

ASSIGNMENT OF POLICIES



For assigning policies to individuals only

Complete this form using **black or blue ink** and **BLOCK CAPITALS**. If you make a mistake, cross it out, put in the correct words and sign your initials next to the correction. **Do not use correction fluid.**

Ensure that all sections are fully completed. Words in the singular shall include the plural and vice versa.

WHAT TO DO WHEN YOU'VE COMPLETED THIS FORM

Once complete, return this form and any supporting documents to:

Utmost PanEurope dac, Ashford House, Tara Street, Dublin 2, D02 VX67, Ireland.

CHECKLIST

We want to process your assignment as quickly as possible. To help us do this, remember that on completion of this form we will need the following:

- › All identity and address verification along with any additional information or documentation attached securely to the back of the form.
- › This form completed and signed by all policyholders as the assignors and all assignees.

A WEALTH *of* DIFFERENCE

www.utmostinternational.com

Utmost PanEurope dac (registered number 311420) is regulated by the Central Bank of Ireland.

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.

ALE PR 0017 | 02/25

IMPORTANT NOTES

This form is for assigning policies to individuals only.

The change of ownership to the assignee will not be noted on the policy until the assignment has been received, accepted by Utmost PanEurope dac and the identity of the assignee has been verified in accordance with Anti-Money Laundering standards. In addition, a change in ownership is deemed a 'trigger event' under Anti-Money Laundering regulations and we must bring any previous verification of identity up to current standards for all parties associated with the contract. As such, you may also be required to provide identity and address verification for the assignors. You can obtain details of the documentary evidence needed to verify identity and address from our website www.utmostinternational.com or contact our Customer Support team on **+44 (0) 203 038 3941**.

If you are assigning from a trust, you should ensure that the assignment is allowable under the trust deed.

This assignment of policy results in a change of ownership. It may also affect the personal taxation of the parties involved. You should speak to your professional advisers before completing this form to ensure that it meets your requirements.


The validity of any assignment made using this form shall be construed according to and governed by the laws of England and Wales.


Refer to the Policy Schedule for the number of segments within the bond. No responsibility is accepted by Utmost PanEurope dac for any consequences arising from the assignment of individual policy segments within a bond.


Ensure that you specify which segments you are assigning, especially if you are not assigning all policy segments within the bond.

A POLICY DETAILS

| | |
|---|----------------------|
| Policy Number | <input type="text"/> |
| Policy segments to be assigned | <input type="text"/> |
| Purpose of assignment e.g. gift/sale | <input type="text"/> |
| Relationship between Assignor and Assignee | <input type="text"/> |
| If this assignment is a sale, advise amount of consideration GBP/USD/ EUR* | <input type="text"/> |

For example, policy segments 1 to 10. 

For example, this may be a gift to a family member or sale to another party (e.g. for consideration of money or money's worth). 

* as appropriate. 

If the assignment arises from a sale (for money or money's worth), Utmost PanEurope dac will require additional information regarding the assignee, including how the money being used for the purchase has been accumulated. Utmost PanEurope dac will ask for documentary evidence regarding source of wealth and may request additional information in order to satisfy Utmost PanEurope dac's regulatory obligations.

B POLITICALLY EXPOSED PERSONS

Under current Anti-Money Laundering obligations Utmost PanEurope dac are required to identify any persons associated with this assignment who could be classed as a Politically Exposed Person (PEP). A PEP is a term used to describe someone who is currently, or has previously been, entrusted with prominent public functions or responsibilities, for example: a head of state, a holder of a senior political or government post, a senior member of the judiciary or the military, a senior employee of a state owned corporation, or a board member of a central bank.

Provide details in the box below of any persons that could be considered to be a PEP (as defined above) in relation to this assignment, non-completion confirms that there are no associated politically exposed persons:

C1 ASSIGNOR'S DETAILS

| | Assignor 1 | | Assignor 2 | |
|---|---|---|----------------------|---------|
| 1 Title (Mr, Mrs, Miss or Other) | <input type="text"/> | | <input type="text"/> | |
| 2 Surname | <input type="text"/> | | <input type="text"/> | |
| 3 Forename(s) | <input type="text"/> | | <input type="text"/> | |
| 4 Do you have a maiden name, a previous name or alias? If "Yes", provide the other name(s) | Yes | No | Yes | No |
| | <input type="text"/> | | <input type="text"/> | |
| 5 Gender | Male | Female | Male | Female |
| 6 Address | <input type="text"/> | | <input type="text"/> | |
| | <input type="text"/> | | <input type="text"/> | |
| | <input type="text"/> | | <input type="text"/> | |
| | Postcode | Country | Postcode | Country |
| 7 Correspondence address (if different to above) | <input type="text"/> | | <input type="text"/> | |
| | <input type="text"/> | | <input type="text"/> | |
| | <input type="text"/> | | <input type="text"/> | |
| | Postcode | Country | Postcode | Country |
| 8 Email | <input type="text"/> | | <input type="text"/> | |
| 9 Telephone number | <input type="text"/> | | <input type="text"/> | |
| 10 Date of birth | <input type="text"/> d <input type="text"/> d <input type="text"/> m <input type="text"/> m <input type="text"/> y <input type="text"/> y <input type="text"/> y <input type="text"/> y | <input type="text"/> d <input type="text"/> d <input type="text"/> m <input type="text"/> m <input type="text"/> y <input type="text"/> y <input type="text"/> y <input type="text"/> y | | |
| 11 Place of birth | <input type="text"/> | | <input type="text"/> | |
| 12 Country of residence | <input type="text"/> | | <input type="text"/> | |
| 13 Tax identification number | <input type="text"/> | | <input type="text"/> | |
| 14 Please list all nationalities/citizenships held. | <input type="text"/> | | <input type="text"/> | |
| 15 Marital status | <input type="text"/> | | <input type="text"/> | |
| 16 Is the assignor a US citizen or US resident for tax purposes? If yes, please provide US Tax Identification number | Yes | No | Yes | No |
| | <input type="text"/> | | <input type="text"/> | |

Assignor - is the person making the assignment of the policies. If there are more than two Assignors, photocopy this page, complete the relevant details and attach it securely to the form.



Only complete question 17 or 18 below if you were either born in the US or you are a US citizen and/or resident in the US for tax purposes.

17 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 in question 16 above.

18 I confirm that I was born in the US (or a US territory) but I am no longer a US citizen.

We will presume that you are not resident in the US for tax purposes if question 17 and 18 is left blank unless there is indicia which contradicts this.

If you have ticked question 18 you must provide your US loss of nationality certificate.

The Assignor hereby assigns the Policy of assurance detailed in section A to the Assignee(s) as detailed in section C2.

The assignor confirms and declares that all information that the assignor have provided to Umot PanEurope dac is accurate and correct to the best of the assignor's knowledge;

The assignor agrees to inform Umot PanEurope dac immediately should any information within this form change, and understand that at the assignor is obliged to do so.

The assignor acknowledges that Umot PanEurope dac may disclose my personal data to relevant tax authorities as a consequence of its legal obligations.

| | Assignor 1 | Assignor 2 |
|---|--|--|
| Signed as a deed by Assignor | <input type="text"/> | <input type="text"/> |
| Date | <input type="text" value="d d m m y y y y"/> | <input type="text" value="d d m m y y y y"/> |
| In the presence of (full name of witness) | <input type="text"/> | <input type="text"/> |
| Witness SIGNATURE | <input type="text"/> | <input type="text"/> |
| Date | <input type="text" value="d d m m y y y y"/> | <input type="text" value="d d m m y y y y"/> |
| Witness address | <input type="text"/> <input type="text"/> <input type="text"/> | <input type="text"/> <input type="text"/> <input type="text"/> |
| | Postcode <input type="text"/> Country <input type="text"/> | Postcode <input type="text"/> Country <input type="text"/> |
| Occupation of witness | <input type="text"/> | <input type="text"/> |

SIGNATURE

The witness must be independent, not next of kin or linked to the bond.

SIGNATURE

C2 ASSIGNEE'S DETAILS

| | Assignee 1 | | Assignee 2 | |
|---|----------------------|---------|----------------------|---------|
| 1 Title (Mr, Mrs, Miss or Other) | <input type="text"/> | | <input type="text"/> | |
| 2 Surname | <input type="text"/> | | <input type="text"/> | |
| 3 Forename(s) | <input type="text"/> | | <input type="text"/> | |
| 4 Do you have a maiden name, a previous name or alias? If "Yes", provide the other name(s) | Yes | No | Yes | No |
| | <input type="text"/> | | <input type="text"/> | |
| 5 Gender | Male | Female | Male | Female |
| 6 Address | <input type="text"/> | | <input type="text"/> | |
| | <input type="text"/> | | <input type="text"/> | |
| | <input type="text"/> | | <input type="text"/> | |
| | Postcode | Country | Postcode | Country |
| 7 Correspondence address (if different to above) | <input type="text"/> | | <input type="text"/> | |
| | <input type="text"/> | | <input type="text"/> | |
| | <input type="text"/> | | <input type="text"/> | |
| | Postcode | Country | Postcode | Country |
| 8 Email | <input type="text"/> | | <input type="text"/> | |
| 9 Telephone number | <input type="text"/> | | <input type="text"/> | |
| 10 Date of birth | d d m m y y y y | | d d m m y y y y | |
| 11 Place of birth | <input type="text"/> | | <input type="text"/> | |
| 12 Country of residence | <input type="text"/> | | <input type="text"/> | |
| 13 Tax identification number | <input type="text"/> | | <input type="text"/> | |
| 14 Please list all nationalities/citizenships held. | <input type="text"/> | | <input type="text"/> | |
| 15 Marital status | <input type="text"/> | | <input type="text"/> | |
| 16 Is the assignee a US citizen or US resident for tax purposes? If yes, please provide US Tax Identification number | Yes | No | Yes | No |
| | <input type="text"/> | | <input type="text"/> | |

Assignee - is the person who is receiving the policies. Note, if only some of the persons are to be changed on a policy then some policyholders may need to sign as both Assignor and Assignee. For example, client A and client B wish to assign a policy to client B and a new client C. Here, client B needs to sign as both Assignor and Assignee. If there are more than two assignees, photocopy this page, complete the relevant details and attach it securely to this form.

If you can't provide a tax reference for all countries in which you are tax resident (such as a National Insurance number for UK residents, or Tax Identification Number for US residents) in the section below then you will need to complete a separate declaration from our Tax Information Exchange Pack, which we can provide on request.

The assignee agrees to inform Utmost PanEurope dac immediately should any information within this form change, and understand that the assignee is obliged to do so.

The assignee accepts that:

- › The selection of investments is the assignee’s responsibility, or, where appropriate, that of the assignee’s investment adviser or any appointed external manager and/or custodian.
- › Utmost PanEurope dac has no legal responsibility in respect of future performance of such linked assets.

The assignee agrees that a copy of the assignee’s agreement given in this Declaration will have the validity of the original. The assignee understands that any financial adviser appointed by the assignee in relation to the Policy is acting as the assignee’s agent and not an agent of Utmost PanEurope dac.

The assignee confirms and declares that the assignee is habitually tax resident in the jurisdiction entered in Section C2 of this Assignment of Policies Form.

The assignee agrees and acknowledges that subject to the acceptance of this Assignment by Utmost PanEurope dac, the Policy is subject to the existing Policy Conditions as amended from time to time together with any relevant declaration or consents given by any previous Policyholder(s) to Utmost PanEurope dac.

| | Assignee 1 | Assignee 2 | |
|---|--|--|---|
| Signed as a deed by Assignee | <div style="border: 1px solid black; height: 50px;"></div> | <div style="border: 1px solid black; height: 50px;"></div> | SIGNATURE |
| Date | <div style="border: 1px solid black; padding: 2px;">d d m m y y y y</div> | <div style="border: 1px solid black; padding: 2px;">d d m m y y y y</div> | |
| In the presence of (full name of witness) | <div style="border: 1px solid black; height: 40px;"></div> | <div style="border: 1px solid black; height: 40px;"></div> | The witness must be independent, not next of kin or linked to the bond. |
| Witness SIGNATURE | <div style="border: 1px solid black; height: 50px;"></div> | <div style="border: 1px solid black; height: 50px;"></div> | SIGNATURE |
| Date | <div style="border: 1px solid black; padding: 2px;">d d m m y y y y</div> | <div style="border: 1px solid black; padding: 2px;">d d m m y y y y</div> | |
| Witness address | <div style="border: 1px solid black; padding: 2px;"> </div> <div style="border: 1px solid black; padding: 2px;"> </div> <div style="border: 1px solid black; padding: 2px;"> </div> <div style="border: 1px solid black; padding: 2px;">Postcode Country</div> | <div style="border: 1px solid black; padding: 2px;"> </div> <div style="border: 1px solid black; padding: 2px;"> </div> <div style="border: 1px solid black; padding: 2px;"> </div> <div style="border: 1px solid black; padding: 2px;">Postcode Country</div> | |
| Occupation of witness | <div style="border: 1px solid black; height: 40px;"></div> | <div style="border: 1px solid black; height: 40px;"></div> | |

E IDENTIFICATION REQUIREMENTS

Below you will find the standard minimum requirements. In some circumstances Utmost PanEurope dac may request additional documentation or information

All copies of documents must be certified as per the requirements detailed under the ‘**certifying documents**’ section below.

For each Assignee Utmost PanEurope dac require one certified copy document from Part 1 together with one certified copy document from Part 2.

PART 1 - IDENTITY VERIFICATION

- › Valid passport
- › National ID card (with photograph)
- › A current driving licence (with photograph)

If you do not have appropriate identity verification, please advise the reason in the box below and provide two forms of address verification from part 2 instead.

A driving licence is not acceptable as identity verification unless a valid passport is not held.

PART 2 - ADDRESS VERIFICATION

- › A current driving licence (both parts i.e. card and paper where applicable)
- › A recent utility bill dated and certified within the last 3 months (exc. mobile phone bills)
- › An account statement from a bank or building society dated and certified within the last 3 months
- › A credit card statement dated and certified within the last 3 months (store cards are not acceptable)
- › An original, or certified copy of, rates or council tax bill dated within the last 12 months
- › A recent mortgage statement, giving the residential address
- › A government produced document showing benefit entitlement dated and certified within the last 3 months
- › Proof of ownership or rental at residential address
- › An original, or originally certified copy of, tax assessment dated within the last 12 months
- › Proof of payment for a P.O. Box service (which must also show the residential address).

Documents must be the most recent available. Mobile phone bills, store cards & online statements are not acceptable.

If the driving licence is being used in Part 1 it cannot be used in part 2, and vice versa.

CERTIFYING DOCUMENTS

All copies of documents submitted as evidence of identity or address must be of the original document, previous certified copies can't be copied again.

Copies of documents must be certified by a suitable certifier. A suitable certifier may be one of those listed below, provided that they are from a recognised jurisdiction and Utmost PanEurope dac can verify their status.

- › A director or manager of an authorised credit or financial institution
- › A regulated independent financial adviser, or authorised employee of a regulated introducer
- › A chartered accountant
- › A notary public, commissioner for oaths, lawyer, advocate, or other formally appointed member of the judiciary
- › A registrar or other civil or public servant who is authorised to certify documents as part of their role i.e. a passport office employee
- › An authorised representative of an embassy or consulate of the country who issued the identification document

Certifications must be clear, legible and bear the wet signature of the certifier. The certifier should state on the document, 'I certify this to be a true copy of the original' and include the following details:

- › Signature of certifier
- › Full name and position/job title of the certifier
- › Company name and address
- › Any additional details such as membership number from a regulated body
- › Contact details of the certifier
- › Date of certification
- › If a document has multiple pages the certification on the first page should state the total number of pages in the document.

For non-UK certifiers and documents in a language other than English please contact us on +44 (0) 203 038 3941 for assistance.

Post Office certifications are not acceptable.

A certifier should not have any conflict of interest (e.g. must not be related to the individual).