

# SOURCE OF WEALTH QUESTIONNAIRE



FOR PROVIDING DETAILS OF A CLIENT'S WEALTH (FOR HIGH RISK CLIENTS/CLIENTS SUBJECT TO ENHANCED DUE DILIGENCE).

## 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.

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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.

## IF YOU NEED ASSISTANCE

Your Intermediary will be able to provide further information and assistance with completing this form. Alternatively, you may our relevant Customer Service team as follows:

### Utmost Worldwide Limited

Head Office

+44 1481 715 800

UWCustomerService@utmostworldwide.com

Hong Kong Office:

+852 2526 1899

HKGeneralEnquiries@utmostworldwide.com

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+65 6672 9152

SingaporeRO@utmostworldwide.com

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+41 447 111 180

SwitzerlandRO@utmostworldwide.com

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

In this section please give your details. If the policy/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).

Name of Applicant 1/  
Policyholder 1/Beneficial Owner 1

Name of Applicant 2/  
Policyholder 2/Beneficial Owner 2  
(if more than one)

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

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SOURCE OF WEALTH QUESTIONNAIRE  
FOR PROVIDING DETAILS OF A CLIENT'S WEALTH

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

## 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 including the geographic country and any open source links (URLs) which may provide additional information relating to the source.

SOURCE	%	AMOUNT	DETAILS INCLUDING COUNTRY	URLS
<b>Earned Income (including salaries and bonuses)</b>  Please include details of employers and periods of employment.				
<b>Investment Income (e.g. interest, dividends, rents)</b>  Please include details of the main investments from which the income is derived.				
<b>Sale of financial assets (e.g. stocks, bonds, collectives)</b>  Please include details of the main assets sold to raise the proceeds.  Gains only to be included in this section. For the original capital invested, please indicate the source in the relevant section.				
<b>Sale of business interests (e.g. sale of own company)</b>  Please provide name and address of the business(es) sold.  Please indicate % of shares held and sold in the business in the details section.				
<b>Sale of property (e.g. sale of residential property or portfolio of properties)</b>  Please provide details of the properties sold.				
<b>Inheritance (e.g. by will, receipt from trusts or under law of succession)</b>  Please provide details of the inheritance including the source, amount and date.  Please indicate the relationship between deceased party and heir, along with the activity that generated the amount received in the details section.				
<b>Settlement (such as divorce proceedings or arising from litigation)</b>  Please provide details of the settlement(s) including the source, amount and date.  Please indicate the activity that generated the amount received in the details section.				

SOURCE OF WEALTH QUESTIONNAIRE  
FOR PROVIDING DETAILS OF A CLIENT'S WEALTH

<b>Gifts (e.g. inter-spouse transfers or other lifetime gifts)</b>  Please provide details of the grantor, the amount and date.  Please indicate the activity that generated the amount received in the details section.				
<b>Gaming wins (e.g. lottery wins)</b>  Please provide details of the win including the source, amount and date.				
<b>Other (please specify)</b>  Please provide details of any source not included above.				
<b>TOTAL</b>	100			

## C DETAILS OF ASSETS AND LIABILITIES

Please list below details of the individual's assets.

### 1. INVESTMENTS (BANK ACCOUNTS, ASSETS 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>			

SOURCE OF WEALTH QUESTIONNAIRE  
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4. BUSINESS INTERESTS (SHARES IN PRIVATELY OWNED/UNLISTED COMPANIES OR PARTNERSHIPS)

Name of Business	Address of Business	Website of Business	Ownership %	Currency	Value
Total					

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

Name of Asset	Asset Description	Currency	Value
Total			

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 state in the box below your total estimated net worth, represented by total assets minus total liabilities, both detailed in Section C.

SOURCE OF WEALTH QUESTIONNAIRE  
FOR PROVIDING DETAILS OF A CLIENT'S WEALTH

**E** DECLARATION BY THE APPLICANT/POLICYHOLDER/BENEFICIAL OWNER

I declare that:

- › To the best of my knowledge and belief, all the information provided in and with this questionnaire is true and complete.

	Applicant 1/Policyholder 1/ Beneficial Owner 1	Applicant 2/Policyholder 2/ Beneficial Owner 2 (if applicable)
<b>SIGNATURE</b>	<div></div>	<div></div>
Print full name	<div></div>	<div></div>
Date	<div><div>d</div><div>d</div><div>m</div><div>m</div><div>y</div><div>y</div><div>y</div><div>y</div></div>	<div><div>d</div><div>d</div><div>m</div><div>m</div><div>y</div><div>y</div><div>y</div><div>y</div></div>

A WEALTH *of* DIFFERENCE

[www.utmostinternational.com](http://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, Singapore Branch, is registered in Singapore as a foreign company (UEN T10FC0110K). Registered address 6 Battery Road, #16- 02, Singapore 049909.

Authorised by the Monetary Authority of Singapore to conduct life assurance business in Singapore. Member of the Life Insurance Association of Singapore. Member of the Singapore Finance Dispute Resolution Scheme.

Utmost Worldwide Limited, St Peter Port Zweigniederlassung Schweiz, Zürich is registered as a foreign branch in the commercial register in of canton of Zurich (Company No CHE-477.079.694). Registered Office address: Bahnhofstrasse 61, 8001 Zürich, Switzerland.

Authorised by the Swiss Financial Market Supervisory Authority ("FINMA") as a life insurance company to carry on unit-linked life insurance in Switzerland.

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.

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