



# Corporate Client Portfolio Account Application

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## Completion

This form should be completed by you to open a 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 Terms & Conditions ("Ardan T&Cs") and to the Ardan Pricing Schedule. By signing this application you confirm having received the current version of the Ardan T&Cs and Ardan 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.

## Section 1 Your details

	Primary Contact				Secondary Contact (if applicable)			
Title	Mr	Mrs	Miss	Other	Mr	Mrs	Miss	Other
Gender	Male	Female	Other		Male	Female	Other	

First name

Middle name(s)

Last name(s)

Previous name  
(if applicable)

Home telephone number

[Country code](#)

[Telephone number](#)

Mobile telephone number

[Country code](#)

[Telephone number](#)

Email address  
(mandatory)

### Correspondence details

Please note that any correspondence we are required to send to you will be sent to the address you provide here.

Address line 1

Address line 2

Address line 3

Town/city

Country

Postcode

Is this address for

### ACCOUNT HOLDER INFORMATION

Company name

Trading name (if different)

Date of incorporation

Country of incorporation

Official Identification Number

Is company regulated?                      Yes              No              If yes, please provide license number and contact details of Regulator

License number

Regulator contact details

# Section 1 Your details continued

Is company listed?                      Yes              No              If yes, please provide details of Stock Exchange and Listing details

Stock exchange and listing details

Registered office address

## Principal place of business/operations (if different from registered office)

Address line 1

Address line 2

Address line 3

Town/city

Country

Postcode

## BUSINESS ACTIVITIES

Business activities

Geographical sphere of  
business activities

Details of any Powers of Attorney  
that are in operation

## SHAREHOLDERS, MANAGEMENT AND CONTROL (PLEASE PROVIDE A STRUCTURE CHART)

Full names and addresses of all Shareholders

Total percentage  
shareholding

%

%

%

%

%

%

# Section 1 Your details continued

Full names and personal addresses of all Directors

	<b>Director 1</b>				<b>Director 2</b>			
Title	Mr	Mrs	Miss	Other	Mr	Mrs	Miss	Other
Gender	Male	Female	Other		Male	Female	Other	
First name								
Middle name(s)								
Last name(s)								
Previous name (if applicable)								
Address line 1								
Address line 2								
Address line 3								
Town/city								
Country								
Postcode								

	<b>Director 3</b>				<b>Director 4</b>			
Title	Mr	Mrs	Miss	Other	Mr	Mrs	Miss	Other
Gender	Male	Female	Other		Male	Female	Other	
First name								
Middle name(s)								
Last name(s)								
Previous name (if applicable)								
Address line 1								
Address line 2								
Address line 3								
Town/city								
Country								
Postcode								

## Section 1 Your details continued

	<b>Director 5</b>				<b>Director 6</b>			
Title	Mr	Mrs	Miss	Other	Mr	Mrs	Miss	Other
Gender	Male	Female	Other		Male	Female	Other	
First name								
Middle name(s)								
Last name(s)								
Previous name (if applicable)								
Address line 1								
Address line 2								
Address line 3								
Town/city								
Country								
Postcode								

	<b>Director 7</b>				<b>Director 8</b>			
Title	Mr	Mrs	Miss	Other	Mr	Mrs	Miss	Other
Gender	Male	Female	Other		Male	Female	Other	
First name								
Middle name(s)								
Last name(s)								
Previous name (if applicable)								
Address line 1								
Address line 2								
Address line 3								
Town/city								
Country								
Postcode								

## Section 1 Your details continued

### Declaration of Tax Residence

I hereby confirm that I am, for tax purposes, resident in the following jurisdictions. Please indicate the Tax Identification Number ("TIN") for each jurisdiction. This must be completed by all company Directors and any shareholder with 25% or more shareholding.

Jurisdiction of Tax Residence	TIN
Jurisdiction of Tax Residence	TIN
Jurisdiction of Tax Residence	TIN
Jurisdiction of Tax Residence	TIN
Jurisdiction of Tax Residence	TIN
Jurisdiction of Tax Residence	TIN
Jurisdiction of Tax Residence	TIN
Jurisdiction of Tax Residence	TIN

If a TIN is not available please provide a functional equivalent (such as your social security, national insurance, citizen, personal identification or a resident registration number). If no TIN or functional equivalent is available for any of the jurisdictions listed please advise the reason why (such as the jurisdiction does not issue such numbers) below:

Further information on the issuance rules for TINs and their format can be found on the OECDs AEOI Portal:  
<https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>

## Section 2 Investment portfolio details

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

### 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.

GBP	USD	EUR	CHF	AUD	HKD	JPY
AED	CAD	ZAR	SGD			

### INITIAL INVESTMENT

(by providing specific information to the accumulation of your source of wealth (see examples), this will allow us to determine if documentary evidence is required. Examples could be Trading Activity, Accumulated Profits, Existing Investments or Sale of Assets.

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 International Wealth Platform? Yes No

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?

Monthly	Quarterly	Half Yearly	Annually	Single
Currency	Amount		Source of funds	
Currency	Amount		Source of funds	

## Section 3 Source of funds and wealth (this is a mandatory section)

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

Ardan has adopted a risk-based approach to meet these obligations, categorising all countries that we will accept business from into 1 of 3 tiers. Each tier has different source of wealth requirements. We have categorised countries according to their level of compliance with international regulatory standards

### SOURCE OF FUNDS

Please provide us with the details of your **bank/savings account** that you will use to fund your Corporate Client Portfolio Account.

Bank name

Address line 1

Address line 2

Address line 3

Town/city

Country

Postcode

Account holder's name

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.

Currency

OR

Account number | | | | | | | | | | | |

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

Account held for

Years

Months

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.

**In order to comply with our legal obligations in the Isle of Man we need to ask you the following questions:**

How were the funds accumulated?

Over what period was this accumulated?

Years

Months



## Section 4 Applicant & 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.

### POLITICALLY 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.

**If a PEP is associated with this application we need to ask you the following questions:**

What is your total accumulated wealth?

**Currency**                      **Amount**

How was this wealth accumulated?

Over what period was this accumulated?

Years

Months

Please provide a summary of how and where this wealth is held? (i.e. UK property, UAE bank account, etc.)

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 with any further information as may be required.

I/We agree to notify Ardan 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 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 as described in the Ardan T&Cs.

At a meeting of the board of directors held on the

Date

at (location)

it was agreed that we have the capacity to make this investment.

## Section 4 Applicant & financial adviser declaration continued

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

	Authorised signatory	Authorised signatory (if applicable)
Signed	<input type="text"/>	<input type="text"/>
Date	<input type="text"/>	<input type="text"/>

These signatures must match those on the list of authorised signatories.

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

I, as the financial adviser, confirm that:

- / All required and necessary steps have been undertaken to identify the client and to confirm that the client is not acting on any third party's behalf;
- / I have provided a detailed explanation of the financial adviser fees to be deducted. I have given the client the current Ardan T&C's and Ardan Pricing Schedule governing the Corporate Client Portfolio Account.

I confirm that I have met the client(s) and have seen and copied their original identity documents and proof of residential address at this time. Yes      No

If the answer to this question is No, then please indicate in Section 7, who has certified any documents and in what capacity

Financial adviser name

Financial adviser company

Signed	<input type="text"/>
Date	<input type="text"/>

## 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 10

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