

# OPEN ARCHITECTURE DEALING INSTRUCTION



Utmost Wealth Solutions is the brand name used by a number of Utmost companies. This item has been issued by Utmost Limited and Utmost PanEurope dac.

This form should be used for policies held on the Open Architecture basis only, i.e. where a Dealing Account exists within the policy. It can be used for Utmost Limited's Evolution and Estate Planning Bond and Utmost PanEurope dac's Selection, Delegation, Generation Planning Bond and ex-Athora policies.

To ensure that the dealing instruction is processed in accordance with your wishes, all sections of this form must be fully completed. For further information, please read the 'Important notes' overleaf. If you make a mistake, cross it out, put in the correct word(s) and sign your initials next to the correction. **Please do not use correction fluid.** If you have any queries please contact your financial adviser, or our Customer Support team on +44 (0) 1624 643 345.

## A POLICY DETAILS

1 Policy number	<input type="text"/>	4 Contact name	<input type="text"/>
2 Policy name	<input type="text"/>	5 Contact telephone number (Including national dialling code)	<input type="text"/>
3 Adviser company name	<input type="text"/>	6 Contact email address	<input type="text"/>

## B DEALING INSTRUCTION

INVESTMENT INSTRUCTIONS: EXTERNAL FUNDS, STRUCTURED DEPOSITS, ETC.							
Action (Buy/Sell)	Full name of security	Fund Currency	SEDOL/ISIN of security	Settlement Currency eg GBP/USD/EUR	(Please complete ONE only)		
					Cash	No of Units	%

DEPOSIT INSTRUCTIONS: BANK AND BUILDING SOCIETY DEPOSITS							
Action (Deposit/Withdraw/Close at maturity/ Break with possible penalties)	Deposit Account Institution & Location	Deposit Currency	Deposit Term (if applicable)	Rate*	Settlement Currency eg GBP/USD/EUR	(Please complete ONE only)	
						Cash	%

\* Where a rate is not attainable, we will refer back to you for further instruction. If you request a specific rate, this may delay placement of your investment.

## IMPORTANT NOTES

If we have approved an Investment Adviser, we will accept dealing instructions from them. To nominate an Investment Adviser to be appointed on your bond, you must complete our **Nomination of investment adviser** form which can be found on our website [www.utmostwealth.com](http://www.utmostwealth.com), and send to us for approval.

If you want to deal into a fund which is in a different currency from your bond, or move between funds in different currencies, the value may be affected by currency exchange rates.

If the bond has a Notice of Interest (ie: bank assignment) then all parties must sign this form.

Where available, please include confirmation of SEDOL or ISIN codes, share class (e.g. 'A', 'B', or 'C') and unit class (e.g. 'Accumulation' or 'Income'). If you select an 'Income' unit fund, we will request that the fund manager pay all income from the fund as cash, which will be credited to your Dealing Account. If specific instruction is not provided, where relevant we will purchase the 'accumulation' version of the fund. If you select a fund that pays a rebate, we will purchase the clean share class version instead as we do not accept investments into rebate paying funds.

Please note that Utmost Wealth Solutions cannot permit fund-based commission to be paid to Investment Advisers, and any commission that would otherwise be available will be reinvested for the benefit of the policyholder.

For some funds such as Qualified Investor Schemes and other similar structures, we require our Investor Declaration form to be signed by the policyholder before we can invest. This form can be found on our website [www.utmostwealth.com](http://www.utmostwealth.com) and should be submitted along with any dealing instruction.

**Any instruction that is incomplete or requires clarification, may be delayed whilst we refer back to you. We are unable to backdate transactions resulting from any such delay.**

Details about how we use your information, your rights over this information and how you can exercise your rights can be found in the applicable Privacy Notice (Isle of Man)/Privacy Statement (Ireland). We publish our Privacy Notice (Isle of Man)/Privacy Statement (Ireland) on our website at [www.utmostwealth.com](http://www.utmostwealth.com) or you can ring us on **+44 (0)1624 643 345** and request a copy. All persons whose details are collected in this form should read the Privacy Notice/Privacy Statement to understand how the data provided about them will be used.

## C SIGNATURES

The instruction will be dealt with in accordance with the **Policy Provisions and Fund Rules** relevant to your contract. We will place any valid and clear instruction by the close of business the day after receipt of this fully completed dealing instruction form. Return the completed form to:

UTMOST LIMITED & - E: [dealing@utmostwealth.com](mailto:dealing@utmostwealth.com)

UTMOST PANEUROPE A: **Royalty House, Walpole Avenue, Douglas, Isle of Man, British Isles, IM1 2SL.**

FOR FORMER ATHORA - E: [etrading@utmost.ie](mailto:etrading@utmost.ie)

POLICIES ONLY

A: **Ashford House, Tara Street, Dublin 2, D02 VX67, Ireland.**

Policyholder/Authorised signatory/Trustee 1

SIGNATURE

Print full name

  

Date

d	d	m	m	y	y	y	y
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Policyholder/Authorised signatory/Trustee 3

SIGNATURE

Print full name

  

Date

d	d	m	m	y	y	y	y
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**\*Only applicable if we hold a completed Nomination of Investment Adviser form that has been approved by us.**

Policyholder/Authorised signatory/Trustee 2

SIGNATURE

Print full name

  

Date

d	d	m	m	y	y	y	y
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or Investment Adviser \*

SIGNATURE

Print full name

  

Date

d	d	m	m	y	y	y	y
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Company name

Utmost Wealth Solutions is a trading name used by a number of Utmost companies. Utmost Trustee Solutions is the trading name used by Utmost Trustee Solutions Limited. This item has been issued by Utmost Limited and Utmost PanEurope dac.

The following companies are registered in the Isle of Man: Utmost Limited (No 056473C), Utmost Administration Limited (No 109218C) and Utmost Trustee Solutions Limited (No 106739C) which are regulated or licensed by the Isle of Man Financial Services Authority.

Utmost Services Limited (No 059248C) is an appointed representative of Utmost Limited. Each has its registered office at: Royalty House, Walpole Avenue, Douglas, Isle of Man, IM1 2SL, British Isles. Utmost Limited is authorised in the UK by the Financial Conduct Authority (160418).

Utmost PanEurope dac (No 311420), trading as Utmost Wealth Solutions, is regulated by the Central Bank of Ireland. Its registered office is Navan Business Park, Athlumney, Navan, Co. Meath C15 CCW8, Ireland.

All promotional material has been approved by Utmost Limited who is authorised in the UK by the Financial Conduct Authority.

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