

UNIT LINKED – INVESTMENT SERVICE AUTHORITY (HONG KONG)

Utmost Wealth Solutions is the brand name used by a number of Utmost Companies. This item has been issued by Utmost Worldwide Limited.

IMPORTANT INFORMATION

INTRODUCTION

This form is to be used by Hong Kong policyholders and licensed insurance broker companies and technical representatives (broker) in Hong Kong only.

HOW TO COMPLETE THIS FORM

Electronic completion

To ensure your information is saved correctly, we recommend you save the form to your desktop before you start completing the required fields.

Paper completion

If completing a hard copy of this form, please use **black or blue ink** and **BLOCK CAPITALS**. If you make a mistake, cross it out, put in the correct details and sign your initials next to the correction. **Do not use correction fluid.**

HOW TO SUBMIT THE FORM

We will accept a scanned copy of this document.

You can email digitally signed and/or scanned forms and supporting evidence, to us at:

HKGeneralEnquiries@utmostworldwide.com

Alternatively, post paper forms and supporting evidence to:

Utmost Worldwide Limited, Hong Kong Branch: Unit 2402B, Great Eagle Centre, 23 Harbour Road, Wanchai, Hong Kong. If you need any further information you can contact Tel +852 2526 1899.

HOW WE USE YOUR INFORMATION

Before you provide us with your personal information, please read our Privacy Notice available on our website at www.utmostinternational.com/privacy-statements/ for information about your data protection rights and how we use your personal data. **You should only provide personal information about another individual in this form where you have received their agreement to do so.**

We will accept a scanned copy of this document. This form is to be used by Hong Kong policyholders and licensed insurance broker companies and technical representatives (broker) in Hong Kong only.

A PLANHOLDER DETAILS

Please write in black ink and use BLOCK CAPITALS

Planholder Name(s)

Plan Number

Name of Licensed Insurance
Broker/Representative
("Investment Adviser")

Name of Licensed Insurance
Broker Company

Declaration

I/We hereby declare that the Investment Adviser named above has been appointed as Investment Adviser to my/our Plan(s). I/We authorise and request Utmost Worldwide Limited (the "Company") to enter into any formal agreements required by the Investment Adviser to facilitate this appointment.

Authority granted

I/We grant the Investment Adviser authority to act, in the following capacity **(please read the two options below carefully, before indicating the authority you have granted to your Investment Adviser):**

(Please tick one box)

Option A1

Advisory Investment Services only, my signed consent required: I/We declare that the above licensed Investment Adviser will discuss any proposed plan investment alterations, including the selection or switching of funds/ investment options and/or on the premium allocation, to which the value of my/our Plan(s) are linked, with me/us, and the Company will only act upon investment instructions that I/we, as Planholder(s), have signed.

The Company will not action any instructions that have not been signed by me/us.

Option A2

Discretionary Investment Management Services: I/We declare that I/we have delegated investment decisions to the above licensed Investment Adviser, who has complete discretionary authority, without consulting me/us first, to make all investment decisions to exercise all options for switching between plan investments, including the selection of switching of funds/investment options and/or on the premium allocation, to which the value of my Plan(s) is linked.

I authorise the Company to act upon the investment instruction of the licensed Investment Adviser as if the Investment Adviser was the Planholder.

I/We agree that the Company shall not be responsible for any loss or liability to the value of the Plan(s) arising from this appointment or from reliance upon the advice given or investment instructions rendered by the Investment Adviser to the Company or for any other action or failure to take action on the part of the Investment Adviser giving rise to any loss in the value of the Plan(s) howsoever. Further, I/we for myself/ ourselves and my/our estate(s) indemnify the Company against all claims, demands and actions against the Company in respect of such loss as aforesaid and all costs and expenses howsoever arising from or in respect of the activities and performance of the Investment Adviser (including but without limitation the cost of defending in any court of law any such claim, demand or action against the Company).

B REMUNERATION

(Applicable to Option A2 Only)

Remuneration

I/We have agreed to pay the Investment Adviser a fee at the rate of [%] of the bid value of my/our plan units¹ to be deducted at the same frequency as the fees of the Plan(s). I/We wish to make a series of withdrawals from the Plan(s) in order to pay the fees and request the Company to effect these withdrawals by cancelling plan units allocated to the Plan(s) and subsequently to pay the fee to the Investment Adviser as my/our agent.

I/We are aware that the agreement with the Investment Adviser should set out details of fees or remuneration payable to the licensed insurance broker company (and third parties, if any), the payment arrangements for any such services and that such services are optional and can be terminated at any time without penalty.

I/We authorise the Company to act upon this authority until I/we revoke this authority in writing.

	First Planholder:	Second Planholder (if any):																
SIGNATURE																		
Date	<table border="1" style="border-collapse: collapse; text-align: center;"> <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	<table border="1" style="border-collapse: collapse; text-align: center;"> <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
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¹ For regular premium contracts, where applicable, any "initial units" will not be included in the plan units for the purpose of calculation and payment of the fee.

C DECLARATION FOR COMPLETION BY THE INVESTMENT ADVISER

On behalf of the 'Investment Adviser' named in Section A above, I have read and understand the conditions outlined above and agree to act in accordance with them.

The capacity in which I will act as Investment Adviser will be **(please indicate below, by ticking the appropriate box):**

Advisory Investment Services only (Planholder has selected **Option A1** above)

I confirm that I hold the appropriate authorisation to provide ongoing investment advice to the Planholder(s).

I understand that the Company can only act upon investment instructions that have been signed by the Planholder(s).

My Investment Adviser License Number is

Discretionary Investment Management Services (Planholder has selected **Option A2** above)

I confirm that I hold the appropriate authorisation enabling me to provide investment instructions to the Company, and that I have the agreement of the Planholder(s) to issue investment instructions on their behalf.

My Investment Adviser License Number is

I confirm that I will comply with all legal and regulatory requirements in the jurisdiction(s) in which I am authorised to provide advice. I confirm that I will notify you of any changes to my authorisation, including any disciplinary action taken against me.

Licensed Insurance Broker/Representative

SIGNATURE

Print full name

Date:

d	d	m	m	y	y	y	y
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Name of Licensed Insurance Broker/Representative ("Investment Adviser"):

For and on behalf of: **(Name and address of licensed insurance broker company)**

Insurance Authority ("IA") Investment Adviser IA License No:

Securities and Futures Commission ("SFC") Investment Adviser SFC CE Reference No:

Investment Adviser SFC Regulated Activity Type (i.e. RA1, RA4, RA9 etc):

Telephone No:

E-mail:

A WEALTH *of* DIFFERENCE

www.utmostinternational.com

Utmost Worldwide Limited is registered in Hong Kong as a non-Hong Kong company (BRN 08743329). Registered Office address: Unit 2402B, Great Eagle Centre, 23 Harbour Road, Wanchai, Hong Kong.

Authorised by the Insurance Authority of Hong Kong to carry on long-term business.

Utmost Worldwide Limited is incorporated in Guernsey, registered number 27151. Registered Office address: Utmost House, Le Truchot, St. Peter Port, Guernsey, GY1 1GR.

It is authorised and regulated by the Guernsey Financial Services Commission to conduct long term business and general business. Utmost Worldwide Limited also holds a permit issued by the Jersey Financial Services Commission to conduct long term business in Jersey.

Utmost Wealth Solutions is a trading name used by Utmost Worldwide Limited.

Websites may refer to products that are not authorised or regulated and/or are not available for offering to planholders in certain jurisdictions.