

Intermediary application

1. Applicant details

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

Company name			
Individual financial advisor names: (if appropriate)			
Registration number			
Registered office address		Postal address	
Postal code		Postal code	
Length of time at the above address:			
Telephone	(0)		
Fax	(0)		
E-mail address			
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.

2. Account manager details

This section is to be completed by your Nedgroup Investments Consultant.

Account manager:

3. Commission details

Commission is settled by electronic transfer in US dollars, sterling, euros or South African rands, 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

Bank address

Postal code

Account number

SWIFT code

Account name

Branch code

OR

Transfer to Nedgroup Investments account number

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? 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? 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? 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? 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? Yes ☐ No ☐

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

4. 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

Checklist

- ☐ 1. Full details of company provided
- ☐ 2. All requested company documentation provided
- ☐ 3. KYC enclosed for all individuals named on this form
- ☐ 4. Commission details completed
- ☐ 5. All Section "4" questions answered
- ☐ 6. Declaration signed

Please return your form to: Nedgroup Investments (IOM) Limited
First Floor
St Mary's Court
20 Hill Street
Douglas
Isle of Man IM1 1EU

Tel: +44 1624 645150
Fax: +44 1624 670630
Email: helpdesk@nedgroupinvestments.com
Website: www.nedgroupinvestments.com

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