COLLECTIVE INVESTMENT ACCOUNT APPOINTMENT FORM

For UK investors only

This form is for use where the applicant for, or existing Owner of, an Old Mutual International Isle of Man Limited (‘Old Mutual International’) International Portfolio Bond – Life/International Portfolio Bond – Redemption/Collective Redemption Bond/Collective Investment Bond (‘the Bond’) has requested a Collective Investment Account (‘CIA’) provided by Old Mutual Wealth Limited (OMWL) on our platform as an underlying investment.

You need to send this form to us at the same time as when you complete the CIA online submission form. We can act on faxed instructions so do not require originals.

Please send this completed form to:- Old Mutual International, King Edward Bay House, Kind Edward Road, Onchan, Isle of Man, IM99 1NU, British Isles.

Any reference to ‘Financial Adviser’ in this form means the individual detailed in section 5.

BOND OWNER DETAILS

Please complete all sections (in BLACK INK and BLOCK CAPITALS)

Full name(s) of Bond Owner (‘Bond Owner’)

Type of Bond ▶ delete as appropriate

International Portfolio Bond – Life/International Portfolio Bond – Redemption/Collective Redemption Bond/Collective Investment Bond

A – SWITCHING AUTHORITY (NON-DISCRETIONARY INVESTMENT MANAGEMENT)

For the purpose of this part of the agreement, the singular includes the plural and the masculine includes the feminine and neuter gender and in each case vice versa, unless the context indicates otherwise.

At the request of the Bond Owner, Old Mutual International will purchase a CIA. The Terms and Conditions of the CIA are recorded in the document and ‘terms and conditions for the collective investment account’ which is available from your Financial Adviser.

In order to facilitate switching on the CIA, Old Mutual International as legal owner of the CIA wishes to appoint the Bond Owner’s Financial Adviser as its agent in order for the Financial Adviser to give effect to the Bond Owner’s switch instructions in respect of the CIA. Any such instruction must fall within the list of acceptable assets disclosed in section 1 below. Old Mutual International requests that OMWL gives effect to this request.
SECTION 1: THE FINANCIAL ADVISER

- Will not act on a discretionary fund management basis and will only submit switch instructions to OMWL if they have received those switch instructions in writing from the Bond Owner. Where the Bond Owners are trustees, a valid switch instruction must convey the agreed decisions of all the trustees or, provided that the trust deed permits majority decisions, of a majority of the trustees.
- Will ensure that the switch instructions comply with the following Terms and Conditions. The Financial Adviser must not submit a switch instruction that is to purchase an asset or investment which:
  - would make the Bond a ‘personal portfolio bond’ in accordance with the Income Tax (Trading and Other Income) Act 2005 and any successor legislation;
  - is registered in a jurisdiction which is on an OECD, FATF or similar ‘blacklist’;
  - is not realisable on at least a quarterly basis;
  - does not fall within the meaning of S517 (Policies and Contracts) Income Tax (Trading and Other Income) Act 2005 and any successor legislation;
  - would put the CIA in an overdrawn position.
- Confirms that Old Mutual International has the right to audit their records to verify switch instructions were received from the Bond Owner.
- Undertakes to exercise this authority only in accordance with the permissions and authority granted to the firm under the Financial Services and Markets Act 2000 or any replacement legislation and shall be liable for complying with such legislation.

SECTION 2: OMWL

- Accepts no liability for any delay in receipt of switch instructions from the Financial Adviser or for any errors or omissions in any of the information entered by the Financial Adviser when switch instructions are submitted.
- May refuse to carry out any switch if the instruction is incomplete or unclear or relates to an asset which is not on the list of acceptable assets detailed in the agreement between Old Mutual International and OMWL.
- Will process switch instructions when they are deemed received by OMWL in accordance with the CIA Terms and Conditions.
- Is authorised to accept all switch instructions from the Financial Adviser until notified by Old Mutual International in writing that this authority is terminated.

SECTION 3: OLD MUTUAL INTERNATIONAL AND THE BOND OWNER

- Confirm that this authority shall continue in full force and effect until such time as written notification by Old Mutual International of termination or notification that the trustees of the trust (as Bond Owners) have changed.

SECTION 4: OLD MUTUAL INTERNATIONAL

- Will not send a notice of termination to OMWL until Old Mutual International has been informed in writing that the Financial Adviser has been changed or their legal status has been altered by the Bond Owner or if Old Mutual International has become aware that the Financial Adviser:
  - has been refused membership by, or has been expelled from, a professional organisation; or
  - is under investigation by, or has been the subject of disciplinary action by, a regulatory authority; or
  - has carried or is carrying out activities in a manner which could prejudice or be harmful to Old Mutual International’s reputation; or
  - ceases to hold the necessary authorisation due to change of law or regulation.

In these circumstances Old Mutual International reserves the right to send a notice of termination to OMWL without prior notification from the Bond Owner, and OMWL will cease to act on the instructions of the Financial Adviser.
## SECTION 5: FINANCIAL ADVISER – AUTHORISED SIGNATORY (FOR COMPLETION BY THE FINANCIAL ADVISER)

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By signing this declaration you confirm that the information in section 5 is correct and that you have read part A section 1, of this agreement, and you agree to act in accordance with it.

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B - A SUMMARY OF THE TERMS THAT WILL APPLY TO THE APPOINTMENT OF OMWL

At the request of the Bond Owner, Old Mutual International will purchase a CIA as an asset of the Bond. The Terms and Conditions of the CIA are recorded in a document entitled terms and conditions for the collective investment account. This summary records the additional terms that will be agreed between OMWL and Old Mutual International which will become effective when the CIA is opened and will automatically cease when the CIA closes.

Old Mutual International authorises OMWL, and OMWL agrees, to accept and act on investment instructions directly from the Financial Adviser provided they are within the following Terms and Conditions:

OMWL must not purchase an asset or investment if it:

- would make the Bond a ‘personal portfolio bond’ in accordance with the Income Tax (Trading and Other Income) Act 2005 and any successor legislation;
- is registered in a jurisdiction which is on an OECD, FATF or similar ‘blacklist’;
- is not realisable on at least a quarterly basis;
- does not fall within the meaning of S517 (Policies and Contracts) Income Tax (Trading and Other Income) Act 2005 and any successor legislation;
- would put the CIA in an overdrawn position.

OMWL shall provide Old Mutual International with additional reporting – details to be agreed in operating procedures.

C - DECLARATIONS

By the Bond Owner:

1. I hereby request that the Financial Adviser be appointed by Old Mutual International as Financial Adviser to the CIA to which my Bond is linked in accordance with the Terms and Conditions specified in part A. I authorise and request Old Mutual International to enter into the agreement, set out in Part A, to effect this appointment, and I acknowledge that I shall be responsible for any costs arising associated with the appointment of the Financial Adviser.

2. I request that Old Mutual International authorise OMWL to accept and act on switch instructions directly from the Financial Adviser provided they are within the following Terms and Conditions specified in part A. I authorise and request Old Mutual International to enter into an agreement, the terms of which are summarised in part B, to effect this appointment.

3. Disclaimer and Indemnity.
   I agree that Old Mutual International shall not be responsible for:
   a. any loss or liability to the Bond arising from the appointment of the Financial Adviser or arising from services rendered by the Financial Adviser to Old Mutual International; or
   b. any action or failure to take action by the Financial Adviser giving rise to any loss in the value of the Bond; or
   c. any failure on the part of the Financial Adviser to produce a reasonable investment return in relation to the CIA or Bond.

   Further, I will indemnify Old Mutual International against all claims, demands and actions against Old Mutual International in respect of such loss described above and all costs and expenses arising from or in respect of the activities, any failure to act or the performance of the Financial Adviser (including but without limitation the cost of defending in any Court any such claim, demand or action against Old Mutual International and the cost of recovering the investments of the CIA).

   I will agree with the Financial Adviser investment objectives for the CIA for which I will be wholly responsible. Old Mutual International will not be responsible for any investment strategy or objectives pursued by the Financial Adviser or myself, but I understand that Old Mutual International does place restrictions on the types of investments that may be selected as described in part B.

   This disclaimer and indemnity shall be governed by the laws of the Isle of Man.
C – DECLARATIONS (CONTINUED)

By the Bond Owner(s) and Old Mutual International:

1. We authorise OMWL to accept switch instructions, which includes online switch instructions, from the Financial Adviser detailed in section 5.

2. We understand that a copy of the documents entitled Key features of the collective investment account and Terms and Conditions for the Collective Investment Account are available from your Financial Adviser.

3. We understand that this agreement is not transferable and Old Mutual International and the Bond Owner must complete an additional form if a new Financial Adviser is to be appointed, or if the legal status of the Financial Adviser changes.

By signing this declaration you confirm that you have read this agreement and the declaration in part C.

First Bond Owner’s name

Signature of first Bond Owner

Date ▶

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Second Bond Owner’s name

Signature of second Bond Owner

Date ▶

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Third Bond Owner’s name

Signature of third Bond Owner

Date ▶

D D / M M / Y Y Y Y

Fourth Bond Owner’s name

Signature of fourth Bond Owner

Date ▶

D D / M M / Y Y Y Y

Old Mutual International Isle of Man Limited

Signature of Director

Date ▶

D D / M M / Y Y Y Y

Signature of Director/Company Secretary

Date ▶

D D / M M / Y Y Y Y

www.oldmutualwealth.co.uk
www.oldmutualinternational.com

Calls may be monitored and recorded for training purposes and to avoid misunderstandings.

Old Mutual Wealth is the trading name of Old Mutual Wealth Limited which provides an Individual Savings Account (ISA) and Collective Investment Account (CIA) and Old Mutual Wealth Life & Pensions Limited which provides a Collective Retirement Account (CRA) and Collective Investment Bond (CIB).

Old Mutual Wealth Life Assurance Limited, Old Mutual Wealth Limited and Old Mutual Wealth Life & Pensions Limited are registered in England & Wales under numbers 1363932, 1680071 and 4163431 respectively. Registered Office at Old Mutual House, Portland Terrace, Southampton SO14 7EJ, United Kingdom.

Old Mutual Wealth Life Assurance Limited and Old Mutual Wealth Life & Pensions Limited are authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Their Financial Services register numbers are 110462 and 207977 respectively.

Old Mutual Wealth Limited is authorised and regulated by the Financial Conduct Authority with register number 165359.

VAT number for all above companies is 386 1301 59.

Old Mutual International Isle of Man Limited is registered in the Isle of Man under number 24916C. Registered and Head Office: King Edward Bay House, King Edward Road, Onchan, Isle of Man, IM99 1NU, British Isles. Phone: +44 (0)1624 655 555 Fax: +44 (0)1624 611 715. Licensed by the Isle of Man Financial Services Authority.

Old Mutual International Isle of Man Limited is a member of the Association of International Life Offices.

Old Mutual International is registered in the Isle of Man as a business name of Old Mutual International Isle of Man Limited.

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