

# DEALING REQUEST FORM SELL/BUY ORDERS

## UNITED KINGDOM

Utmost Wealth Solutions is the brand name used by a number of Utmost companies. This item has been issued by Utmost Luxembourg S.A.

Company name	<input type="text"/>	Instruction submitted by	<input type="text"/>
Contact details for queries in relation to this instruction (phone / email)	<input type="text"/>	Instruction to be sent to	Utmost Luxembourg S.A. Att: Dealing Team E-mail: <b>DealingTeam@utmostgroup.lu</b>
Policy/Fund Number/Bank account number (indicate at least one)	<input type="text"/>	Date	<input type="text"/>

If your instruction is linked to equities or ETFs, please clearly indicate it in your email subject.

DEAL NUMBER	BUY / SELL INSTRUCTION		FULL NAME OF THE ASSET	SEDOL / ISIN CODE	ASSET CURRENCY	ORDER SIZE (PLEASE COMPLETE ONE ONLY)		SETTLEMENT CURRENCY	LIMIT PRICE (IF APPLICABLE)	VALIDITY DATE OF THE LIMIT PRICE (IF APPLICABLE)
	TICK ONE FOR EACH LINE					› FOR EQUITIES/ETFs, USE NUMBER OF UNITS/SHARES <u>ONLY</u>	› FOR BONDS, USE NOMINAL <u>ONLY</u>			
1	<input type="checkbox"/> BUY	<input type="checkbox"/> SELL								
2	<input type="checkbox"/> BUY	<input type="checkbox"/> SELL								



Guidelines for order transmission through Utmost Luxembourg S.A.

DEAL NUMBER	BUY / SELL INSTRUCTION		FULL NAME OF THE ASSET	SEDOL / ISIN CODE	ASSET CURRENCY	ORDER SIZE (PLEASE COMPLETE ONE ONLY) › FOR EQUITIES/ETFs, USE NUMBER OF UNITS/SHARES <u>ONLY</u> › FOR BONDS, USE NOMINAL <u>ONLY</u>		SETTLEMENT CURRENCY	LIMIT PRICE (IF APPLICABLE)	VALIDITY DATE OF THE LIMIT PRICE (IF APPLICABLE)
	TICK ONE FOR EACH LINE					NUMBER OF UNITS/SHARES/ NOMINAL (NO INSTRUCTION IN %)	AMOUNT IN ASSET CURRENCY (NO INSTRUCTION IN %)			
3	<input type="checkbox"/> BUY	<input type="checkbox"/> SELL								
4	<input type="checkbox"/> BUY	<input type="checkbox"/> SELL								
5	<input type="checkbox"/> BUY	<input type="checkbox"/> SELL								
6	<input type="checkbox"/> BUY	<input type="checkbox"/> SELL								
7	<input type="checkbox"/> BUY	<input type="checkbox"/> SELL								
8	<input type="checkbox"/> BUY	<input type="checkbox"/> SELL								
9	<input type="checkbox"/> BUY	<input type="checkbox"/> SELL								
10	<input type="checkbox"/> BUY	<input type="checkbox"/> SELL								

Additional comments:

We will confirm safe receipt of instructions within 24 hours of receipt. If you do not receive a confirmation please contact us.  
PLEASE REFER TO OUR DEALING RULES ON THE NEXT PAGE

**SIGNATURES**

RULES FOR DEALING INSTRUCTIONS

DEALING REQUEST FORM GUIDANCE NOTES

1. Policy / Fund Number / Bank account number	Please indicate the policy number, internal fund number or bank account number on which the dealing request will be instructed.
2. Buy / sell Instruction	Please tick for each asset if it is a buy or a sell instruction.
3. Full Name of the Asset	Please indicate the full name of the asset to be instructed. Do not use abbreviations.
4. ISIN/SEDOL Code	Please indicate the ISIN code or alternatively other identifiers (SEDOL, Telekurs) This identifier is <b>mandatory</b> in order to instruct the dealing request ( <b>no</b> dealing request will be instructed based on the asset name only).
5. Asset Currency	Please indicate the currency of the asset you want to instruct.
6. Order Size	Please indicate the order size <b>either</b> in number of units / nominal or in amount depending on the asset type. Do <b>not</b> indicate both units and amounts for the same asset.  <ul style="list-style-type: none"> <li>› For equities/ETFs, indicate the number of units only (No instruction will be accepted in %)</li> <li>› For bonds/structured products, indicate the nominal only (No instruction will be accepted in %)</li> <li>› For funds, indicate the number of units or the amount depending on the fund characteristics. In order to minimize the risk of rejection and potential delays, we strongly recommend to place your dealing instructions in units. (No instruction will be accepted in %)</li> </ul>
7. Sequencing Dealing Orders	We will reject any dealing instruction requesting a sequencing, i.e., waiting for the proceeds of sales before instructing purchases. For any dealing instruction combining buy and sale orders (without sequencing), please ensure that there is adequate level of cash available, as both orders will be transmitted to the custodian bank simultaneously.
8. Settlement Currency	Please indicate the currency in which the purchase or the sale has to be paid or settled. This may be different from the asset currency and a currency conversion may be required.
9. Limit Price	If no limit price is indicated, the transaction will be instructed at "market price" with no limit.
10. Validity of the Limit Price	Please indicate the validity date of the limit price. This is a mandatory field in case a limit price is indicated.

Any dealing instructions received which are not following the above mentioned rules will not be transmitted to the custodian bank and may therefore cause delays.  
Utmost Luxembourg S.A. accepts no responsibility for any losses arising from the potential late execution of the instruction.

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## RESTRICTIONS D'INVESTISSEMENTS

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- › All dealing requests duly completed and signed should be instructed using the Utmost Luxembourg Dealing Request Form and sent to the Dealing Team at the following email address: **DealingTeam@utmostgroup.lu**.
  - › **The Dealing Request Form must be completed electronically. Dealing Request Forms that are handwritten, unclear, incomplete, not dated or not signed will not be processed.**
  - › The dealing and settlement requests will, upon acceptance, be submitted by Utmost Luxembourg S.A. to the relevant custodian bank for execution. The assets will be held by the custodian bank.
  - › Utmost Luxembourg S.A. will process the dealing requests based on the indicated ISIN code/SEDOL within the Dealing Request Form. Utmost Luxembourg S.A. accepts no responsibility for errors where the identifier code and asset name differ.
  - › A dealing request to purchase an investment will not be actioned unless there is sufficient cash within the internal fund's cash account to meet the purchase price and all costs of the purchase.
  - › For some assets (complex assets, non traditional assets, assets not setup in our system, etc...), Utmost Luxembourg S.A. may require to perform an eligibility check to ensure that they are permissible assets according to the investment rules. Utmost Luxembourg S.A. accepts no responsibility for any losses arising from the potential late execution of the instruction.
  - › If the custodian bank or any other execution intermediary/broker rejects or delays the execution of the transaction, Utmost Luxembourg S.A. accepts no responsibility for any potential financial loss resulting from this delay.
  - › Utmost Luxembourg S.A. will not provide any confirmation of the trade execution at the custodian bank. Depending on the custodian bank, the policyholder may retrieve such information through Utmost Luxembourg CONNECT, usually within 2 days following the execution date.
  - › **Buy or sell requests for permitted assets that are received by Utmost Luxembourg S.A. before 12:00 p.m. (noon) CET on a business day will normally be transmitted to the custodian at any time on the following business day at the latest.**
- We consider instructions that are received after 12:00 p.m. (noon) CET on a business day to have been received on the following business day. The dealing request will therefore at the latest be transmitted to the custodian bank two business days after receipt.**
- › All deals are placed on a "reasonable endeavour" basis. Only complete dealing instructions will be accepted where there is available cash in the internal fund's account.

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## INVESTMENT RESTRICTIONS

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- › All assets eligible to be purchased for the policies are subject to product restrictions and need to be quoted on a recognised stock exchange and be permissible assets according to the Commissariat aux Assurances (CAA) investment rules and other regulations (e.g. UK personal portfolio bond (PPB) rules if applicable for the policy) and limitations.
- › For CAA investment rules, UK PPB Rules, strategy restrictions, terms and IMA restrictions, please ensure that your investments are eligible. Utmost Luxembourg S.A. accepts no responsibility regarding any breach.
- › An indemnity form in the format specified by Utmost Luxembourg S.A. must be completed before investing into "specialised investments" (e.g. alternative Investments such as hedge funds, real estate funds, structured products linked to hedge funds or derivatives, etc.).
- › The custodian bank may impose dealing charges. Please ensure that sufficient liquidity is retained in the internal fund's cash account to meet such charges.
- › **A delay in the placement of deals may occur if the requests are illegible, unclear, incomplete or relate to an asset that is not permitted or not set up in our system. We are unable to backdate transactions resulting from the delay caused in clarifying your instruction.**

## A WEALTH *of* DIFFERENCE

[www.utmostinternational.com](http://www.utmostinternational.com)

Utmost Luxembourg S.A. is registered with R.C.S. under number B37604 and regulated by the Commissariat aux Assurances (CAA)  
Registered office address: 4, rue Lou Hemmer, L-1748 Luxembourg, Grand-Duché de Luxembourg  
Utmost Wealth Solutions is registered in Luxembourg as a business name of Utmost Luxembourg S.A.