrawal amount

Total amount to be withdrawn each year

**OR**

Percentage of premium to be withdrawn each year

	%
--	---

Payment currency	£	US\$	€	Other (state currency)	
Withdrawal frequency (✓)	Monthly	Every two months	Quarterly	Half-yearly	Yearly

### Note

#### What about tax?

We strongly suggest you contact your financial adviser before making a decision to take regular withdrawals, in order to make sure that this is the most suitable withdrawal option for you, and also to find out if this will have any tax consequence.

#### Date of first payment

(If your Policy has not been accepted by us on the due date then your first payment will be made on the next payment date according to the frequency chosen.)

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

### Payee details

We will only pay withdrawals to policyholders and will not make payments to third parties.

Would you like your withdrawals to be made to the same bank account detailed in Section G 'Source of Funds'?

Yes No

If 'No' please complete the section below.



1                      2                      3

Name as stated on bank account

Bank account number/IBAN																											
Sort code (applicable to UK accounts)			-			-			Branch code for non-UK payments																		
ABA number																											
SWIFT or BIC code									ABA number																		
<small>(SWIFT code needed for bank accounts outside Europe; BIC code needed for European accounts with an IBAN)          (An ABA number is a code used for electronic payment to and from a US bank account)</small>																											
Bank name																											
Bank address																											
	Country														Postcode												

Please state which asset(s) listed in Section F is/are to be used as the Nominated Asset to pay regular withdrawals. This will only apply where you have not chosen an authorised custodian.

**Note** – You are required to keep a sufficient balance in your Nominated Asset to cover all withdrawals and fees debited to your policy. Therefore we are unable to pay any withdrawals or fees if there is an insufficient balance in your Nominated Asset.

If there are any further Nominated Assets, please photocopy this page, attach the details with this application form and tick here

ISIN/SEDOL	Name	Percentage	%
ISIN/SEDOL	Name	Percentage	%
ISIN/SEDOL	Name	Percentage	%
ISIN/SEDOL	Name	Percentage	%
ISIN/SEDOL	Name	Percentage	%

*Section I – Number of policies – new contracts only*

Number of policies you would like

The minimum investment amount for each individual policy is £500, US\$750 or €750. If the investment is £25,000, the maximum number of policies available is 50.

## Section J – Declarations and application

If there are more than two applicants, please photocopy all of this section, attach the details with this application form and tick here (✓)

*Note* – If additional pages are added, each separate page must be initialised by all applicants.

### Data Privacy Statement

I understand that Quilter International Business Services, Quilter International Isle of Man Limited, Quilter International Trust Company Limited and/or Quilter International Ireland dac (Quilter International) will process personal information about me and any other party whose personal information I have provided.

The type of personal information processed about me will depend on the purpose for which it has been collected and will include:

- my contact details
- information to verify my identity
- information about my family, lifestyle, health and finances
- my payment details.

The processing of my personal information may take place in a number of jurisdictions and may be shared with other parties within or outside the Utmost group of companies for the general purpose of establishing, maintaining and servicing an insurance policy. The sharing of my personal data may be used for any or all of the following purposes, to:

- check against credit reference or other databases to verify information provided for regulatory due diligence purposes and to prevent or detect financial crime including money laundering, terrorist financing, bribery and corruption, sanctions listing or fraud;
- allow for the provision of services relating to enhanced due diligence, underwriting, reinsurance, data hosting, online services, payment or reporting of any tax or levy, or any other services provided from time to time;
- enable an appointed financial adviser or fund adviser to assist in the provision of services to the policyholder;
- compile statistical analysis or market research, where information is not specific to the individual;
- comply with any legal obligation which includes the releasing of personal information to regulators, law enforcement authorities or other bodies where there is a legal requirement to do so, including the sharing of information under regulations relating to the U.S Foreign Account Tax Compliance Act and The Organisation for Economic Co-operation and Development Common Reporting Standards;
- enable an appointed discretionary asset manager or custodian to meet their legal or regulatory requirements, where that discretionary asset manager or custodian providing services in relation to a policy requests the personal data of an individual linked to an application, and where we are satisfied that such a discretionary asset manager or custodian has a legal or regulatory requirement to make such a request.

Where my personal information is shared with a third party for the provision of services relating to my policy, my personal information will only be used for the purposes for which it was collected. In some circumstances this may involve a transfer of my personal information to a third party outside the European Economic Area (EEA). Whenever my personal information is shared it will be subject to the same levels of security and protection that Quilter International would apply.

I may ask Quilter International to:

- provide a copy of personal information held about me and an explanation of how this data is processed;
- update or correct my personal information;
- delete information about me (where it is no longer necessary in relation to the purpose for which it was originally collected);
- restrict processing of my personal information where appropriate. I may also object to Quilter International processing my data but understand that this may have consequences in Quilter International being able to continue servicing my policy.

I have been made aware that a full explanation of how Quilter International collects, uses and shares my personal information can be found at <https://www.quilterinternational.com/privacy-notice/>

If I have any questions about data privacy I can address these to:

**For Quilter International Isle of Man Limited or Quilter International Trust Company Limited:** The Data Protection Officer, Quilter International Isle of Man Limited, King Edward Bay House, King Edward Road, Onchan, Isle of Man, British Isles, IM99 1NU.

Or email: [QINTL.DPO@Quilter.com](mailto:QINTL.DPO@Quilter.com)

**For Quilter International Ireland dac:** The Data Protection Officer, Quilter International Ireland dac, Navan Business Park, Athlumney, Co Meath, C15 CCW8, Ireland.

Or email: [dataprotection@utmost.ie](mailto:dataprotection@utmost.ie)

If I have a complaint about the processing of my personal information and Quilter International is unable to provide a satisfactory response I may contact the appropriate regulator:

**For Quilter International Isle of Man Limited or Quilter International Trust Company Limited:** The Isle of Man Information Commissioner, First Floor, Prospect Hill, Douglas, Isle of Man, IM1 1ET.

**For Quilter International Ireland dac:** The Ireland Data Protection Commissioner, Canal House, Station Road, Portarlington, R32 AP23 Co. Laois, Ireland.

As the Isle of Man is not part of the United Kingdom, our Appointed Representative in the United Kingdom is an establishment of Utmost Services Limited based at Saddlers House, 5th Floor, 44 Gutter Lane, London, EC2V 6BR.

I have read and understood the Data Privacy Statement set out above and will make it available to other individuals whose personal information has been provided by me to Quilter International either in this application or within accompanying documentation.

## Warning

Please read the following declarations carefully.

Any omission or misstatement of a material fact in this application could affect the payment of benefits under the Collective Investment Bond, Collective Redemption Bond, Executive Investment Bond or Executive Redemption Bond. A material fact is one which is likely to influence the assessment and acceptance of the application.

If you are uncertain whether a fact is material, you should give full details so that we can assess its possible significance. If you become aware of such a fact while we are considering your application, you should notify us immediately.

You should satisfy yourself that you are able to effect the proposed contract under any taxation, exchange control or insurance law to which you may be subject. You are responsible for any tax reporting and liability in relation to your Policy required by the relevant tax authorities. Your country of residence could vary how your Policy is taxed, and you should seek professional tax advice before moving to a new country.

## Declaration for the application of the Bond

A copy of this completed application form is available on request.

Quilter International Isle of Man Limited will be referred to as Quilter International throughout this declaration.

1. I understand that Quilter International has designated the Policy as suitable only for Professional Investors as defined by Quilter International in the Policy terms and conditions.
2. I confirm that I meet the definition of a Professional Investor. I understand that Quilter International do not have any details of my circumstances or characteristics, will not undertake any investigations as to whether I meet this definition, and will rely solely on my confirmation, as part of their application acceptance criteria, that I meet the definition of a Professional Investor. I understand that Quilter International will not undertake any investigation that I meet the definition of a Professional Investor.
3. I understand that the Policy allows investment into various types of Assets and some of these Assets are only suitable for Professional Investors. I accept the level of risk associated with these Assets including the risk that the investment into such an Asset:
  - (a) could provide a lesser degree of investor protection and regulatory safeguards; and
  - (b) could result in a loss of a significant proportion of some or all of the sums invested; and
  - (c) may have a minimum duration, impose significant redemption penalties or are illiquid.
4. I understand that I should read the offering documents for Assets suitable for Professional Investors.
5. I understand that if I consider myself to be a Retail Investor in the future, Quilter International will not restrict the choice of Assets available under the Policy. I also understand that it will be my responsibility to:
  - (a) only choose Assets which are suitable for Retail Investors; or
  - (b) to inform the Fund Adviser that I am now a Retail Investor; or
  - (c) to complete a new Investment Mandate and send this to Quilter International where a Discretionary Asset Manager has been appointed.
6. For individual applicants only. I understand that I will have an Online Service Account set up, should I wish to activate it. If I do activate my Online Service Account, whilst I am submitting this application through my Financial Adviser to your Head Office, I agree that:
  - (a) I will apply for and sign onto my Online Service Account, ensuring that my online access sign in details will be kept secure and not shared with anyone else; and
  - (b) all Policy Transactions will be made by me using my Online Service Account where the Online Service allows, unless I have requested otherwise; and
  - (c) all communications from you will be through my Online Service Account where the Online Service allows, unless I have requested otherwise.
7. I understand and agree that I am applying to enter into a new contract (or a top up to an existing contract) with Quilter International, it will be subject to the laws of the Isle of Man and the Policy Terms will be in the English language.
8.
  - (a) If a bond number is not shown in section A of this form, I request that the amount shown in section E be invested as an initial premium for policies comprising a Quilter International Collective Bond or Executive Bond, and request Quilter International to issue the policies in my/company/corporate trustee name, and jointly with the other applicants, if any; or
  - (b) I request that the amount shown in section E be invested as an additional premium for the policies currently in force bearing policy numbers consisting of the bond number, as shown in section A of this form.
9. I declare to the best of my knowledge and belief that the statements made in this application, and any related documents, are true and complete. I have not concealed a material fact. I agree to provide Quilter International with any further information in respect of this application on request.

10. I confirm that Quilter International has not provided any investment advice and I or my fund adviser are responsible for the selection of Assets to be linked to my Portfolio Fund. I acknowledge that Quilter International is not responsible for any loss suffered or reduction in the value of my Policy arising from my investment. Quilter International does not have any responsibility for the management of the underlying Assets chosen other than Internal Funds, which are invested in accordance with the criteria as published in the relevant fund factsheet and carrying out a treasury function in respect of the Transaction Account and Quilter International does not recommend any Asset as a suitable investment.
11. I confirm that I am not a resident, in, nor is the company/the corporate trustee incorporated in the United States of America or any of its territories. If I become resident or the company/the corporate trustee becomes incorporated in the United States of America or any of its territories, Quilter International may not be able to accept any further premiums until after I cease to be a resident or the corporate/the corporate trustee ceases to be incorporated in the United States of America or any of its territories.
12. I confirm that I have received a copy of the Policy terms 'Details of your Collective Investment Bond' (ref CIB4), 'Details of your Collective Redemption Bond' (ref CRB5), 'Details of your Executive Investment Bond' (ref EIB4), or 'Details of your Executive Redemption Bond' (ref ERB4), the Collective Bond brochure entitled 'Perfectly tuned investments' or the Executive Bond brochure entitled 'The discerning investor', the "Collective Investment Bond at a glance", 'Collective Redemption Bond at a glance', 'Executive Investment Bond at a glance', or 'Executive Redemption Bond at a glance' and I have had the opportunity to read them before reviewing and signing this application.
13. I am aware of the charges payable on the Collective or Executive Bond, including the charges payable in respect of the Assets which may be held within it. I understand that the charges exist partly to meet advice, promotion and distribution expenses. These may include initial and ongoing payments (such as commission) made by Quilter International to my Financial Adviser. These payments could be in addition to any commission payable by the Asset provider to the Financial Adviser in respect of the Assets held. I understand that Quilter International may receive payments in the form of fund manager rebates, from an Asset provider in respect of the Assets held, and which Quilter International may share with my Financial Adviser.
14. I authorise and request Quilter International to effect the Regular Withdrawals detailed in section H and confirm that such payments will discharge Quilter International from all liabilities and claims arising from those regular withdrawals. I understand that this authority supersedes any authority previously given.
15. I understand that in cases where the Asset(s) I have selected is/are not redeemable for a certain period of time, Quilter International may not be able to return that part of my payment until the end of that period. The description of the funds and/or Assets I have chosen will give details if this applies. I may invest immediately into non-daily dealing funds with the understanding that in the event of cancellation or requiring early access that:
  - (a) I may not get my money back immediately and payment may be delayed for some time;
  - (b) the institution may impose penalties and therefore I may get back less than I invested, and/or
  - (c) the only way in which to receive value may be through a transfer of the ownership of that Asset into the name of the Policyholder.
16. I appoint the Financial Adviser to act on my behalf in accordance with the Policy Terms.
17. Where applicable, I confirm that each life assured (or their parent where parental consent is required) consents to this application, and agrees to my acting as their agent for the purpose of the information provided in this application.
18. The premium detailed in this application and any other premium tendered in respect of this application are derived solely from the source of funding provided and have, where required, been declared to the relevant tax authority in my country of residence for taxation.
19. The application for a Quilter International policy is not being made for the purpose of concealing funds, Assets or wealth with a view to the evasion of any taxes I am obliged to pay.
20. I have read and understood the Data Privacy Statement set out in this section and will make it available to other individuals whose Personal Data has been provided to Quilter International either in this application or within accompanying documentation.

**For individual investors. I declare:**

21. I am resident for taxation only in the country or countries shown in section B1 and am not resident for taxation elsewhere.
22. I am a national/citizen of the country (or countries in the case of dual nationality/citizenship) detailed in this application and am not a national or citizen of any other country.

**Appointment of a Lead Policyholder – applicable if there is more than one applicant**

23. I agree to the appointment of the Lead Policyholder, who is named in this application, for the policies comprising our Quilter International Collective Investment Bond, Collective Redemption Bond, Executive Investment Bond or Executive Redemption Bond in accordance with the Policy Terms.
24. I understand that this appointment is revocable and can be changed at any time (as explained in the Policy Terms).
25. I understand that by agreeing to the appointment of the Lead Policyholder I authorise the Lead Policyholder to provide Quilter International with instructions to carry out and request certain Policy Transactions on behalf of all Policyholders. The instruction or request shall be deemed to have been addressed, sent and authorised on behalf of all Policyholders.
26. I understand that these instructions will be legally binding and that Quilter International can act on instructions received from the Lead Policyholder.

#### Additional declarations applicable to Corporate applicants:

27. I confirm that the Company has not been, or is not in the process of being dissolved, struck off, wound up or terminated.
28. The Company confirm that the Company shares are not held in bearer form and will not be converted to bearer share form.
29. I confirm that investment into the Bond is within the investment powers available to the directors of the Company.

#### Additional declarations applicable to trust applicants, including trust companies:

30. I confirm that the Trust Company has not been, or is not in the process of being dissolved, struck off, wound up or terminated.
31. I confirm that investment into the Quilter International Collective or Executive Bond is within the investment powers available to the trustees of the trust.

#### Please enter the country in which this application form was completed.

This application must be completed by the applicant(s) unless you have asked your Financial Adviser to complete it.

Did you complete this application form yourself? (✓)

Yes No

If No, did a third party, such as your Financial Adviser, complete it on your behalf? (✓)

Yes No

By signing the Declarations in Section J of the application, you confirm that you have read them and, if a third party has completed the application form on your behalf, that all the information provided in it is correct.

Signature of Applicant 1/  
Trustee 1/Authorised Signatory 1

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Signature of Applicant 2/  
Trustee 2/Authorised Signatory 2

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Further copies of the Policy Terms and/or this completed application form are available on request.

### Section K – Financial Crime – Risk Rating

#### For all applicants – to be completed by your financial adviser

**Note** – Please refer to the Source of Funds and Source of Wealth Guidelines (available from the literature library at [www.quilterinternational.com](http://www.quilterinternational.com)) for information on how to complete the table below.

To prevent financial crime, Isle of Man authorised life companies may adopt a 'risk-based approach' when obtaining evidence of the source of a client's funds. In order to speed up the application process we have provided you with the table below to allow you to determine an indication of your client's risk rating before submitting the application form to us. **We highly recommend that you complete the risk rating as it allows you to determine if you need to enclose further documentary evidence with the application form or not. If we do not receive the necessary documentary evidence with the application form, then it will take longer to process the business.**

In order to decide what risk rating applies to your client's investment you need to take into account the following factors:

- (a) your client's country of residence
- (b) which country the premium is paid from
- (a) + (b) = total risk rating

Applicant	Client country of residence (a)	Country of premium funding (b)	Total risk rating

**Quilter International reserves the right to request further documentation if it is felt appropriate.** Please note that each new application, or application for an additional investment, will be treated individually.

If you are unsure about a particular application, please contact your Quilter International sales consultant in the first instance, or alternatively contact Quilter International's Sales Support team directly on +44 (0)1624 655010.

## Section L – Verification of customer identity

Please send the following supporting documentation with your signed and completed application.

### Verification of identity of individuals

We require one document from part A and one from part B. If neither document in part A is available, please provide two formal documents showing appropriate personal details and verifiable reference numbers from part B. Identification documentation must be current and valid. Evidence of address should be the latest available, but no more than six months old.

### Verification of customer Identity - for individual investors

Please note we will not be able to issue your policy until the necessary identification documents have been provided.

We require one document from Part A and one from Part B below.

#### PART A – Individual whose identity is being verified

Valid in-date Passport

National ID card

#### PART B – Individual whose residential address is being verified

These must be less than six months old:

- A recent utility bill (electricity, gas, water), rates or council tax bill (excluding mobile/cell phone bills)
- A bank, mortgage or credit card statement (excluding store cards)
- An extract from the official register of electors
- State pension, benefit or other government produced document showing benefit entitlement
- A recent tax assessment document
- Proof of ownership or rental of the residential address

### Document certification

Certification must state “**I hereby confirm that this document is a true copy of the original which I have sighted and the photograph represents a good likeness of the client**” and include the date of certification, the certifier’s full name, signature and job title.

### Further documentary evidence

We may require further information or documentary evidence in addition to the documents already requested to support your application, in relation to your investment, before we can process the application. Your Financial Adviser can establish if further information or documentary evidence is needed by referring to our Source of Funds and Source of Wealth Guidelines or contacting us before sending in your application form.

**Please enter what documentary evidence you are enclosing with this application form.** (if applicable)

*Note* – Please note that we will not be able to commence the policy until this section has been completed and you have provided the necessary identification documentation.

Outlined below are the standard minimum requirements. In some circumstances we may need additional information.

#### Individual trustees

Enclosed (✓)

1. Verification of the identity and address of all individual trustees – please refer to parts A and B on page 21 for the necessary identification documents.
2. Verification of the identity and address of the protector (where appropriate).
3. Evidence of the appointment of trustees (for example a certified copy of an extract from the trust deed, but not the whole deed) if the application is in respect of an existing trust.
4. The trustees (settlor(s) where policies to be settled into trust) should provide the name, current residential address and date of birth or death for all the parties to the trust, for example settlor/donor, protector, beneficiaries. If the beneficiaries are not named you must provide the class of beneficiaries, for example grandchildren. Please continue on a further sheet if necessary.

**Capacity**

Settlor/Donor

Protector

Beneficiary

Name

Date of birth or death

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Birth

Death

Residential address

Country	Postcode

**Capacity**

Settlor/Donor

Protector

Beneficiary

Name

Date of birth or death

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Birth

Death

Residential address

Country	Postcode

**Capacity**

Settlor/Donor

Protector

Beneficiary

Name

Date of birth or death

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Birth

Death

Residential address

Country	Postcode

**Capacity**

Settlor/Donor

Protector

Beneficiary

Name

Date of birth or death

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Birth

Death

Residential address

Country	Postcode

Class of beneficiary if not named (an extract of the deed may be provided)

**You may also wish to provide identification documentation at the time of application/assignment for the named parties to the trust in order to avoid delays on subsequent transactions where documentary evidence is required, e.g. for beneficiaries.**

**Corporate and corporate trustees**

Enclosed (✓)

1. A list of directors' names.
2. Verification of the identity of at least two directors, one of whom must be an executive director.
3. A list of authorised signatories, specimen signatures and evidence of their signing power(s).
4. The corporate or corporate trustee's Certificate of Incorporation or other official registration document.

5. Evidence of the registered office of the corporate or corporate trustee.
6. Trading company – a copy of the latest annual reports and accounts.  
Non-trading company – evidence of the origin of wealth.
7. Private limited companies – verification of the identity of all shareholders holding 25% or more of the issued share capital as at the date of application. Where the shareholders are not individuals we will require verification of the identity of the ultimate beneficial owner of those entities and their relationship to the company.

All information should be provided on letterhead.

### Confidentiality

Any information given by the client(s) or their Financial Adviser will be used solely by members of the Utmost Group of companies.

**Note** – Please tick (✓) to indicate the identification you have supplied for each individual party to the bond. If a fund adviser has been appointed we may need to verify the identity of the appointee.

Part A	Individual whose identity is being verified		
1. Name			
Capacity			
Type of document	Passport	National identity card	
Document reference			
2. Name			
Capacity			
Type of document	Passport	National identity card	
Document reference			
3. Name			
Capacity			
Type of document	Passport	National identity card	
Document reference			
4. Name			
Capacity			
Type of document	Passport	National identity card	
Document reference			

### Part A – Reason why documents are not provided (if applicable)



**Part B****Individual whose residential address is being verified****These must be less than six months old****1****2****3****4**

1. A recent utility, rates or council tax bill  
(mobile/cell phone bills not acceptable)
2. A recent mortgage statement, giving  
the residential address
3. An extract from the official register of electors
4. A state pension, benefit or other government produced  
document showing benefit entitlement
5. A recent tax assessment document
6. A recent account statement from bank or credit card  
(store cards not acceptable)
7. Proof of ownership or rental of the residential address

**Section M – Financial adviser/suitable certifier declaration****This section must be completed in all instances.****Declaration by the financial adviser/suitable certifier**

I declare that:

- I have taken reasonable steps to make sure that the funding is legitimate and in line with the applicant's circumstances
- to the best of my knowledge and belief, all the information provided in and with this application is true and complete and was obtained from the applicant(s) who is/are of good standing. I also confirm I will provide further information if required
- I have provided the applicant(s) with their Key Information Document where applicable
- I have not made any changes to the application form after the client has signed it.
- I have verified the contents of the original documents where copies have been enclosed and confirm that they are true copies of the originals

**Please complete one of the following:**

I have met my client(s) in person

I have met my client(s) face-to-face via secure live video stream *(complete part 1 below)*I have not met my client(s) face-to-face *(complete part 2)*

By providing certification for Customer Due Diligence documents where these have been viewed and verified via secure live video stream, you confirm:

- 1) That the client held their ID beside their face to confirm the document as a true likeness.
- 2) The other elements of the Customer Due Diligence (CDD) were held up by the clients so I could verify they were a true likeness to those in my possession.
- 3) That I obtained evidence by retaining a recording of the video meeting or by taking a picture of my client with their CDD for record keeping purposes and to validate my certification. I will provide this to Quilter International upon request.

The following certification must be used on each copy document:

*I certify this document as a copy of the document that I have seen through <insert method of communication used> held on <x date> between me and the applicant /policyholder. The document has not been tampered with and I have received the same confirmation from the applicant /policyholder.*

For photo ID please include the following: *I confirm that the image is a true likeness of the applicant /policyholder.*

The certification must also include standard information relating to the certifier including full name, position/capacity in which they are certifying the document, contact details and date.

**1. Where you have not met your client(s) in person or face-to-face via secure live video stream please complete the following:**

All elements of the CDD have been sent directly to Quilter International by my client(s) in an original and acceptable format

All elements of the CDD have been obtained from and/or certified by a third party who has met my client(s) in person or face-to-face via secure live video stream

**Please confirm which items of CDD you have provided:**

Identity document

Proof of residential address

Source of Funds

Source of Wealth

Where a third party has been involved in the due diligence process and has met your client(s) and subsequently verified the CDD, please provide the following:

Name of individual who met your client(s) and certified the CDD

Date of Birth

D	D	M	M	Y	Y	Y	Y
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Residential Address

Postcode	Country

Registered Company Name

Registered Company Address

Postcode	Country

*Where there is more than one third party involved in obtaining the CDD please contact your Quilter International Sales Consultant.*

I confirm that I gave advice concerning this investment to the applicant(s) in (name of country)

	Country
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on

D	D	M	M	Y	Y	Y	Y
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I confirm that, if applicable, all information provided was received directly from the applicant(s).

Regulatory body  
authorisation number (if applicable)

Regulator name

Quilter International financial adviser  
account number

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Full name of introducer firm

Full name of financial adviser/  
suitable certifier

Signature of financial adviser/  
suitable certifier

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Date

D	D	M	M	Y	Y	Y	Y
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Introducer firm stamp

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[www.quilterinternational.com](http://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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