

Intermediary Application Form

I/We apply for a Terms of Business Appointment for the purpose of introducing business to Nedgroup Investments (IOM) Limited

Section 1 - Applicant's Details

Company name: _____

Individual Financial Advisor: _____
Names (if appropriate)

Registration number: _____

Registered office address: _____

Length of time at the
above address: _____

Postal address: _____

Telephone number: _____

E-mail address: _____ Fax number: _____

Nature of business
e.g. accountant, broker _____

Legal status: (i.e. company,
partnership, sole trader) _____

Regulatory body & registered
number (if applicable) _____

* This application must be accompanied by a certified copy of the Certificate of Incorporation or a certified copy of the Certificate of Registration.

Authorised Signatories - permitted to authenticate documentation

Name	Position	Specimen Signature

* Please continue on a separate sheet if necessary

In order to comply with our Anti-Money Laundering requirements please supply certified copies of identification documentation and verification of the residential address of all individuals named on this form.

Section 2 - Account Manager Details (to be completed by your Nedgroup Investments Consultant)

Account manager: _____ CIF number: _____

Section 3 - Commission Details

Commission is settled by electronic transfer in US Dollars, Pounds Sterling, Euros or South African Rand, please indicate your preferred payment currency below. Only one currency can be selected and where no currency is indicated, the default payment currency will be US Dollars. Changes to commission details must be made in writing to Nedgroup Investments (IOM) Ltd. Please note that Nedgroup Investments (IOM) Ltd are not liable for any movement in foreign exchange rates.

My preferred commission payment currency is _____

Bank name and address: _____

Account name: _____ Account number: _____

Branch code: _____ SWIFT code: _____

Transfer to Nedgroup Investments account number: _____

Section 4 - Conduct

- | | | | | | |
|--|---|-----|--|----|--|
| a) Are you precluded from holding Terms of Business by virtue of any agreement or official position or terms of employment of any of the Directors/Partners or Principals? | <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="padding: 2px 10px;">Yes</td> <td style="width: 20px; height: 20px;"></td> </tr> </table> <table border="1" style="display: inline-table; border-collapse: collapse; margin-left: 20px;"> <tr> <td style="padding: 2px 10px;">No</td> <td style="width: 20px; height: 20px;"></td> </tr> </table> | Yes | | No | |
| Yes | | | | | |
| No | | | | | |
| b) Have you, any of the Directors/Partners or Principals or any business with which you/they have previously been associated ever had Terms of Business refused or cancelled and, if so, by which companies? | <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="padding: 2px 10px;">Yes</td> <td style="width: 20px; height: 20px;"></td> </tr> </table> <table border="1" style="display: inline-table; border-collapse: collapse; margin-left: 20px;"> <tr> <td style="padding: 2px 10px;">No</td> <td style="width: 20px; height: 20px;"></td> </tr> </table> | Yes | | No | |
| Yes | | | | | |
| No | | | | | |
| c) Have you, any of the Directors/Partners or Principals ever been declared bankrupt or declared insolvent or have any of them been involved or associated whether as a director or otherwise with a company which has gone into liquidation or receivership or a business which has been forced to cease trading by reason of insolvency? | <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="padding: 2px 10px;">Yes</td> <td style="width: 20px; height: 20px;"></td> </tr> </table> <table border="1" style="display: inline-table; border-collapse: collapse; margin-left: 20px;"> <tr> <td style="padding: 2px 10px;">No</td> <td style="width: 20px; height: 20px;"></td> </tr> </table> | Yes | | No | |
| Yes | | | | | |
| No | | | | | |
| d) Have you, any of the Directors/Partners or Principals ever been convicted of a criminal offence other than a minor motoring offence? | <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="padding: 2px 10px;">Yes</td> <td style="width: 20px; height: 20px;"></td> </tr> </table> <table border="1" style="display: inline-table; border-collapse: collapse; margin-left: 20px;"> <tr> <td style="padding: 2px 10px;">No</td> <td style="width: 20px; height: 20px;"></td> </tr> </table> | Yes | | No | |
| Yes | | | | | |
| No | | | | | |
| e) Has (or is) the Company/Business been subject to any disciplinary action by any regulatory body or have any of the Directors/ Partners or Principals been associated with any company or business which has been subject to any such action or had its authority revoked or suspended? | <table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="padding: 2px 10px;">Yes</td> <td style="width: 20px; height: 20px;"></td> </tr> </table> <table border="1" style="display: inline-table; border-collapse: collapse; margin-left: 20px;"> <tr> <td style="padding: 2px 10px;">No</td> <td style="width: 20px; height: 20px;"></td> </tr> </table> | Yes | | No | |
| Yes | | | | | |
| No | | | | | |

If the answer to any of the foregoing questions is YES, please provide full details below.

Section 5 - References

Please supply the names and addresses of TWO referees to whom we may contact as part of our Due Diligence procedures. Referees should have a knowledge of the Business for a period of at least 2 years and these can include:

- Bankers
- Professional Advisers e.g. solicitor, accountant, auditors.
- Other professional organisation with whom you have had dealings.

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Section 6 - Declaration

I confirm that the information and answers given above are true to the best of my knowledge. I also confirm that I have received and considered the latest Intermediary Terms of Business and hereby agree to be bound by the terms and conditions therein.

Signed: _____ Title: _____ Date: _____

Section 7 - Application Submission Checklist * Please ensure all boxes are ticked

- | | |
|--|--------------------------|
| 1. Full details of company provided | <input type="checkbox"/> |
| 2. All requested company documentation provided | <input type="checkbox"/> |
| 3. KYC enclosed for all individuals named on this form | <input type="checkbox"/> |
| 4. Commission Details completed | <input type="checkbox"/> |
| 5. All Section "4" questions answered | <input type="checkbox"/> |
| 6. Names and addresses of two referees supplied | <input type="checkbox"/> |
| 7. Declaration signed | <input type="checkbox"/> |

Please return your form to: Nedgroup Investments (IOM) Limited, Samuel Harris House, St George's Street, Douglas, Isle of Man IM1 1AJ
Tel: +44 1624 690800 Fax: +44 1624 670630 Website: www.nedgroupinvestments.com

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