

INTERMEDIARY REGISTRATION APPLICATION

(For non UK Intermediaries only)

THIS DOCUMENT WAS LAST UPDATED IN NOVEMBER 2023.

Please confirm with your sales representative that this is the most up to date document for your 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 Authorised signatory list	5	<input type="checkbox"/>
B Payment details for financial adviser commission and/or fund adviser fees	7	<input type="checkbox"/>
C Application to appoint a suitable certifier	8	<input type="checkbox"/>

A WEALTH *of* DIFFERENCE

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 02230 | 11/23

Powered by Wealth Interactive

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

IMPORTANT NOTES

Please note that, following submission of this form, you will be sent a link to an online questionnaire which will request further information about your firm.

When completing this form, please use BLOCK CAPITALS and black ink only and tick boxes as appropriate. If the pages of this document are separated or additional documentation is added, each separate page must be initialled and dated by the signatory.

We reserve the right to request any additional information or documentation where it feels necessary, prior to granting of Terms of Business.

With which entity/ies are you requesting terms of business? (✓)

Utmost International Isle of Man Limited (Utmost International)

Utmost PanEurope dac (Utmost PanEurope)

Both Utmost International and Utmost PanEurope

FIRM DETAILS

1. Registered name of firm	<input type="text"/>	
2. Trading name (If different)	<input type="text"/>	
3. Registered office address (Please note we do not accept C/O and PO Box addresses)	<input type="text"/>	
	Postcode	Country
Correspondence address (If different from above)	<input type="text"/>	
	Postcode	Country
4. Telephone number	<input type="text"/>	
5. Facsimile number	<input type="text"/>	
6. E-mail address	<input type="text"/>	
7. Main contact name	<input type="text"/>	
8. Main contact position	<input type="text"/>	
9. Main contact mobile number	<input type="text"/>	
10. Type of firm	Limited company (Copy of Certificate of Incorporation and Memorandum and Articles of Association to be enclosed) Partnership (Copy of partnership agreement to be enclosed) Sole trader Other (please specify) <input type="text"/>	

11. Place of incorporation of firm

12. Registered number of firm

Established

13. Have any of the Directors/Partners/Principals been associated with a company which was/is a registered Intermediary with any companies within the Utmost Group of companies?

If Yes, please give details Yes No

14. Is the limited company or the partners or the sole trader currently indebted to any other organisation?

If Yes, please give details Yes No

15. Does the firm engage in any activity in the United Kingdom which would be regarded as carrying on a regulated activity as detailed in part XXIX of the Financial Services and Markets Act 2000 and the Financial Services and Markets Act 2000 (Regulated Activities) Order 2001? Yes No

16. Do you wish to apply for indemnity terms? Yes No

Please note that in introducing business to us, firms must not submit business that subject to any laws would make such business unlawful.

MASTER USER DETAILS FOR WEALTH INTERACTIVE

In order to do business with us, firms must register on Wealth Interactive. This involves appointing a master user. Please complete this section to nominate an individual from your firm to become a master user for Wealth Interactive.

Completing this section will allow us to grant access to Wealth Interactive to a nominated master user within your firm who can then grant access to other users (including other master users within your firm). Please note that we cannot grant you access to Wealth Interactive until you have registered for Terms of Business with Utmost International and/or Utmost PanEurope.

The named master user and other members of your firm must adhere to the Terms and Conditions for online services which are provided as part of the registration process.

Master users have the highest level of authorisation on Wealth Interactive. Some of the key responsibilities of a master user are listed below:

- › Grant, remove and manage access to Wealth Interactive.
- › View adviser payment statements.
- › Maintain firm data (change bank account details and set fee packages).
- › Full portfolio management permissions.

If you are a National Account, your head office may prefer to control access to Wealth Interactive. Please contact your head office first before submitting this form to us to confirm whether you can be granted master user access and to prevent any unnecessary delays.

For more information about Wealth Interactive, please speak with your Utmost International consultant or visit our website www.utmostinternational.com

Title (✓)	Mr	Mrs	Miss	Other (please state)	<input type="text"/>
Name of master user to be registered	<input type="text"/>				
Position of master user in the firm	<input type="text"/>				
E-mail address	<input type="text"/>				
Telephone number	<input type="text"/>				
Mobile telephone number	<input type="text"/>				

DATA PRIVACY STATEMENT

We collect and process Personal Data from you, your employees and financial advisers and your appointed representatives, their employees and financial advisers, in order to communicate with you, provide you with services and/or for business administration purposes.

We collect the following types of data:

- a. your name
- b. address and other contact details
- c. financial details (e.g., for fees and commission)
- d. information about your health or dietary requirements (please note we will only collect such sensitive information in relation to the provision of certain services, e.g., seminars).

We may share your data, by electronic or other means to:

- a. other companies within the Utmost group of companies, where it is used for assessment and statistical analysis purposes and for purposes connected with Products
- b. a third party to verify your identity in line with anti-money laundering or other requirements
- c. third parties who provide services to us (e.g., IT services, research and marketing services and for statistical and analytical purposes)
- d. third parties where required by law, court order or regulation
- e. other organisations, including the police or fraud prevention agencies and databases, to prevent and detect fraud.

If we need to transfer your personal information to another country for processing or storage, we ensure that anyone to whom we pass your personal information agrees to treat your information with the same level of protection as we would.

We will always keep your data safe and secure. We will never sell your data, and we will not send you communications about unrelated services without your consent.

Our full Privacy Notice holds much more information about how we collect, use and share your personal data and that of your clients and it provides information about the rights that you and your clients have in relation to your and their personal data, and how to contact us if you have any concerns.

Please go to www.utmostinternational.com/privacy-statements/ or write to:

For Utmost International Isle of Man 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.

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

A AUTHORIZED SIGNATORY LIST

If you already have a pre-agreed authorised signatory list for your firm with specific details on who you wish to be able to authorise instructions on behalf of the firm, please forward us a copy of this and we will record this instruction. Without this, we will record the authorisation requirement as being one signatory required only unless specifically stated below.

If there are any changes to the signatory list in future, you must notify us immediately.

SAMPLE SIGNATURE

Print name

Position

Signing power

SAMPLE SIGNATURE

Print name

Position

Signing power

SAMPLE SIGNATURE

Print name

Position

Signing power

SAMPLE SIGNATURE

Print name

Position

Signing power

SAMPLE SIGNATURE

Print name

Position

Signing power

SAMPLE SIGNATURE

Print name

Position

Signing power

SAMPLE SIGNATURE

Print name

Position

Signing power

SAMPLE SIGNATURE

Print name

Position

Signing power

B PAYMENT DETAILS FOR FINANCIAL ADVISER COMMISSION AND/OR FUND ADVISER FEES

Commission/fee payment

The commission/fee that your client has agreed to pay you from their portfolio bond will be credited to your account on completion of business submitted.

Commission/fee options and currency

Please speak to your sales consultant for details of the adviser fee options and the bond currencies available.

PAYMENT DETAILS FOR FINANCIAL ADVISER COMMISSION

Payment method (✓) Electronic bank transfer¹ BACS²

¹ Bank charges will be applicable for electronic bank transfers, for example telegraphic transfer payments.

² BACS is only available for sterling payments to a UK bank.

Currency	<input type="text"/>	
Bank account holder (name as stated on bank account)	<input type="text"/>	
Bank account number/IBAN	<input type="text"/>	
Sort code (if applicable)	<input type="text"/> - <input type="text"/> - <input type="text"/>	
SWIFT or BIC code (if applicable)	<input type="text"/>	
Bank name	<input type="text"/>	
Bank address	<input type="text"/>	
	<input type="text"/>	<input type="text"/>
	Postcode	Country

PAYMENT DETAILS FOR FUND ADVISER FEES

Payment method (✓) Electronic bank transfer¹ BACS²

¹ Bank charges will be applicable for electronic bank transfers, for example telegraphic transfer payments.

² BACS is only available for sterling payments to a UK bank.

Currency	<input type="text"/>	
Bank account holder (name as stated on bank account)	<input type="text"/>	
Bank account number/IBAN	<input type="text"/>	
Sort code (if applicable)	<input type="text"/> - <input type="text"/> - <input type="text"/>	
SWIFT or BIC code (if applicable)	<input type="text"/>	
Bank name	<input type="text"/>	
Bank address	<input type="text"/>	
	<input type="text"/>	<input type="text"/>
	Postcode	Country

- › Accounts within the UK, Jersey, Guernsey, Isle of Man or Gibraltar require a bank account number and sort code.
- › Payments made to banks outside the UK require a SWIFT or Bank Identifier Code (BIC), and an International bank account number (IBAN).

C APPLICATION TO APPOINT A SUITABLE CERTIFIER

This appointment of a suitable certifier is not applicable, and does not need to be completed, for Utmost PanEurope.

For Utmost International Isle of Man, the suitable certifier role is applicable only for firms not based and regulated in a country which operates Anti-Money Laundering laws equivalent to those of the Isle of Man (as specified by the Isle of Man Department of Home Affairs in 'List C' within the following link <https://www.gov.im/media/1347167/high-risk-jurisdiction-list.pdf>)

Where the suitable certifier role does apply, the following information should be provided for each individual to be appointed as a Suitable Certifier (as specified in the Isle of Man Financial Services Authority's Guidance Notes on Anti-Money Laundering and Preventing the Financing of Terrorism) within your firm. This can be done now or by filling out the **Application to Appoint a Suitable Certifier** form.

I request the following person (Appointee) to be approved as a Suitable Certifier in respect of the above firm.

Name of Appointee

Country of residence for Appointee

Position in firm

I enclose verification of the current residential address of the Appointee and a certified true copy of their current identification*, which includes their signature, as follows:

Please tick as appropriate (✓) Passport National Identity Card

I confirm that the Appointee is aware of, and understands the requirements of, the Isle of Man Financial Services Authority's Guidance Notes on Anti-Money Laundering and Preventing the Financing of Terrorism.

For business in respect of the above firm, please refer to our **Anti-Money Laundering and Document Certification Requirements** document for more information.

A completed Utmost International 'know your client' form will also be provided.

On behalf of the firm

SIGNATURE

Date

Full name of individual signing this form

* Where the application is in respect of the first Suitable Certifier to be appointed for the firm, the identification for that person must be certified by a notary public, lawyer or advocate. Where the application is in respect of a subsequent Suitable Certifier, the identification for that person may be certified by a notary public, lawyer, advocate or Suitable Certifier for the firm.

I confirm my acceptance of this request by the firm to appoint me as a Suitable Certifier.

Appointee

SIGNATURE

Date

Full name

Where we approve the appointment of a Suitable Certifier, a separate confirmation will be sent to the firm advising the effective date of appointment.

TERMINATION OF APPOINTMENT

Any appointment will be terminated:

- › when the firm advises they no longer employ the Suitable Certifier
- › if the firm or the Suitable Certifier requests removal of the appointment
- › if Terms of Business cease
- › if Utmost International deems it appropriate to do so.

The firm will notify Utmost International if it no longer employs the Suitable Certifier. The appointment is not transferable.

USEFUL INFORMATION

What is a Suitable Certifier?

A Suitable Certifier is an individual who is deemed suitable to certify copy documents as part of 'know your customer' due diligence.

Who is regarded as a Suitable Certifier?

Examples of a Suitable Certifier are:

- › an employee of, or an Appointed Representative of, an Insurance Business based and regulated in a 'List C' country. Details of List C countries can be found on the FSA website <https://www.gov.im/media/1347167/high-risk-jurisdiction-list.pdf>
- › a notary public, lawyer, advocate, an authorised representative of an embassy or consulate of the country who issued the identification document.

Further details can be found in the Guidance Notes on the Isle of Man Financial Services Authority (FSA) website <https://www.iomfsa.im/>

If an individual does not fall into the relevant categories, for example, the firm is not based and regulated in a List C country, how does one apply to become a Suitable Certifier?

Upon receipt of a completed application form, if we deem the individual suitable to be appointed as a Suitable Certifier, confirmation of the appointment will be confirmed by us.

Who should complete and sign the section to appoint a Suitable Certifier?

The section should be completed and signed by an authorised signatory of the firm and the Appointee.

Is further documentation required to accompany the application?

A certified copy of the individual's passport or national identity card displaying the individual's signature should be provided together with proof of residential address, for example, utility bill or bank statement.

Who can certify the first individual's identification?

If the application is in respect of the first Suitable Certifier to be appointed for the firm, the identification for that person must be certified by a notary public, lawyer or advocate.

Who can certify subsequent applicants?

The identification for subsequent applicants can be certified by a notary public, lawyer, advocate or Suitable Certifier for the firm.

What course of action is required if the firm does not wish to appoint Suitable Certifiers?

If the firm does not wish to appoint Suitable Certifiers, client identification required to accompany an application must be certified by an alternative Suitable Certifier, for example, notary public, lawyer or advocate.

If you would like any further information, please contact your regional office or Sales Support on +44 (0)1624 655 555.

BUSINESS VOLUMES

What is the average number of investment related policies you sell per annum across all providers?

Please also give an indication of the split between the following policy types:

- › Regular premium
- › Single premium

How many Utmost International and/or Utmost PanEurope policies do you anticipate selling per annum?

Please also give an indication of the anticipated split between the following Utmost International and/or Utmost PanEurope policy types:

- › Regular premium
- › Single premium

DECLARATION

I am duly authorised to complete and submit this application for and on behalf of the adviser firm and have obtained all necessary consents and permissions to disclose to you the information relating to referenced companies and individuals.

I hereby declare that the statements made herein are true and correct and shall form the application to place business with Utmost International and/or Utmost PanEurope, 'the Company'. If accepted, I acknowledge that dealings will be governed by the Company's standard Terms of Business which I have read and understand. Please note that copies of the Company's standard Terms of Business are available from us or from www.utmostinternational.com

I confirm that the information provided in respect of all referenced companies and individuals has been verified by them and confirmed as true, complete and accurate.

I understand and agree that the information supplied by me in connection with this application will become part of the data held by Utmost International and/or Utmost PanEurope in accordance with the provisions of the Isle of Man's Data Protection Law and Regulation and of the Irish Data Protection Act 2018 (the DPAs).

I confirm that I have read and understand the Data Privacy Statement set out above and will make it available to other individuals whose Personal Data has been provided to Utmost International/Utmost PanEurope either in this application or within accompanying documentation.

I will comply with the requirements of the Isle of Man Financial Services Authority (FSA) Guidance Notes on Anti-Money Laundering and Preventing the Financing of Terrorism, the Irish Criminal Justice (Money Laundering and Terrorist Financing) Act 2010 and any subsequent amending legislation and any other applicable Anti-Money Laundering and Combating Financing of Terrorism legislation or guidance.

I authorise the Company to obtain (and have obtained agreement from individuals referenced to allow the Company to obtain) any references it may require, and conduct status enquiry searches.

I will inform the Company of changes to any of the information contained in this registration application

In the event of all or part of the commission paid to me being found subsequently not to have been earned, whether through cancellation of a plan, or the non-payment of premiums, or otherwise, I undertake to reimburse Utmost International and/or Utmost PanEurope, any excess commission paid and to do so within 30 days of being notified, Utmost International and/or Utmost PanEurope being entitled to make an interest charge on late payments. Calculations will be backdated to the inception of the debt.

SIGNATURE

Date

Print name

Position within the firm