

The background of the cover is a monochromatic blue-tinted photograph of two business professionals in suits. One person in the foreground is writing on a document with a pen, while another person is visible in the background, also appearing to be part of the process.

# Corporate Trustee Application form

# Contents

|           |  |    |
|-----------|--|----|
| Section 1 | Your details.....  | 3  |
| Section 2 | Investment portfolio details.....                                    | 6  |
| Section 3 | Source of funds.....   | 7  |
| Section 4 | Trustees/Authorised Signatory and Financial Adviser Declaration..... | 8  |
| Section 5 | Anti-money laundering checklist.....                                 | 9  |
| Section 6 | Document checklist.....  | 10 |
| Section 7 | Your additional notes.....   | 10 |

## Completion

This form should be completed by you to open a Corporate Client Portfolio Account with Ardan. Ardan offers custody and online facilities enabling you to view, manage and switch investments, whether directly or by your financial adviser or any other authorised person acting on your behalf.

The Corporate Client Portfolio Account is subject to the Ardan International Terms & Conditions (“Ardan T&Cs”) and to the Ardan International Pricing Schedule. By signing this application you confirm having received the current version of the Ardan T&Cs and Ardan International Pricing Schedule and agree with all the provisions included therein as well as those contained in this application. These provisions also apply to all Corporate Client Portfolio Accounts which are opened by you now or at a later date.

Should any of the provisions in this application or in the Ardan T&Cs be found to be void or invalid in part or in full, the remainder of the provisions herein and in the Ardan T&Cs shall remain valid notwithstanding.

Specified US Person means a US citizen or tax resident individual who has a US residential/correspondence address or who either holds a US Passport, a US Green Card or who was born in the US and has not yet renounced their US citizenship. More information on US FATCA can be found at: [www.irs.gov/Businesses/Corporations/Foreign-Account-Tax-Compliance-Act-FATCA](http://www.irs.gov/Businesses/Corporations/Foreign-Account-Tax-Compliance-Act-FATCA).

### **AUTOMATIC EXCHANGE OF INFORMATION - ENTITY SELF CERTIFICATION**

Automatic Exchange of Information (AEOI) is the United States Foreign Account Tax Compliance Act (FATCA) and the Organisation of Economic Cooperation and Development (OECD) Common Reporting Standards (CRS). Under these tax regulations and intergovernmental agreements entered into by the Isle of Man, we are required to collect information which may be exchanged by the Isle of Man Government with other jurisdictions. In order for us to comply with these requirements, you will need to complete the appropriate AEOI Self-Certification Forms in addition to this application form.

Details of who is considered to be a controlling person under AEOI can be found in our AEOI Definitions document which can be found here <https://www.ardan-international.com/downloads>

The AEOI Entity and Individual Self-Certification Forms can be found here: [www.ardan-international.com/downloads](http://www.ardan-international.com/downloads)

Please note that all investment services provided by Ardan are strictly on an execution only basis. Ardan is not obliged to and does not verify the appropriateness and/or suitability of your investment/s or other services provided. All applicants are reviewed on a risk-based approach. This in turn will drive the amount of due diligence that the applicant will be expected to provide in order to complete the application process. Ardan may request additional information during the life of the Corporate Client Portfolio Account in order for it to comply with the legislative requirements of the Isle of Man.

Once you have completed and signed the application you should send it along with all the requested additional information (please ensure you complete the document checklist under Section 6) to Ardan, Royal Court, Castletown, Isle of Man, IM9 1RA, British Isles or email to [newbusiness@ardan-international.com](mailto:newbusiness@ardan-international.com).

Please complete the application clearly and in full using BLOCK CAPITALS to avoid any delays with the processing of your application.

## Section 1 Your details

### DETAILS OF THE TRUST

Name of the trust

Date trust was established

Nature and purpose of the trust

### CORPORATE TRUSTEE DETAILS

Corporate trustee name

Global Intermediary Identification Number (FATCA/GIIN)

Registered address and postcode (in full)

Country

Contact name

Contact position

Telephone number [Country code](#)

[Telephone number](#)

Email address

### CORRESPONDENCE DETAILS

Please note that any correspondence we are required to send to you will be sent to the address you provide here. If no correspondence address is supplied we will use your registered address.

Address for correspondence and postcode

# Section 1 Your details (continued)

## DIRECTORS OR PARTNERS

You will need to provide us with a list of all directors or partners for your business, but we also need you to name two directors, one an executive director, for identity verification purposes. Please state their details here

|  | Executive Director/Partner 1 (must be completed) | Director/Partner 2 (must be completed) |
|--|--|--|
| Gender   |  |  |
| Other  |  |  |
| Title  |  |  |
| Other  |  |  |
| First name(s)                                      |  |  |
| Last name(s)                                       |  |  |
| Date of birth                                      | <input type="text"/>                             | <input type="text"/>                   |
| Current residential address and postcode (in full) |  |  |
| Country  |  |  |
| Position   |  |  |

## AUTHORISED SIGNATORIES

You will need to provide us with a list of all authorised signatories, but please tell us how many signatories will need to sign in order to action changes to the plan (including any special instructions, for example – one from category 'A' and one from category 'B').

Number of signatories required

Special instructions

## SHAREHOLDERS AND BENEFICIAL INTEREST

Please tell us who in your company has a shareholding or beneficial interest of 25% or more. You will have to provide verification of identity for those listed.

| First Name(s) | Last Name(s) | Position | Shareholding (%) |
|---------------|--------------|----------|------------------|
|---------------|--------------|----------|------------------|

# Section 1 Your details (continued)

## MEMBERS DETAILS

Please tell us who the underlying members are.

Name

Date of birth

### Current residential address

Address line 1

Address line 2

Address line 3

Town/city

Country

Postcode

Email address

Mobile telephone number [Country code](#)

[Telephone number](#)

## EVIDENCE REQUIRED

As a corporate trustee applicant, please tick to confirm that you have supplied the following:

### For the company

- / A full list of all directors.
- / Suitably certified certificate of incorporation.
- / A copy of the latest annual report and accounts.
- / Suitably certified documentation verifying registered address of the company.
- / Suitably certified identity and address documentation for at least two directors, one of whom must be an Executive Director.
- / A full list of authorised signatories (including board resolution for public limited companies) showing officers from whom we can take instructions and including specimen signatures.
- / Suitably certified identity and address documentation for all shareholders with a beneficial interest of 25% or more.

### For the trust

- / Suitably certified copy of the trust deed and any subsequent deed(s) of appointment or retirement.

If not shown in the trust deed we will require details for each of the following:

|                             | Settlor(s) | Protector(s) | Beneficiaries (where named) |
|-----------------------------|------------|--------------|-----------------------------|
| First name                  | ✓          | ✓            | ✓                           |
| Last name                   | ✓          | ✓            | ✓                           |
| Date of birth               | ✓          | ✓            | ✓                           |
| Current residential address | ✓          | ✓            | ✓                           |
| Occupation                  | ✓          | x            | x                           |
| Date of death               | ✓#         | x            | x                           |

# for Settlor(s) no longer alive.

## Section 2 Investment portfolio details

Please ensure you complete a separate Pricing Schedule and attach it to this application.

Portfolio name

### PORTFOLIO ACCOUNT BASE CURRENCY

Please select one currency which your account charges will be deducted in (you can open multiple accounts but your account charges will be deducted in the currency you select below). You should maintain a cash balance of 1.5% to cover ongoing charges.

### What is your initial investment (this is the amount we expect to receive)?

Currency                      Amount    Source of funds

Currency                      Amount    Source of funds

Are you share transferring assets to your Ardan Wealth Platform?

If yes, what is the estimated value?    Currency                      Amount    (please provide a current valuation statement along with this application)

### DETAILS OF ANTICIPATED FUTURE INVESTMENTS

How frequently do you expect to make future deposits into this account?

Currency                      Amount    Source of funds

Currency                      Amount    Source of funds

We may require additional documentary evidence of information regarding source of funds and wealth in order to meet the requirements of our regulator and will contact you in the event that this information is required.

## Section 3 Source of funds

In order for us to comply with our obligations under the Isle of Man's Anti-Money Laundering Regulations, you must answer the following questions fully.

### SOURCE OF FUNDS

Please provide details of the bank account being used to fund your portfolio account.

Bank name

Address line 1

Address line 2

Address line 3

Town/city

Country

Postcode

Account holder's name

Account currency

Branch Swift Code | | | | | | | | | |

(for all non-GBP and International payments)

Swift Code must be either 8 or 11 digits

OR

Bank Sort Code | - | - |

(for UK GBP payments only)

IBAN (all non-GBP accounts)

This number must match the account the transfer is being made from.

OR

Account number | | | | | | | |

(GBP UK Bank only) This number must match the account the transfer is being made from.

If you are funding your Corporate Client Portfolio Account from more than one bank account, please provide your additional bank details under Section 7 - Your additional notes. Also if your future deposits will be sent from a different account to your initial investment, please provide the bank details and state how long this account has been held, also under Section 7.

# Section 4 Trustees/Authorised Signatory and Financial Adviser Declaration

I/We confirm that I/we have the necessary powers to take out this Corporate Client Portfolio Account and enter into a relationship with Ardan International.

### POLITICAL EXPOSED PERSONS

A Politically Exposed Person ("PEP") is a person entrusted with prominent public functions, their immediate family members or persons known to be close associates of such persons.

Examples of PEPs include political figures, members of the judiciary, diplomatic service officers, managers and supervisors of state owned enterprises and senior ranking military officers.

Please add the names of any PEPs associated with this application in the box below.

Where this is left blank, you are confirming that no person associated with this application is politically exposed.

My/our signature(s) below confirm(s) that:

I/We declare that the information supplied in this application is complete and correct to the best of my/our knowledge and belief at the time of this declaration.

I/We agree to provide Ardan International with any further information as may be required.

I/We agree to notify Ardan International of any material changes in the information provided in this application including but not limited to, changes in personal details, which may occur after the date of this application.

I/We agree/disagree to Ardan International using my/our personal information for marketing purposes. If you do not make any selection we will deem you to have given permission for your information to be used as described. You may change your mind at any time about receiving marketing messages by contacting us using the details shown here - [www.ardan-international.com/contact-us](http://www.ardan-international.com/contact-us)

I/We confirm that I/we have read and understood the Ardan T&Cs.

|        |                                       |                                       |
|--------|---------------------------------------|---------------------------------------|
|        | <b>Trustee 1/Authorised Signatory</b> | <b>Trustee 2/Authorised Signatory</b> |
| Signed | <input type="text"/>                  | <input type="text"/>                  |
| Date   | <input type="text"/>                  | <input type="text"/>                  |
|        | <b>Trustee 3/Authorised Signatory</b> | <b>Trustee 4/Authorised Signatory</b> |
| Signed | <input type="text"/>                  | <input type="text"/>                  |
| Date   | <input type="text"/>                  | <input type="text"/>                  |

### THIS SECTION IS TO BE COMPLETED BY YOUR FINANCIAL ADVISER.

I, as the financial adviser, confirm that I have provided a detailed explanation of the financial adviser fees to be deducted. I have given the client the current Ardan T&Cs and Ardan International Pricing Schedule governing the Corporate Client Portfolio Account.

Financial adviser name

Financial adviser company

Signed

Date



## Section 5 Anti-money laundering checklist

This checklist will help make sure you have provided everything we need to process your application.

Verification of identity must be provided.

### Applicant

I have provided identification (please tick to confirm). If you are unable to provide this please confirm why below:

Please send a suitably certified copy\* of the following documents.

| Please tick which documents you are sending us | Acceptable document   |
|--|---|
|  | Proof of identification and verification of residential address for at least 2 of the directors.  |
|  | Evidence of the registered address of the company.  |
|  | A copy of the latest annual report and accounts.  |
|  | Confirmation that the company has not been, or is not in the process of being struck off, dissolved, wound up or terminated.  |
|  | A list of officers that we can accept instructions from in relation to the payment of premiums and their specimen signatures.   |
|  | Verification of the identity of any shareholders owning more than 25% of the issued share capital, where this is a holding company, trust or nominee we will require verification of the identity of the ultimate beneficial owner. |

### \* Suitably Certified Copy Documentation

The most common suitable certifiers are:

- / A suitable certifier approved by Ardan
- / An authorised representative of an embassy or consulate of the country who issued the identification document
- / Notary public
- / Lawyer, solicitor, advocate or attorney
- / Commissioner of Oaths within a recognised jurisdiction
- / Accountant who is a member of an institute or other professional organisation
- / A director or secretary of an authorised credit or financial institution located and regulated in an equivalent jurisdiction to the Isle of Man
- / A bank official
- / A registrar or other civil or public servant authorised to issue or certify copy documents
- / An employee of IFGL
- / A Company Secretary who is a member of recognised professional body

If you cannot have your documents certified by one of the above, please contact us.

## Section 6 Document checklist

Before sending the application to Ardan, Isle of Man office, please carefully check that you have completed ALL the necessary paperwork for us to process and open your Corporate Client Portfolio Account without any inconvenience to you.

All the MANDATORY questions have been answered in FULL

The application has been signed on page 8

Specimen signature form completed, where the applicant's signature has changed to the passport

Separate pricing schedule signed by the applicant

Anti-money laundering documents, are legible, valid and suitably certified

For a share transfer, a current valuation of the asset(s) has been provided

If funds are being transferred from a Life Company, a copy of the final/closing surrender statement (an estimated statement is not accepted)

Your financial adviser has on-line access to the Platform

## Section 7 Your additional notes