

# Investment Platform Appointment

## Who is this form for?

This form is for plan owners of lump sum plans who wish to authorise Friends Provident International Limited (FPI) to use an Investment Platform to administer the investments linked to their plan.

If you wish to use these arrangements, all your linked investments will be held through a cash account and a custodian account (your "Accounts") with Ardan Nominees Limited (the "Custodian") and administered through the web-based investment administration platform operated by Ardan International Limited (the "Investment Platform").

## Completing this form

By completing this form you will be requesting the appointment of the Custodian and the Investment Platform to your plan.

Only certain linked investments can be held in your plan through the Investment Platform. Details of the acceptable linked investments can be found on the Investment Platform. Once your application has been accepted and your plan has been issued, the Investment Platform will send your financial adviser (your "Adviser") details of how they can access the Account. Your Adviser will be able to use the Investment Platform to view information about your Account and to instruct investment transactions for your Account.

You will not be able to use the Investment Platform to make one-off withdrawals or partial or full surrenders. Requests for these transactions should be addressed to FPI. Only FPI can give instructions to the Custodian to transfer cash or linked investments from your Accounts and transfers from your Accounts can only be made to FPI. Regular withdrawals may still be taken from your plan when it is administered through the Investment Platform, but only on a monthly or quarterly basis. You will not be able to transfer any cash or linked investments directly to your Accounts; if you wish to pay any additional payments, these should be paid to FPI using its normal procedures. FPI will be responsible for transferring any payments to the Custodian to be credited to your cash account.

We can only accept original written instructions that have been signed by all applicants/plan owners, trustees or authorised signatories.

Please complete in BLOCK capitals throughout. Where appropriate, any reference to the singular includes the plural and reference to the masculine includes the feminine.

## When you have completed this form

Please send it to: Friends Provident International Limited, Royal Court, Castletown, Isle of Man, British Isles, IM9 1RA.

## Data Protection Act

This form collects your personal data. We require your personal data so we can provide you with services relating to the performance of your contract. You may ask us to stop processing your data, however this may disrupt the services FPI can provide to you or may stop us being able to assist you. To find out how long we will keep your data, please refer to our privacy policy at <https://www.fpiinternational.com/legal/privacy-and-cookies>. Any data you provide to FPI may be shared, if allowed by law, with other companies both inside and outside of FPI and to persons who act on your behalf. Data and information about you can be transferred outside of the Isle of Man and FPI may be required to provide it to its regulator, its government or anyone else required by law.

FPI will use your data and information to allow for the administration of your plan, prevent crime, prosecute criminals and for market research and statistics. FPI will, at all times, make sure that your data and information is only used in ways that are allowed by law.

You can receive a copy of the information FPI holds about you free of charge by writing to our Data Protection Officer at: Friends Provident International Limited, Royal Court, Castletown, Isle of Man, British Isles, IM9 1RA or by emailing [dpo@fpiiom.com](mailto:dpo@fpiiom.com). We can reserve the right to not send you your personal data in some circumstances - if we do we will write to you setting out the reasons why.

Our full privacy policy can be viewed at <https://www.fpiinternational.com/legal/privacy-and-cookies> or can be obtained by requesting a copy from our Data Protection Officer.

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## Section 1: For the applicant or plan owner to complete

Please tell us the application to which this appointment will apply

Application date (dd/mm/yyyy)

Plan reference (if applicable)

I consent to the Investment Platform and the Custodian having custody of the investments to which my plan (when issued) is linked subject to:

- the provisions as described in this appointment form (the “Mandate”), including the additional terms and conditions set out below
- the terms and conditions of my plan
- the terms and conditions for the Investment Platform, which are available on the Investment Platform (the “Platform Conditions”)
- the terms and conditions for the provision of dealing, custody and settlement services by the Custodian (the “Custody Conditions”) and the Custodian’s schedule of charges (the “Custody Charges”), both of which are also available on the Investment Platform

### Additional terms and conditions

This Mandate may be terminated at any time by providing written notice to FPI. FPI will terminate the Mandate, and the appointment of the Investment Platform and the Custodian to your plan, as soon as is reasonably possible after notice has been received.

FPI may terminate the Mandate if it believes this is necessary to protect its interests and, in certain circumstances, termination may be automatic. Reasons for the termination may not be provided to the plan owner.

FPI may, if it believes that it is necessary to protect its interests or your interests, suspend your ability to instruct transactions for your Account and may issue investment instructions to the Custodian for your Account; these instructions could be given in any circumstances, but could include circumstances where an investment has been acquired for your custodian account that FPI does not permit or if there is insufficient cash (or cash in the relevant currency) to the credit of your cash account to pay your plan fees. Where FPI instructs any transactions for your Accounts, it is not responsible for any loss, cost or expense suffered in respect of the Account as a result.

If this Mandate is terminated, FPI reserve the right to charge a fee for the administrative work involved in terminating the arrangements with the Investment Platform and the Custodian and for arranging the transfer of your linked investments from the Custodian. FPI will inform you of the cost for this work before the charge is taken.

Upon termination of this Mandate, an Endorsement will be issued by FPI for your plan making it clear that the Terms and Conditions set out in this Mandate and relating to the appointment of the Investment Platform no longer apply.

In the event of the termination of the Mandate, the normal terms and conditions will apply to your plan and the plan owner will need to make their own investment choices for their plan through FPI in the normal way.

Any changes in the Platform Conditions, the Custodian Conditions or the Custody Charges, will be made available through the Investment Platform.

### Fees

When this Mandate applies and the Investment Platform and the Custodian have been appointed to your plan, FPI will continue to apply any Establishment Charge, servicing charges and Advice Fee in accordance with the general Terms and Conditions and your Plan Schedule. These charges will be paid direct by the Custodian to FPI from your cash account. If there are insufficient funds within your cash account, FPI may instruct the Custodian to sell sufficient of your linked investments in your custodian account to pay these charges.

While the Investment Platform is appointed, FPI’s Dealing Fees, Stockbroking Fees and custody Fees will not apply, but the Custody Charges levied by the Custodian and any fees charged by the Investment Platform will apply and will be charged directly by the Custodian to your cash account.

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## Declarations by the applicant

### Investment

I understand that I will have the authority to choose investments in conjunction with my Adviser that we deem appropriate through the platform for my objectives and risk profile, and link them to my plan, through the Investment Platform.

I understand that I am responsible for investment decisions made in respect of my plan and that my plan value may go down as well as up. I understand that the Adviser has been appointed by me and has the power to place dealing instructions on my behalf.

My Adviser has confirmed to me that they have the necessary regulatory authorisations in order to perform this role.

I confirm that all communications in relation to investment instructions should be directed to my Adviser.

I understand that the Adviser has not been appointed by FPI and acknowledge that FPI has not vetted or approved the Adviser and that FPI is not responsible for vetting or monitoring the Adviser.

I understand that I am required to ensure that at least 3 per cent of the plan value is held in cash in the cash account with the Custodian at all times.

I understand that the Investment Platform and/or the Custodian may apply a minimum investment or transaction level in respect of any particular linked investment held in your custodian account and may limit the number of different linked investments that may be held in your custodian account. There may be other restrictions and terms applicable to the operation of your Account as set out in the Platform Conditions

I understand that the investments that may be linked to my plan must be in respect of the range agreed by FPI as being eligible for the plan.

### Legal

I understand that this Mandate will be governed by the law of the Isle of Man and that the Isle of Man courts will have the right to decide any case that may be brought in relation to this Mandate.

### Final Agreement

I authorise FPI to release all relevant information relating to my plan to the Investment Platform and the Custodian when requested.

I confirm that I have read and accept the Platform Conditions, the Custody Conditions and the Custody Charges and will review any changes to these documents when they are made available through the Investment Platform. I understand that I may terminate this Mandate at any time by notice to FPI and acknowledge that my continued use of the Investment Platform means that I accept these documents in their current form.

I agree to adhere to the Platform Conditions and, in particular, I agree to keep my access details for the Investment Platform secure and to notify FPI if I become aware of any breach.

I understand that FPI is not responsible for any loss or liability incurred to my plan as a result of action taken, or not taken, by me, my Adviser, the Investment Platform or the Custodian.

I accept that FPI is not responsible for any loss or liability suffered by me, my Adviser, the Investment Platform or the Custodian (or their respective delegates or agents) in respect of performance or non-performance of their duties under the Platform Conditions, the Custody Conditions or the Custody Charges and of their duties in law, unless:

- FPI has a liability to me under statute obligation; or
- FPI has been in wilful default of its obligations under the Platform Conditions or the Custodian Conditions.

I understand that the terms and conditions of this Mandate will form part of the terms and conditions of my plan upon issue and are in addition to the general terms and conditions for my plan and may supersede them where relevant.

	<b>Applicant/Trustee/Authorised signatory 1</b>	<b>Applicant/Trustee/Authorised signatory 2</b>
Signed	<input type="text"/>	<input type="text"/>
Full name	<input type="text"/>	<input type="text"/>
Trust Company (if applicable)	<input type="text"/>	<input type="text"/>
Date (dd/mm/yyyy)	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

	<b>Applicant/Trustee/Authorised signatory 3</b>	<b>Applicant/Trustee/Authorised signatory 4</b>
Signed	<input type="text"/>	<input type="text"/>
Full name	<input type="text"/>	<input type="text"/>
Trust Company (if applicable)	<input type="text"/>	<input type="text"/>
Date (dd/mm/yyyy)	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

## Section 2: Adviser Information – to be completed by the adviser

Adviser name	<input type="text"/>
Adviser platform reference number	<input type="text"/>

## Section 3: Acknowledgement of appointment – to be completed by FPI

The appointment of the Investment Platform and the Custodian to the plan with reference number  is acknowledged by FPI.

### FPI signatory

Signed	<input type="text"/>
Full name	<input type="text"/>
Date (dd/mm/yyyy)	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

For and on behalf of Friends Provident International Limited.

**Friends Provident International Limited:** Registered and Head Office: Royal Court, Castletown, Isle of Man, British Isles, IM9 1RA. Isle of Man incorporated company number 11494C. Authorised and regulated by the Isle of Man Financial Services Authority. Provider of life assurance and investment products. **Dubai branch:** PO Box 215113, Emaar Square, Building 6, Floor 5, Dubai, United Arab Emirates. Registered in the United Arab Emirates (UAE) with the Central Bank of the UAE as an insurance company. Registration date, 18 April 2007 (Registration No. 76). Registered with the Ministry of Economy as a foreign company to conduct life assurance and funds accumulation operations (Registration No. 2013). Friends Provident International is a registered trademark and trading name of Friends Provident International Limited.