

EUROPEAN EXECUTIVE INVESTMENT BOND - PRIIPS

utmostTM
WEALTH SOLUTIONS

APPLICATION FORM - NEW BUSINESS AND TOP-UP

THIS DOCUMENT WAS LAST UPDATED IN JANUARY 2023

Please confirm with your financial adviser that this is the most up-to-date document for your product or servicing needs.

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.

SECTION	PAGE	COMPLETED
A Type of application	4	<input type="checkbox"/>
B Details of the QROPS, SIPP or QNUPS	4	<input type="checkbox"/>
C Details of the lead policyholder	5	<input type="checkbox"/>
D Details of the life assured	6	<input type="checkbox"/>
E Source of funds	7	<input type="checkbox"/>
F Investment details	7	<input type="checkbox"/>
G Investment choice	8	<input type="checkbox"/>
H Source of funds	9	<input type="checkbox"/>
I Number of policies	11	<input type="checkbox"/>
J Regular withdrawals	11	<input type="checkbox"/>
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Important note: The product(s) named in this document and to which this document relates is accurate as at December 2021 and is subject to change.
To ensure applicability with respect to a product and, if applicable, a related policy, before taking any action, please liaise with your adviser and/or contact us directly.

A WEALTH *of* DIFFERENCE

www.utmostinternational.com

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

Utmost PanEurope dac is regulated by the Central Bank of Ireland. Registered No 311420. Administration Centre for correspondence: King Edward Bay House, King Edward Road, Onchan, Isle of Man, IM99 1NU, British Isles. Tel: +353(0)1 479 3900 Fax: +353(0)1 475 1020.

Registered Office address: Navan Business Park, Athlumney, Navan, Co. Meath, C15 CCW8, Ireland.

Utmost Wealth Solutions is registered in Ireland as a business name of Utmost PanEurope dac.

UPEQ PR 09310 | 01/23

EUROPEAN EXECUTIVE INVESTMENT BOND
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QROPS Trustees (✓)

QNUPS Trustees (✓)

Company QROPS (✓)

Please tick appropriate

Company QNUPS (✓)

SIPP Trustees (✓)

CUSTOMER ID NUMBER

Utmost International
Account number

--	--	--	--	--	--	--	--	--	--

If known please enter the Customer ID number(s)

FINANCIAL ADVISER DETAILS

Utmost PanEurope Account number

--	--	--	--	--	--	--	--	--	--

Adviser ID

--

Name of financial adviser

--

Company name

--

Address

--

Telephone number

--

Fax number

--

E-mail address

--

Utmost PanEurope only accepts business introduced by companies which have Terms of Business with us.

We only sell our products through financial advisers as we believe it is important 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 Utmost PanEurope. You are responsible for their actions or omissions.

Please sign and return your completed form to our administration centre at **King Edward Bay House, King Edward Road, Onchan, Isle of Man, IM99 1NU.**

We have used the term 'Bond' to refer to your chosen Utmost PanEurope product throughout this application.

All references to Utmost PanEurope, **we**, **us** and **our** in this application form mean Utmost PanEurope dac.

TAXATION INFORMATION

Under Automatic Exchange of Information (AEOI) regulations Utmost PanEurope 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 Utmost PanEurope promptly so we can determine if a new self-certification is required.

IMPORTANT INFORMATION

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.

ONLINE SERVICE ACCOUNT ON WEALTH INTERACTIVE

Please ensure that for companies/corporate trustee applications the articles of association permit the company to delegate approval on behalf of the company to one authorised signatory or there has been a board resolution that confirms that one authorised signatory has authority to act on behalf of the company/corporate trustee solely, later referred to as the lead policyholder. If it does not then you must opt to transact with us and receive communication by post rather than online.

When you apply for your Utmost PanEurope European Executive Investment Bond - PRIIPs, we will automatically set you up with an Online Service Account on our Wealth Interactive service. You will receive an e-mail from us containing a link that lets you activate this service. Once your policy and your Online Service Account are live, you can sign into 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 communications from us by post rather than online, please tick here (✓)

The underlying member may apply for a view only account. If this is required please provide their e-mail address

YOUR RIGHT TO CANCEL (APPLICABLE TO THE COMPANY QROPS, COMPANY QNUPS, QROPS TRUSTEE, QNUPS TRUSTEE OR SIPP TRUSTEE)

You have the right to cancel your Bond or additional investment and obtain a refund of any contribution(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 contribution, 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 and 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
- › do not use correction fluid; any amendments should be crossed out and initialled by authorised signatories of the corporate trustee or Company signatories.

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.

DECLARATION OF RESIDENCE OUTSIDE IRELAND

A 'Declaration of Residence outside Ireland' is required:

- › if you are resident in UK Jersey, Guernsey or Gibraltar
- › for trust cases, where it should be signed by the pensioner trustee company where appropriate.

A copy of this document is available from your financial adviser.

A TYPE OF APPLICATION

NEW INVESTMENT

The type of bond cannot be changed after it has been set up.

Please select the product below. (✓)

European Executive Investment Bond - PRIIPs (Terms ref E04v4)

Reason for investment
(e.g. saving for retirement)

ADDITIONAL INVESTMENT

If this is an application for an additional transfer please provide your existing bond number:

BOND CURRENCY

We wish our Bond to be
valued in (✓)

£

US\$

€

HK\$

Other currency
(State Currency)

Please note if no currency is entered your Bond currency will be Euro (€). The Bond currency cannot be changed after the Bond is set up.

APPOINTMENT OF AN AUTHORISED CUSTODIAN

Please tick if you wish to appoint an authorised custodian? (✓)

Authorised custodian

Name of custodian

Address of custodian

If you have ticked above, you need to complete the **Select Custodian Facility form** which is available from your financial adviser.

B DETAILS OF THE QROPS, SIPP OR QNUPS

QROPS TRUSTEE (✓)

SIPP TRUSTEE (✓)

QNUPS TRUSTEE (✓)

Jurisdiction of trustees

The trust name is

The trust was created on

Trust details:

► The reason for the establishment of the trust, the type of trust and the source of the trust assets and the country of origin.

QROPS/SIPP provider - pension transfers or additional contributions to the QROPS/SIPP (being the evidence of the source of the assets supplied by the QROPS/SIPP Trustee) or QNUPS scheme to provide a pension in retirement. The trust assets will be a lump sum contribution to the QNUPS. (QNUPS Trustee will provide source of assets evidence).

Trust assets

Corporate trustee name

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Company QROPS (✓) Company QNUPS (✓)

Company name	<input type="text"/>								
Date of incorporation	<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		
Country of registration	<input type="text"/>								
Contact person	<input type="text"/>								
Registered office address (This information must be provided in full. We are unable to accept PO Box and 'care of' addresses.)	<input type="text"/>								
Correspondence address (If left blank we will use your residential address for correspondence)	<input type="text"/>								
Telephone number including area code (day time)	<input type="text"/>								
Email address	<input type="text"/>								
Company website address	<input type="text"/>								

C DETAILS OF THE LEAD POLICYHOLDER

LEAD POLICYHOLDER (MUST BE APPOINTED FOR AN ONLINE SERVICE ACCOUNT)

If allowed by the provisions of the trust deed and trust law and if permitted in the articles of association, an individual with appropriate authority to access and transact online on behalf of the company must be appointed as the Lead Policyholder and the company must agree to this appointment.

The company, appoint to act as the Lead Policyholder for the policies comprising our European Executive Investment Bond – PRIIPs 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 e-mail address. An e-mail address cannot be shared by users on Wealth Interactive.)

The declaration on page 16 sets out the role of the the Lead Policyholder.

D DETAILS OF THE LIFE ASSURED

Please complete this section.

	First life assured (Member)				Second life assured (if any)			
Title (✓)	Mr	Mrs	Miss		Mr	Mrs	Miss	
	Other	<input type="text"/>			Other	<input type="text"/>		
Full forename(s)	<input type="text"/>				<input type="text"/>			
Surname	<input type="text"/>				<input type="text"/>			
Previous name/ Maiden name or Alias	<input type="text"/>				<input type="text"/>			
Address	<input type="text"/>				<input type="text"/>			
Occupation (including role eg Director and sector eg 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)	<input type="text"/>				<input type="text"/>			
Tax identification number	<input type="text"/>				<input type="text"/>			
Gender (✓)	Male		Female		Male		Female	
Date of birth	d	d	m	m	y	y	y	y
Nationality	<input type="text"/>				<input type="text"/>			
Relationship to applicant	Member <input type="text"/>				<input type="text"/>			

E 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 trust/the company.

ACCOUNT NAME	CURRENCY	SORT CODE	SWIFT CODE	ACCOUNT NUMBER	IBAN NUMBER

Bank name

Bank address

Country

When did the trust/company open this account?

F INVESTMENT DETAILS

PREMIUM PAYMENT

The premium for the policy(ies) will be the amount shown reduced by the amount of any duty on documents or insurance premium tax payable.

If you pay your **additional** premium by a transfer of assets into our ownership then you will need sufficient cash to be included to cover any duty on documents or insurance premium tax that may be payable. The amount you include will be assumed to be gross of any duty on documents or insurance premium tax.

Please note that if some assets are not transferred into our ownership until after the policy date, then the amount will be treated as an additional premium and it will be reduced by any applicable duty on documents or insurance premium tax.

Currency (✓) ☐ € ☐ US\$ ☐ £ ☐ Other currency (State Currency)

Amount to be invested (anticipated total amount based upon estimated transfer value(s))

Payment method (✓)* ☐ Electronic bank transfer

* Payment instructions are available from Utmost PanEurope on request.

If you select an authorised custodian, asset transfers must be send directly to the authorised custodian. When sending electronic bank transfers you have two options. Please select one option: (✓)

Sending the payment to Utmost PanEurope who will forward this onto the authorised custodian.

Send payment directly to the authorised custodian

G INVESTMENT CHOICE

CHOOSING INVESTMENTS

Please use this section to list any stocks, shares and funds which, in addition to those funds listed on the 'asset transfer form' (if applicable), should form the investments of your portfolio fund in your policy.

Please indicate your investment choice, using whole percentages only. A minimum of €3,750/£2,500/\$3,750, or other currency equivalent, must be invested in any fund selected. You must maintain a holding in a deposit fund or a bank deposit in your chosen policy currency to meet portfolio fund charges or withdrawals. Utmost PanEurope does not provide investment advice and has no responsibility for the performance of your selection of investments. It is for you and your Fund Adviser to choose the investments most suitable for you.

For full details of investment restrictions, please refer to the Policy Terms. The list below shows examples of the types of investment we might accept/refuse.

Permitted Investments for the European Executive Investment Bond - PRIIPs

- › Utmost PanEurope internal funds (only available if you are adding to a Policy that was set up before 28 October 2014)
- › Collective investment schemes and UCITs
- › Bank deposits

Non-Permitted Investments for the European Executive Investment Bond - PRIIPs

- › Commodities
- › Any illiquid investments
- › Any assets that are difficult to value

Please note that most stocks and shares quoted on stock exchanges recognised by us are also permitted investments for the European Executive Investment Bond - PRIIPs.

ASSET CHOICE

FUND NUMBER OR SECURITY IDENTIFIER ISIN	SECURITY/FUND NAME - PLEASE ENTER NAMES IN FULL. (IF YOU ARE ADDING TO A POLICY THAT WAS SET UP BEFORE 28 OCTOBER 2014, YOU MAY INVEST IN UTMOST PANEUROPE INTERNAL FUNDS. IF YOU WISH TO INVEST IN THESE FUNDS PLEASE PREFIX THE FUND NAME WITH UTM IE AND COMPLETE OTHER DETAILS AS APPROPRIATE)	ACCUMULATION /INCOME UNIT REQUIREMENT (IF APPLICABLE)	SHARE CLASS (IF APPLICABLE, FOR EXAMPLE A, BORC)	BASE CURRENCY OF SECURITY/FUND (EG GBP, USD)	INVESTMENT % (WHOLE % NUMBERS ONLY)
					%
					%
					%
					%
					%
					%
					%
					%
					%
					%
					%
					%
					%
					%
					%
					%

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					%
					%
TOTAL					100%

If your investment instructions are illegible, unclear, relate to an asset which is not normally permitted or if a selected fund is not available, we will, in accordance with the Policy Terms hold the relevant amount in the transaction account awaiting your investment instruction. We are unable to backdate transactions resulting from any delay caused in clarifying your instructions.

CLARIFYING INVESTMENT INSTRUCTIONS

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

Contact name	<input type="text"/>		
Telephone number including area code (daytime)	<input type="text"/>	Telephone number including area code (evening)	<input type="text"/>
Fax number	<input type="text"/>	E-mail address	<input type="text"/>

H SOURCE OF FUNDS

ACTIVITY WHICH GENERATED AMOUNT TO BE INVESTED

Utmost PanEurope is required to record details of how the funds being invested have been accumulated.

Where your funds come from more than one source, you should complete all relevant sections to give us the full picture of its origin.

Documentary evidence requirements:

Please refer to our [Source of Wealth Guidelines](#) (for Ireland policies).

(✓) Description	Details required	Details
Transfer of pension	Pension providers name	<input type="text"/>
	Pension account number	<input type="text"/>
	Pension providers address	<input type="text"/>
		<input type="text"/>
		Postcode <input type="text"/>
	Pension value	Currency <input type="text"/> Amount <input type="text"/>
	Transfer date	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Transfer of pension	Pension providers name	<input type="text"/>

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	Pension account number	<input type="text"/>								
	Pension providers address	<input type="text"/> <input type="text"/> <input type="text" value="Postcode"/>								
	Pension value	Currency <input type="text"/> Amount <input type="text"/>								
	Transfer date	<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			
Transfer of pension	Pension providers name	<input type="text"/>								
	Pension account number	<input type="text"/>								
	Pension providers address	<input type="text"/> <input type="text"/> <input type="text" value="Postcode"/>								
	Pension value	Currency <input type="text"/> Amount <input type="text"/>								
	Transfer date	<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			
Transfer of pension	Pension providers name	<input type="text"/>								
	Pension account number	<input type="text"/>								
	Pension providers address	<input type="text"/> <input type="text"/> <input type="text" value="Postcode"/>								
	Pension value	Currency <input type="text"/> Amount <input type="text"/>								
	Transfer date	<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			
Transfer of pension	Pension providers name	<input type="text"/>								
	Pension account number	<input type="text"/>								
	Pension providers address	<input type="text"/> <input type="text"/> <input type="text" value="Postcode"/>								
	Pension value	Currency <input type="text"/> Amount <input type="text"/>								
	Transfer date	<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			
Transfer of pension	Pension providers name	<input type="text"/>								
	Pension account number	<input type="text"/>								
	Pension providers address	<input type="text"/> <input type="text"/> <input type="text" value="Postcode"/>								
	Pension value	Currency <input type="text"/> Amount <input type="text"/>								
	Transfer date	<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			
Other	Source of funds (if ticked Other)	<input type="text"/>								

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From which organisation
or whom
(state the relationship if
applicable)

Details
(including reasons where
applicable how the money
was acquired etc)

Total amount

Currency

Amount

Date received

d	d	m	m	y	y	y	y
---	---	---	---	---	---	---	---

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).

I NUMBER OF POLICIES

NUMBER OF POLICIES (NEW BONDS ONLY)

Please enter the number of policies you would like:

The number of policies cannot be changed after the Bond is set up.

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► We will issue 12 policy schedules per contract unless you request a different number of policies here.

J REGULAR WITHDRAWALS

Encashment to pay trust/QROPS/QNUPS/SIPP charges

OR

Encashment to make a payment to a beneficiary

Unless previously provided ID and proof of residence on the beneficial owner(s) will be required before such payments can be made

Please indicate the amount or percentage of investment to be withdrawn each year. Please note that the minimum amount for any regular withdrawal payment, regardless of frequency, is €750 (or other currency equivalent).

Amount (per annum)

OR Percentage (per annum)

 %

Please choose the frequency
of the withdrawal

Monthly

Every Two Months

Quarterly

Every Four Months

Half-yearly

Yearly

Date of first withdrawal

d	d	m	m	y	y	y	y
---	---	---	---	---	---	---	---

Currency (✓)

€

US\$

£

Other currency
(State Currency)

NOMINATED ASSET(S)

Please state which asset(s) listed in Section G is/are to be used as the Nominated Asset to pay regular withdrawals.

Please note that 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	<input type="text"/>	Name	<input type="text"/>	Percentage	<input type="text"/> %
ISIN	<input type="text"/>	Name	<input type="text"/>	Percentage	<input type="text"/> %
ISIN	<input type="text"/>	Name	<input type="text"/>	Percentage	<input type="text"/> %
ISIN	<input type="text"/>	Name	<input type="text"/>	Percentage	<input type="text"/> %
ISIN	<input type="text"/>	Name	<input type="text"/>	Percentage	<input type="text"/> %

This will only apply where you have not chosen an authorised custodian.

PAYEE DETAILS

We will pay withdrawals to Policyholders only. Please note that third party payments are not permitted.

Please select your preferred payment method:

Telegraphic Transfer

Please be advised that payments incur a bank transfer charge.

BACS direct credit

Only available for GBP payments paid to a UK, IOM or Channel Islands bank account.

This payment method takes three working days to reach the account, but doesn't incur a bank transfer charge.

If no payment method is selected we will default to Telegraphic Transfer, unless you have requested GBP regular withdrawals payments, in which case we will default to BACS where possible.

Do you want your withdrawals to be made to the same bank account detailed in section E 'Source of funds'?

Yes

No

If 'No' please complete your chosen bank details below.

Until further notice, we would like regular withdrawals to be made to:

Bank account holder (name as stated on bank account)	<input type="text"/>
Bank account number/IBAN	<input type="text"/>
Sort code (applicable to UK accounts)	<input type="text"/> - <input type="text"/> - <input type="text"/>
SWIFT or BIC code	<input type="text"/>

(SWIFT code needed for bank accounts outside Europe; BIC code needed for European accounts with an IBAN)

Bank name	<input type="text"/>
Bank address	<input type="text"/>
Country	<input type="text"/>

K FUND ADVISER

APPOINTING A FUND ADVISER TO YOUR UTMOST PANEUROPE PORTFOLIO BOND

Please tick as appropriate (✓)

We have not appointed a Fund Adviser and we will act on an 'execution only basis' (where we have requested the appointment of an Authorised Custodian in section A, we also include a complete 'letter of authority'); or

We wish to appoint a Fund Adviser and enclose a completed 'appointing a Fund Adviser to your Utmost PanEurope Portfolio Bond' form and, where the Fund Adviser is not directly linked to any Authorised Custodian we have requested to be appointed in section A, a 'letter of authority'.

L UTMOST PANEUROPE CHARGES

The charging structure for your bond is based upon the reference code provided on your 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 on-going commission payment (referred to as fund based commission) then this will be reflected in the deduction of an additional On-going Service Charge equivalent to the amount paid.

UTMOST PANEUROPE CHARGES

Please enter the reference code for your chosen charging structure:

(Your financial adviser will be able to provide you with this code)

--	--	--	--	--	--	--	--	--	--

Please enter allocation
percentage for this bond

 %

Please enter Ongoing Service Charge

 %

M DECLARATION AND APPLICATION

DATA PRIVACY STATEMENT

I understand that Utmost Services Limited, Utmost International Business Services Limited, Utmost Services Ireland Limited, Utmost Administration Limited, Utmost International Isle of Man Limited, Utmost International Trustee Solutions Limited and / or Utmost PanEurope dac (Utmost 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 Utmost International would apply.

I may ask Utmost 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 Utmost International processing my data but understand that this may have consequences in Utmost International being able to continue servicing my policy.

I have been made aware that a full explanation of how Utmost International collects, uses and shares my personal information can be found at www.utmostinternational.com/privacy-statements/

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

For Utmost PanEurope dac: The Data Protection Officer, Utmost PanEurope dac, Navan Business Park, Athlumney, Co Meath, C15 CCW8, Ireland.

Or email: dataprotection@utmost.ie

For Utmost International Isle of Man Limited or Utmost International Trustee Solutions Limited: The Data Protection Officer, Utmost International Isle of Man Limited, King Edward Bay House, King Edward Road, Onchan, Isle of Man, British Isles, IM99 1NU.

Or email: IOM.DPO@Utmostinternational.com

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

For Utmost PanEurope dac: The Ireland Data Protection Commissioner, Canal House, Station Road, Portllington, R32 AP23 Co. Laois, Ireland.

For Utmost International Isle of Man Limited or Utmost International Trustee Solutions Limited: The Isle of Man Information Commissioner, First Floor, Prospect Hill, Douglas, Isle of Man, British Isles, IM1 1ET.

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 Utmost International either in this application or within accompanying documentation.

IMPORTANT INFORMATION

Please read the following declaration carefully.

Any omission or misstatement of a material fact in this application could affect the payment of benefits under the policy. 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.

DECLARATION - BY EACH APPLICANT

In this declaration, any reference to We refers to either the Company QROPS, Company QNUPS, QROPS Trustee, QNUPS Trustee or SIPP Trustee indicated in section B of this form.

1. We confirm that we and the member have requested and received all pre-contractual documentation to be in the English Language. Where this is permitted within the laws of our habitual residence, we have requested that the law of the contract is Irish law unless we have specifically requested the law to be based on our country of habitual residence, the member has consented to this request. We confirm that we have received a copy of and had the opportunity of reading each of the following items, applicable to the contract we are applying for, before completing this application:
 - i. Bond Terms and Conditions
 - ii. Client brochure
 - iii. Illustration
 - iv. Where to find information about units and funds linked to your Utmost PanEurope Bond
 - v. Tax and other important information document
 - vi. if applicable, Key Information Document (KID) for the policy and Asset Key Information Document(s) (KIDs) and, where appropriate, the Asset Key Investor Information Documents (KIIDs). Furthermore, we agree that where we choose to change assets of the portfolio fund in future, we will ensure that we will obtain Asset Key Information Document(s) for those assets before they are purchased.
2. We understand that we have an Online Service Account and agree that:
 - a. Policy Transactions can be made by us using our Online Service Account where the Online Service allows, unless we have requested otherwise; and
 - b. communications from us can be through our Online Service Account where the Online Service Account allows, unless we have requested otherwise.
3. For the bond we have requested in section A, subject to the applicable Terms either:
 - a. If a bond number is not shown in section A of this form, we request that the amount shown in section F less any applicable duty on documents or insurance premium duty be invested as an initial premium for the bond we have chosen in section A, and request Utmost PanEurope to issue the bond in the name of the trust/company; or
 - b. We request that the amount shown in section F less any applicable duty on documents or insurance premium tax be invested as an additional premium for the bond currently in force bearing the bond number shown in section A of this form.
4. We declare to the best of our knowledge and belief the statements made in this application, and any related documents, are true and complete and that we have not concealed any material fact.
5. We confirm that where this is permitted within the laws of our country of habitual residence/country of registration, each life assured consents to this application and agrees to my acting on their behalf for the purpose of the information provided in this application, in particular to signing the application form on their behalf. Where this is not permitted within the laws of our habitual residence/country of registration, by signing the application, the life assured consents to this application.
6. We confirm that We are not resident or incorporated in Hong Kong, Singapore or the United States of America or any of its territories.
7. If We become resident or incorporated in the United States of America or any of its territories, Utmost PanEurope may not be able to accept any further premiums until after We cease to be resident or incorporated in the United States of America or its territories.
8. We confirm that the investment into the bond is within the investment powers available to the trustees under the trust.
9. We confirm that the company has not been and is not in the process of being dissolved, struck off, wound up or terminated.
10. We confirm that we are applying for a Utmost PanEurope bond as instructed by the member. We have received a copy of the Terms and Conditions relating to the chosen bond as indicated in section A and we have had the opportunity to read it when completing this application form.
11. We may wish to invest into professional/non-retail type investment schemes, and if so, we will make sure we have had an opportunity to read the offering documents for funds of this nature. Where we decide to invest in professional/non-retail investment schemes, We accept the levels of risk associated with these, including the risk that the investment into such a scheme could result in a loss of a significant proportion, or the entire sum invested. We also confirm that we are aware of the fees (if applicable) payable for the chosen investment(s) to be held in our bond. We understand that the fees exist partly to meet the promotion and distribution expenses of the product, including commission paid to a financial adviser and or Fund Adviser.

12. We understand that in cases where the asset(s) we have selected is not redeemable for a certain period of time, Utmost PanEurope may not be able to return that part of our payment until the end of that period. The description of the funds and/or assets we have chosen will give details if this applies. We may invest immediately into non-daily dealing funds with the understanding that in the event of cancellation or requiring early access that we:
- may not get our money back immediately and payment may be delayed for some time;
 - the institution may impose penalties and therefore we may get back less than we invested, and/or
 - the only way in which to receive value may be through an in-specie transfer of that asset into the name of the trust/company.
13. Where we have requested the appointment of an authorised custodian we confirm that:
- We have read the description of the selected custodian facility in the relevant Bond Terms.
 - We have read and understand any relevant documents provided by the requested authorised custodian for the opening of the account.
 - We understand and agree that Utmost PanEurope bears no legal or other responsibility if at any time the authorised custodian:
 - fails to meet any of its obligations; and/or
 - acts in a fraudulent, incompetent or negligent manner; and/or
 - enters into liquidation and/or receivership or enters into a voluntary arrangement with its creditors and/or is unable to pay its debts.
 - By making this request to Utmost PanEurope we understand that we shall not be entitled to make any claim against Utmost PanEurope relating to the custody of the investments of our portfolio fund irrespective of any express or implied obligation that exists in the Bond Terms.
 - We understand that any authorised custodian charges will be paid from the portfolio fund.
 - We agree that Utmost PanEurope can release our personal data to the authorised custodian should it be required to do so by the authorised custodian to enable it to comply with local laws or anti-money laundering practices.
14. We are aware of the charges payable on the Bond, including the charges payable in respect of the investments which may be held within it. We understand the charges exist partly to meet advice, promotion and distribution expenses. These may include initial and ongoing payments (such as commission) made by Utmost PanEurope to your financial adviser. These payments could be in addition to any commission payable by the investment provider to your financial adviser in respect of the investments held. Further details of the charges payable by you and the amounts payable to your financial adviser are available from your financial adviser on request.
15. We appoint the financial adviser specified in section P of our application form to act on our behalf in accordance with the Bond Terms and Conditions.

Appointment of a Lead Policyholder

- We agree to the appointment of the Lead Policyholder, who is named in this application, for the policies comprising our Utmost PanEurope European Executive Investment Bond - PRIIPs in accordance with the Policy Terms.
- We understand that this appointment is revocable and can be changed at any time (as explained in the Policy Terms).
- We understand that by agreeing to the appointment of the Lead Policyholder we authorise the Lead Policyholder to provide Utmost PanEurope 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.
- We confirm that the company has authority to delegate all decisions on behalf of the company to the Lead Policyholder.
- We understand that these instructions will be legally binding and that Utmost PanEurope can act on instructions received from the Lead Policyholder.

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

This application must be completed by the applicants 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

QROPS / QNUPS applications will default to Irish Law unless we specify country of habitual residence / country of registration of the QROPS / QNUPS applicant here*

SIPP applications will default to English & Welsh Law (this cannot be changed)

** Please note Utmost PanEurope may reject your application if they are unable to offer a contract subject to your country of habitual residence/country of registration.*

EUROPEAN EXECUTIVE INVESTMENT BOND
APPLICATION FORM - NEW BUSINESS AND TOP-UP

By signing this declaration you confirm that you have read through the declaration in section N and, if a third party has completed the application form on your behalf, that all the information provided in it is correct.

The QROPS/QNUPS/SIPP Trustees/Company QROPS/Company QNUPS as indicated in section B

SIGNATURE

	<input type="text"/>	<input type="text"/>
Date	<input type="text" value="d"/> <input type="text" value="d"/> <input type="text" value="m"/> <input type="text" value="m"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/>	<input type="text" value="d"/> <input type="text" value="d"/> <input type="text" value="m"/> <input type="text" value="m"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/>
Name	<input type="text"/>	<input type="text"/>
Capacity	<input type="text"/>	<input type="text"/>

Where the laws of habitual residence/country of registration do not allow the Applicant to sign the application form on behalf of the Life Assured, by signing the application, the Life Assured consents to this application. The Life Assured is required to sign in all territories from which Utmost PanEurope currently accepts QROPS/QNUPS/SIPP business and failure to do so will delay the processing of the application.

SIGNATURE

	<input type="text"/>	<input type="text"/>
Date	<input type="text" value="d"/> <input type="text" value="d"/> <input type="text" value="m"/> <input type="text" value="m"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/>	<input type="text" value="d"/> <input type="text" value="d"/> <input type="text" value="m"/> <input type="text" value="m"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/>

Copies of the Policy Terms and Conditions and/or this completed application form are available from Utmost PanEurope on request.

A copy of the Policy Terms and Conditions for your application are contained on the Utmost International website. Links to these Policy Terms and Conditions can be found here www.utmostinternational.com.

N VERIFICATION OF CUSTOMER IDENTITY

QROPS/QNUPS/SIPP Trustees/Company QROPS/Company QNUPS indicated in section B have already provided appropriate verification of customer identity within the last 36 months, otherwise they will need to complete the 'know your client' form. Please note that certified photographic evidence of identification and address verification will also be required on the beneficiary before payment of benefits are made. This can be provided at outset or before payment of benefits are made.

O FINANCIAL ADVISER DECLARATION

This section must be completed in all instances.

DECLARATION BY THE FINANCIAL ADVISER/SUITABLE CERTIFIER

PART 1 - WHO HAS MET THE CLIENT

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

I have not met my client(s) face-to-face

PART 2 - HOW HAS THE CUSTOMER DUE DILIGENCE (CDD) BEEN OBTAINED

Please confirm which items of CDD have been provided and how they were obtained by ticking the relevant boxes:

Please note 'Obtained via a third party who has met the client face to face' also includes via live video stream.

	OBTAINED BY THE ADVISER DIRECTLY FROM THE CLIENT	OBTAINED VIA A THIRD PARTY WHO HAS MET THE CLIENT FACE TO FACE	PROVIDED DIRECT TO UTMOST INT. BY THE CLIENT
Valid identity document(s)			
Valid proof of residential address			
Source of funds			
Source of wealth documents/ information			

Where certification is required, please ensure the following is carried out 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

PART 3 - THIRD PARTY DETAILS

If you have confirmed in either Part 1 that you have not met your client face to face or in Part 2 that CDD has been obtained via a third party who has met the client face to face, please provide the following details:

	THIRD PARTY DETAILS 1	THIRD PARTY DETAILS 2
Name of individual(s) that obtained the CDD or met the client face to face		
Date of Birth		
Residential Address		
Registered Company Name		
Registered Company Address		

Where there is more than two third parties involved in obtaining CDD, please contact your Utmost International Sales Consultant for further guidance.

PART 4 - FINANCIAL ADVISER DECLARATION

I declare that:

- › I have taken reasonable steps to ensure that the funding is legitimate and in line with the client's circumstances.
- › To the best of my knowledge, all the information provided with this form and application is true and complete and that I will provide further information if required.
- › 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 that they are true copies of the original.

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 Utmost International upon request.

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

on

d	d	m	m	y	y	y	y
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Regulatory body authorisation number (if applicable)

Regulator name

Utmost International financial adviser account number

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SIGNATURE

Financial Adviser

Date

d	d	m	m	y	y	y	y
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Full name

Stamp