SUPPLEMENTARY FORM FOR THE APPOINTMENT OF A NEW CUSTODIAN

utmost
WEALTH SOLUTIONS

INTERNATIONAL INVESTMENT SOLUTIONS

This form should be completed together with our Investment Services Appointment Form, or any subsequent form that we may use for this purpose.

BEFORE YOU BEGIN

You should use this form if you wish to change the current custodian on an existing bond.

This form can be completed for the following products:

› Wealth Management Portfolio

› Private Client Portfolio

› Wealth Planning Account; or

› Investment Portfolio (Portfolio phase).

HOW WE USE YOUR INFORMATION

Our Privacy Statement explains when and why we collect personal information about our customers, how we use it, the conditions under which we may share it with others and how we keep it secure. It also explains how long we keep customer information for, how a customer can obtain details of the information we keep and the choices customers have about how we use that information. You can find a copy at **www.utmostwealth.com/privacy-statement** or you can request a copy from our Client Relations Team.

A WEALTH *of* DIFFERENCE

UIC PR 0118/01.11.2019

By providing us with any information originating from a third party, you confirm that you have taken and completed these steps.

Please complete all relevant sections of this form by typing in the fields. Once complete, please print and sign using a pen. Alternatively, print and complete this form in **BLOCK CAPITALS** using **blue or black ink**.

WHAT TO DO NEXT

When completed, post this form, together with the **Investment Services Appointment Form** to:
Utmost PanEurope dac, Ashford House, Tara Street, Dublin 2, D02 VX67, Ireland.

Alternatively, you can scan and email the completed form to WM@utmost.ie.

A POLICYHOLDER DETAILS

1 Policy number

2 Name(s) of policyholder(s)

3 Telephone number (Including international dialling codes)

4 Email address

We will only use the details you provide in this section to contact you about your bond.

B TRANSFER DETAILS

Your request to transfer custody will be carried out on a cash transfer basis. This means that your current assets will be sold and the proceeds transferred to your new custodian. We are not responsible for late settlement by external fund managers. We will only transfer cash once we have received settlement of ALL funds and dividends.

We will not accept an in-specie instruction where there are liquid assets. If you are transferring from Utmost PanEurope dac to a new third-party custodian, you will need to sell your funds by completing our **Open Architecture Dealing Instruction form**.

The only time we will facilitate an in-specie transfer of asset is under the following circumstances:

› Where there is an asset that is illiquid and cannot be sold

› Where we are not party to the in-specie instruction i.e. between two third party custodians.

As the transfer process is reliant on third parties, Utmost PanEurope dac has no control over the time it takes the transfer to complete.

C CUSTODIAN INFORMATION

Give details of the new custodian to be appointed to your bond.

If you are appointing our usual custodian (Citibank N.A. or another custodian we appoint in the future) as the new custodian, state 'Utmost PanEurope dac' in the box below.

New custodian name

Custodian's current Financial Conduct Authority reference number

D WEALTH MANAGEMENT PORTFOLIO/WEALTH PLANNING ACCOUNT OPTIONS

You should only complete this section if the new custodian is not our usual custodian and you have one of the following products:

› Wealth Management Portfolio; or

› Wealth Planning Account.

D1 – CASH ACCOUNT OPTIONS

Where the custodianship of one of the above product types is being transferred, you can choose for us to keep 5% or 2% of the bond value in a portfolio cash account. We will then deduct any charges and withdrawals from this account. Alternatively, you can choose to transfer the full amount to the new custodian, named in section C.

Depending on the option you choose, and how your bond is set up, the portfolio charge may change, as detailed below.

Select one of the following options:

☐ a) 5% of the bond value to be held by us in a portfolio cash account. There will be no increase in your portfolio charge under this option.

OR

☐ b) 2% of the bond value to be held by us in a portfolio cash account. There may be an increase of up to 0.06% per year to your portfolio charge.

OR

☐ c) All monies to be transferred to the new custodian named in section C. There may be an increase of up to 0.1% per year to your portfolio charge. (This option is not available for dual custody – see section D2).

D2 – DUAL CUSTODY

You should only complete this section if you wish for custody of the assets of the bond to be split between our usual custodian and a third party custodian. You must select either option (a) or option (b) in section D1.

You can instruct us to add another custodian to your Wealth Management Portfolio or Wealth Planning Account. Our usual custodian must retain custody of some of the investments which your Investment Adviser will confirm. The remaining investments/cash will be transferred to the custodian named in section C.

D2.1 – FOR CASH TRANSFERS ONLY

If you want us to only transfer a specific amount to the custodian named in section C please specify the amount below.

Cash amount to be transferred:

____

You should ensure that sufficient cash remains with us, in line with the cash account option you have chosen in section D1. If there are insufficient funds in the cash account to cover this request, your Investment Adviser must complete an **Open Architecture Dealing Instruction Form**.

D2.2 – FOR IN-SPECIE OF SUSPENDED ASSETS ONLY (See section B)

Specify in the table below the SEDOL number and the name of all illiquid investments that are to be transferred to the other custodian:

Investment name (please give full investment name)	**SEDOL number**

If you need more space for investments, use a separate sheet of paper. It should include the full investment name and its SEDOL number, in the same format as above. This should be initialled and dated.

The Investment Adviser named on the Investment Services Appointment Form is the only party that can instruct dealing instructions on all assets on the bond. For the avoidance of doubt that means all assets held with both custodians on the bond.

E TRANSFER FEE

A charge is payable to us for use of this service, up to a maximum of £1,500. For further details, call our Client Relations team on 0845 602 9281 or go online at **www.utmostwealth.com/former-athora**.

F DECLARATION

› **I/We understand** you are acting as a Data Controller for the purposes of the European General Data Protection Regulation and Irish data protection law.

› **I/We, by providing you with any personal information from a third party, confirm** that we have taken and completed the required steps, as outlined in Utmost PanEurope dac's Privacy Statement.

› **I/We understand** you collect personal information in order to verify identity and provide ongoing administration.

	Policyholder 1	Policyholder 2	
SIGNATURE			SIGNATURE
Print full name			
Date	d d m m y y y y	d d m m y y y y	

	Policyholder 3	Policyholder 4	
SIGNATURE			SIGNATURE
Print full name			
Date	d d m m y y y y	d d m m y y y y	