

# SOURCE OF WEALTH QUESTIONNAIRE

## FOR PROVIDING DETAILS OF A CLIENT'S WEALTH

### 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.

THIS DOCUMENT WAS LAST UPDATED IN MARCH 2024.

All references to Utmost International, in this document mean Utmost International Isle of Man Limited, Utmost Worldwide Limited and Utmost PanEurope dac.

Under international anti-money laundering and combatting terrorist financing requirements, financial services companies are required to take reasonable measures to establish the Source of Wealth of certain clients. The term 'Source of Wealth' extends further than the funds to be invested, referred to as 'Source of Funds', and relates to a client's entire body of wealth.

The type of client that Source of Wealth requirements relate to will either be Politically Exposed Persons (PEPs) or clients with certain attributes which, under international standards, are regarded as representing an enhanced risk.

This questionnaire seeks to obtain information and documentation to establish the Source of Wealth of such clients.

### A DETAILS OF THE APPLICANT/POLICYHOLDER/INDIVIDUAL PROVIDING SOURCE OF WEALTH

**In this section please give details of the applicant, or if an existing policy, the policyholder. If the application is in the name of a legal person or legal arrangement, please provide information on the individual who has generated the wealth behind the investment (referred to as the 'Beneficial Owner' below).**

If we have requested Source of Wealth information from more than one individual, please provide the additional information on a separate form.

Name of Applicant/  
Policyholder/Beneficial Owner

Policy Number (if known)

Name of individual whose Source  
of Wealth is being assessed  
(if different from above)

Date of birth of individual whose  
Source of Wealth is being  
assessed

|   |   |   |   |   |   |   |   |
|---|---|---|---|---|---|---|---|
| d | d | m | m | y | y | y | y |
|---|---|---|---|---|---|---|---|

Residential address of individual  
whose Source of Wealth is being  
assessed

(This information must be  
provided in full. We are unable  
to accept PO Boxes and 'care of'  
addresses)

|          |
|----------|
|          |
|          |
|          |
| Postcode |

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**B SOURCES OF WEALTH**

Please provide below an estimated breakdown of the sources from which the individual's current wealth is derived along with the relevant percentages, details and any open source links (URLs) which may provide additional information relating to the source.

| SOURCE  | %          | DETAILS | URLS |
|---|------------|---------|------|
| <b>Earned Income (including salaries and bonuses)</b><br><br>Please include details of employers and periods of employment.   |            |         |      |
| <b>Investment Income (e.g. interest, dividends, rents)</b><br><br>Please include details of the main investments from which the income is derived.                        |            |         |      |
| <b>Sale of financial assets (e.g. stocks, bonds, collectives)</b><br><br>Please include details of the main assets sold to raise the proceeds.                            |            |         |      |
| <b>Sale of business interests (e.g. sale of own company)</b><br><br>Please provide name and address of the business(es) sold.   |            |         |      |
| <b>Sale of property (e.g. sale of residential property or portfolio of properties)</b><br><br>Please provide details of the properties sold.                              |            |         |      |
| <b>Inheritance (e.g. by will, receipt from trusts or under law of succession)</b><br><br>Please provide details of the inheritance including the source, amount and date. |            |         |      |
| <b>Settlement (such as divorce proceedings or arising from litigation)</b><br><br>Please provide details of the settlement(s) including the source, amount and date.      |            |         |      |
| <b>Gifts (e.g. inter-spouse transfers or other lifetime gifts)</b><br><br>Please provide details of the grantor, the amount and date.                                     |            |         |      |
| <b>Gaming wins (e.g. lottery wins)</b><br><br>Please provide details of the win including the source, amount and date.  |            |         |      |
| <b>Other (please specify)</b><br><br>Please provide details of any source not included above.   |            |         |      |
| <b>TOTAL</b>  | <b>100</b> |         |      |

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**C** DETAILS OF ASSETS AND LIABILITIES

Please list below details of the individual's assets.

**1. INVESTMENTS (ASSET PORTFOLIOS, STOCKHOLDINGS AND OTHER FINANCIAL INSTRUMENTS OR PRODUCTS)**

| Jurisdiction (i.e. where held) | Financial Institution | Account/Product Name | Currency | Value |
|--------------------------------|-----------------------|----------------------|----------|-------|
|                                |                       |                      |          |       |
|                                |                       |                      |          |       |
|                                |                       |                      |          |       |
|                                |                       |                      |          |       |
| <b>Total</b>                   |                       |                      |          |       |

**2. PENSIONS (COMPANY OR PERSONAL PENSIONS SCHEMES)**

| Name of Scheme | Pension Provider | Currency | Approximate Fund Value |
|----------------|------------------|----------|------------------------|
|                |                  |          |                        |
|                |                  |          |                        |
|                |                  |          |                        |
|                |                  |          |                        |
| <b>Total</b>   |                  |          |                        |

**3. PROPERTIES (COMMERCIAL OR RESIDENTIAL REAL ESTATE)**

| Address of Property | Currency | Value | Outstanding Mortgage |
|---------------------|----------|-------|----------------------|
|                     |          |       |                      |
|                     |          |       |                      |
|                     |          |       |                      |
| <b>Total</b>        |          |       |                      |

**4. BUSINESS INTERESTS (SHARES IN PRIVATELY OWNED/UNLISTED COMPANIES OR PARTNERSHIPS)**

| Name of Business | Address of Business | Website of Business | Ownership % | Currency | Value |
|------------------|---------------------|---------------------|-------------|----------|-------|
|                  |                     |                     |             |          |       |
|                  |                     |                     |             |          |       |
|                  |                     |                     |             |          |       |
| <b>Total</b>     |                     |                     |             |          |       |

**5. OTHER ASSETS (PERSONAL PROPERTY, VALUABLES, CARS, ARTWORK ETC)**

| Name of Asset | Asset Description | Currency | Value |
|---------------|-------------------|----------|-------|
|               |                   |          |       |
|               |                   |          |       |
|               |                   |          |       |
| <b>Total</b>  |                   |          |       |

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Please list below details of the individuals liabilities.

| 6. LIABILITIES (CREDIT CARDS, LOANS, DEBTS) |                   |          |       |
|---|-------------------|----------|-------|
| Liability name                              | Asset Description | Currency | Value |
|   |                   |          |       |
|   |                   |          |       |
|   |                   |          |       |
| Total                                       |                   |          |       |

D TOTAL NET WORTH

Please tick which currency the net worth is expressed in.

US\$

GBP£

Euro €

Other (please state)

Please indicate below the individuals total net worth, represented by total assets minus total liabilities, both detailed in Section C.

E DECLARATION BY THE FINANCIAL ADVISER REPRESENTATIVE/SUITABLE CERTIFIER

I declare that:

- › I have verified the contents of any original documents where copies have been enclosed and confirm that they are true copies of the original.
- › To the best of my knowledge and belief, all the information provided in and with this questionnaire is true and complete and was obtained from the individuals who are of good standing. I also confirm I will provide further information if required.
- › I have not made any changes to the questionnaire after completion by the applicant/policyholder.

SIGNATURE

Financial Adviser Representative/Suitable Certifier

Date

|   |   |   |   |   |   |   |   |
|---|---|---|---|---|---|---|---|
| d | d | m | m | y | y | y | y |
|---|---|---|---|---|---|---|---|

Full name of introducer firm

Full name of financial adviser  
representative/suitable certifier

Capacity of suitable certifier

A WEALTH *of* DIFFERENCE

[www.utmostinternational.com](http://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 0249160.

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 Worldwide Limited (No. 27151) also trading as Utmost Wealth Solutions, is incorporated in Guernsey.

It is authorised and regulated by the Guernsey Financial Services Commission to conduct long term business and general business.

Registered Office: Utmost House, Hirzel Street, St Peter Port, Guernsey, Channel Islands GY1 4PA.

Utmost Worldwide Limited also holds a permit issued by the Jersey Financial Services Commission to conduct long term business in Jersey.

Utmost PanEurope dac is regulated by the Central Bank of Ireland. Registered No 311420.

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Utmost Wealth Solutions is registered in Ireland as a business name of Utmost PanEurope dac.

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