

CUSTOMER INFORMATION FORM

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.

- › We require the data below to be confirmed for each bond-holder and associated party* to update our records. All references to Utmost International refer to both Utmost International Isle of Man and Utmost PanEurope dac.
- * For corporate investors, this means the authorised signatories who have signed the Withdrawal/Closure form or Assignment deed and include Directors / Shareholders with more than 25% shareholding.
- * For trust investors, this means each trustee, settlor, protector and beneficiary (where payment is being made to a beneficiary or his/her estate).
- › **This is in addition to any other requirements relating to our products.**

NOTE

- › Please tick/complete this form using BLOCK CAPITALS and blue or black ink.
- › All fields must be completed; state N/A if not applicable.
- › Without this information, any instructions relating to the investment will be delayed.
- › Please use copies of this page to provide the information for all parties associated with the investment.

Bond Number

Role of the party whose data is provided below:

Bond-holder	Authorised Signatory	Trustee	Settlor	Protector
Attorney	Director	Shareholder (with more than a 25% share)	Beneficiary	

Full name

Have you ever been known by any different names? No Yes - give details below

Other names

► this applies to **both men and women** (for the latter, please include your maiden name, if applicable)

Permanent UK residential address
 Postcode

Correspondence address
 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)

Contact phone number

Salary

E-mail

TAXATION INFORMATION

Under Automatic Exchange of Information (AEOI) regulations Utmost 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 relevant tax information form: The individual form is at the end of this form for completion but should you require the corporate and trustee investor or the individual trustee form, please see the links below to the relevant forms and please submit this along with this form.

› **Tax declaration and self-certification for Entity investors (for corporate and trustee investors)**

› **Tax declaration and self-certification for Trusts (where the trustees are all individuals)**

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 International promptly so we can determine if a new self-certification is required.

A 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)

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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 2 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)

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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	<input type="text"/>	
Capacity	<input type="text"/>	
Type of document	Passport	National identity card
Document reference	<input type="text"/>	

2. Name	<input type="text"/>	
Capacity	<input type="text"/>	
Type of document	Passport	National identity card
Document reference	<input type="text"/>	

3. Name	<input type="text"/>	
Capacity	<input type="text"/>	
Type of document	Passport	National identity card
Document reference	<input type="text"/>	

4. Name	<input type="text"/>	
Capacity	<input type="text"/>	
Type of document	Passport	National identity card
Document reference	<input type="text"/>	

PART A - REASON WHY DOCUMENTS ARE NOT PROVIDED (IF APPLICABLE)

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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

B DECLARATION (TICK AS APPLICABLE)

I, as the appointed financial adviser, declare that the details provided are accurate according to our records or as confirmed by the named person.

I am the person named above and declare that the details provided are accurate.

Please return the completed form by email to: IOMservicing@utmostinternational.com

SIGNATURE

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Full name

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www.utmostinternational.com

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

Utmost International Isle of Man Limited is registered in the Isle of Man under number 024916C.

Registered Office: King Edward Bay House, King Edward Road, Onchan, Isle of Man, IM99 1NU, British Isles.

Tel: +44 (0)1624 655 555 Fax: +44 (0)1624 611 715. Licensed by the Isle of Man Financial Services Authority.

Utmost Wealth Solutions is registered in the Isle of Man as a business name of Utmost International Isle of Man Limited.

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)1475 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.

UWSQ PR 25217 | 01/24

TAX DECLARATION AND SELF- CERTIFICATION

FOR INDIVIDUAL INVESTORS

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.

Introduction

Under Automatic Exchange of Information (AEOI) regulations we are required to obtain certain information from our investors, including where they were born, their nationalities, countries of tax residence*, related tax identification numbers** and their 'self-certification' that the information they provide is true and complete. We may have to provide this information to our domestic tax authority who may share it with overseas tax authorities.

*Country of tax residence

Normally you are resident for taxation in the country in which you spend the majority of your time each year. However, some countries (e.g., the United States) may also treat an individual as resident for taxation based on their nationality or citizenship. Because tax residence is determined by the country in which tax is paid, it is possible to be tax resident in more than one country.

**Tax Identification Number (TIN)

TIN stands for 'Tax Identification Number' and is a country specific unique number issued to an individual or entity for tax administration purposes. A detailed explanation of country specific TINs is provided by the Organisation for Economic Co-operation and Development's (OECD) on its website <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>.

Change of circumstances

The information in this form and your self-certification will remain valid unless there is a change of circumstance which affects that information. If we receive information which suggests your country of tax residence has changed, we may ask you to complete another self-certification. You must notify us if there is a change in circumstance that makes this form incorrect or incomplete.

Please tick/complete this form, as applicable, using BLOCK CAPITALS and blue or black ink.

NOTES

- › For help to work out where you are tax resident, or if you are unsure about your TIN, please consult your financial adviser or refer to the information at www.oecd.org/tax/automatic-exchange.
- › If you are unsure what information to include, please consult your financial adviser.
- › Your financial adviser will also be able to confirm that this is the most up-to-date version of this form.
- › References to investor means an account/bond/plan/policy holder with a regulated Utmost International company, details of which are shown in the relevant company's legal information at the end of this form.
- › If there are more than two investors, please provide the additional investor's information on a separate form.

1 YOUR DETAILS

Account/bond/plan/policy number
(if known)

Financial adviser

SOLE OR FIRST ACCOUNT HOLDER

Full name

Residential address

PostcodeCountry

Date address is valid from

d

d

m

m

y

y

y

y

If your residential address has changed in the last two years, please provide your previous address

Previous residential address
(if applicable)

PostcodeCountry

Correspondence address

PostcodeCountry

Date of birth

d

d

m

m

y

y

y

y

Town/City of birth

Country of birth

Contact number

E-mail address

NATIONALITY(IES)	COUNTRY(IES) OF TAX RESIDENCE	TAX IDENTIFICATION NUMBER(S) (TIN)	IF NO TIN, PLEASE STATE REASON(S)

If you are unable to provide a TIN, please insert 'not applicable' in the relevant TIN box with a reason for not providing the TIN in the box to the right. If you need to photocopy this page to provide further details, please ensure all additional pages are initialed by all account holders

US CITIZENSHIP OR TAX RESIDENCE

We will presume that you are not a US citizen or resident in the US for tax purposes and as such, please leave this question blank. However, if this is not the case please tick either a) or b) below, as applicable:

- a. I confirm that I am a US citizen and/or resident in the US for tax purposes (green card holder or resident under the substantial presence test) and my US federal taxpayer identifying number (US TIN) is shown above.
- b. I confirm that I was born in the US (or a US territory) but I am no longer a US citizen.***
- ***If you choose option b, you must provide your US loss of nationality certificate.

JOINT ACCOUNT HOLDER (IF APPLICABLE)

Full name	<input type="text"/>										
Residential address	<input type="text"/>										
	<input type="text"/>										
	<input type="text"/>	<input type="text"/>									
	Postcode	Country									
Date address is valid from	<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				
If your residential address has changed in the last two years, please provide your previous address											
Previous residential address (if applicable)	<input type="text"/>										
	<input type="text"/>										
	<input type="text"/>	<input type="text"/>									
	Postcode	Country									
Correspondence address	<input type="text"/>										
	<input type="text"/>										
	<input type="text"/>	<input type="text"/>									
	Postcode	Country									
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
d	d	m	m	y	y	y	y				
Town/City of birth	<input type="text"/>	Country of birth	<input type="text"/>								
Contact number	<input type="text"/>										
E-mail address	<input type="text"/>										

NATIONALITY(IES)	COUNTRY(IES) OF TAX RESIDENCE	TAX IDENTIFICATION NUMBER(S) (TIN)	IF NO TIN, PLEASE STATE REASON(S)

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- b.

I confirm that I was born in the US (or a US territory) but I am no longer a US citizen.***
- ***If you choose option b, you must provide your US loss of nationality certificate.

2 DECLARATION AND SIGNATURE(S)

This declaration is made by each investor whose details are shown in section 1.

1.

I understand that for regulatory purposes, Utmost International is required to obtain information concerning my taxation status.
2.

I declare that:

a.

I am resident for taxation in the country(ies) shown in section 1 of this form and I am not resident for taxation elsewhere.

b.

I am a national of the country(ies) shown in section 1 of this form and I am not a national or a citizen of any other country.

c.

I will inform Utmost International of any changes in circumstances which affect my tax residency status and that of any other individuals detailed in this form, or which causes the information to become incorrect, and to provide Utmost International with a suitably updated self-certification and declaration in the event of such a change of circumstances.
3.

I understand that:

a.

Utmost International may need to contact me for further details regarding tax information.

b.

Utmost International may be required by law to transfer information provided by me to relevant tax authorities under automatic exchange of tax information regulations.

c.

If the details provided differ to the ones held on file, Utmost International will use this form to update our records.
4.

I declare that the information in this form and the statements made in this declaration are correct and complete, to the best of my knowledge and belief.

SIGNATURE(S) (All investors named in section 1 must sign below)

Date

Investor 1

d

d

m

m

y

y

y

y

Investor 2

d

d

m

m

y

y

y

y

4 | 5

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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.

Utmost International Trustee Solutions Limited is registered in the Isle of Man under number 095926C.

Registered Office: PO Box 142, King Edward Bay House, King Edward Road, Onchan, Isle of Man, IM99 3DJ, British Isles.

Tel: +44 (0) 1624 655 456 Fax: +44 (0) 1624 655 930. Licensed by the Isle of Man Financial Services Authority.

Utmost Trustee Solutions is registered in the Isle of Man as a business name of Utmost International Trustee Solutions Limited.

Utmost International Middle East Limited, registered in the Dubai International Financial Centre under number 3249.

Office 14-36, Level 14, Central Park Towers, Dubai International Financial Centre, PO Box 482062, Dubai, United Arab Emirates.

Utmost International Middle East Limited is authorised and regulated by the Dubai Financial Services Authority.

Utmost Wealth Solutions is the registered business name of Utmost International Isle of Man Limited Singapore Branch.

Utmost International Isle of Man Limited Singapore Branch, 6 Battery Road #16-02, Singapore 049909.

Tel: +65 6216 7990 Fax: +65 6216 7999.

Registered in Singapore Number T08FC7158E. Authorised by the Monetary Authority of Singapore to conduct life assurance business in Singapore.

Member of the Life Insurance Association of Singapore. Member of the Singapore Finance Dispute Resolution Scheme.

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