

APPLICATION FOR NOMINEES

1. Nominee details:

Name of Nominee:	
Nominee Address (for correspondence):	
Postcode:	
Scheme Reference / Designation:	
Email Address:*	
Legal Entity Identifier (LEI):	
Contact Number:	
Contact Name:	

*A valid email address is compulsory, as it will be needed to access all your correspondence relating to the plan.

Does the Nominee have a Global Intermediary Identification Number (GIIN) issued by the US Inland Revenue Services? Yes: ☐ No: ☐

If 'yes', please provide the GIIN:

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2. Investor Details (please copy sheet for additional investors)

Investor 1

Full Name:			
Permanent Address:			
Post Code:			
Date of Birth:			
Occupation:			
National Insurance (NI) Number:			
Nationality:			
Are you resident in the UK for Tax Purposes?	Yes: ☐ No: ☐		
Are you resident for Tax Purposes in any other country?	Yes: ☐ No: ☐		
If you have answered yes to the latter question, please input Country and Tax Reference:	<table border="1"><tr><td></td><td></td></tr></table>		

Investor 2

Full Name:			
Permanent Address:			
Post Code:			
Date of Birth:			
Occupation:			
National Insurance (NI) Number:			
Nationality:			
Are you resident in the UK for Tax Purposes?	Yes: ☐ No: ☐		
Are you resident for Tax Purposes in any other country?	Yes: ☐ No: ☐		
If you have answered yes to the latter question, please input Country and Tax Reference:	<table border="1"><tr><td></td><td></td></tr></table>		

What has created / is generating the funds being used to open this Plan?

Savings	☐	Salary/Bonus	☐	Inheritance	☐	
Pension	☐	Property Sale	☐	Matured investments	☐	
		Divorce Settlement	☐	Other (specify below)	☐	
<table border="1"><tr><td></td></tr></table>						

What has created / is generating the funds being used to open this Plan?

Savings	☐	Salary/Bonus	☐	Inheritance	☐	
Pension	☐	Property Sale	☐	Matured investments	☐	
		Divorce Settlement	☐	Other (specify below)	☐	
<table border="1"><tr><td></td></tr></table>						

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3. FSCS Information

Are any of the Ultimate Beneficial Owners who are investing in this Plan (please tick):

- ☐ A natural person: a human being, as opposed to an artificial or legal person like a company
- ☐ A medium-sized enterprise: Enterprises which employ fewer than 250 persons and which have an annual turnover not exceeding EUR 50 million, and/or an annual balance sheet not exceeding EUR 43 million.
- ☐ A small enterprise: Enterprises which employ fewer than 50 persons and whose annual turnover and/or annual balance sheet total does not exceed EUR 10 million.
- ☐ A microenterprise: Enterprises which employ fewer than 10 persons and whose annual turnover and/or annual balance sheet total does not exceed EUR 2 million.

4. Payment Details

All redemptions, maturity payments and income payments will be transmitted to the following bank / building society account. Payments can only be made into an account with a bank or building society within the UK Clearing System.

Bank / Building Society Name:			
Account Holder Name:			
Sort Code:		Account Number:	
		Building Society Ref. / Roll Number:	

5. Source of Funds – what has created / is generating the funds being used to open this plan?

Accumulated Savings	☐	Pension Lump Sum	☐	Employment related (e.g. Bonus)	☐
Property Sale	☐	Inheritance	☐	Reinvestment of matured funds	☐
Transfer from another provider	☐	Other (please state)			

6. Investment Details (minimum £3,000)

Plan Name:

Amount (£):*

Financial Adviser fee: £ OR % This is a percentage of the total payment you make to us. For example, if you pay us £10,100 and enter 1% as the fee, we will pay your adviser £101.

OR Fees settled directly with Financial Adviser: ☐

* Investment amount must be in whole pounds.

7. Payment Details

Please submit the above investment amount to Dura Capital Limited by bank transfer to the details below:

Bank Name:	HSBC Bank
Account Name:	Dura Capital Ltd Client Money
Sort Code:	40 – 41 – 70
Account Number:	93002721
IBAN:	GB58MIDL40417093002721
Payment Reference (MANDATORY):	Please use your Legal Entity Identifier (LEI)

8. Data Protection – use of your data

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Dura Capital Limited is committed to processing your data in accordance with UK GDPR and the Data Protection Act 2018. We may use your personal data to provide you with services you request from us, manage your accounts, make decisions, detect and prevent fraud, for analysis and assessment, and to ensure that we comply with legal and regulatory requirements. For further details of how Dura Capital Limited uses your information, please read our Data Protection Statement on our website www.duracapital.co.uk or ask for a printed copy.

☐ I / We do not wish to receive marketing information by post and telephone.

By signing this form, you agree that we can use and disclose your information in the ways described in our Data Protection Statement, as amended or updated from time to time.

9. Declaration

I/We, the Nominee, declare that I/We are authorised on behalf of the Investor, to give all types of instructions relating to this investment.

- I/We confirm that the information given on this application at the date of signing is true, complete and correct to the best of our knowledge and belief.
- I/We declare that I/We understand the Plan brochure, including the Plan Risks, and accept the Terms and Conditions and agree to be bound by the Terms and Conditions under which our Plan will be managed.
- I/We acknowledge that in order to comply with its obligations under UK tax legislation, Dura Capital Limited may request me/us to provide additional information and/or documentation related to the tax status of my/our organisation and any trustee, settlor, protector or beneficiary. I/We agree to comply at all times with such a request from Dura Capital Limited within the time specified by Dura Capital Limited in its request.
- I/We agree to advise Dura Capital Limited within 30 days in writing of any changes in the information contained in this Application Form, including any. Changes to the Nominee. I/We agree to provide evidence of the change if I am/we are asked to.
- In accordance with the tax requirements applicable in the country/countries in which I am/we are resident for tax purposes, I/we have established where each Investor is resident for tax purposes, and I/we have complied or will comply with all relevant reporting requirements in respect of that investor.
- I/We confirm that I/we have the full power to invest in the Plans and have taken all action necessary to authorise the completion of this application and the person(s) signing this Application Form have full power, consents and authority to do so on our behalf.
- I/We are not acting on behalf of a resident of the United States or a U.S. Person (as defined under the Internal Revenue Code of 1986, as amended) and I/we will not assist any person who is resident in the United States or a U.S. Person to acquire an interest in the Plan
- I/We agree to inform you immediately should I/we believe anyone connected with the trust becomes a resident of the United States or a U.S. Person.
- I/We are not acting on behalf of a person who is in the United States or who is a U.S. Person (as defined in Regulation S under the U.S. Securities Act of 1933, as amended).
- I/We authorise Dura Capital Limited to hold the subscriptions, Plan Investments, interest and any other rights or proceeds in connection with our investments and any other cash and upon our request to transfer or pay to the Nominee any investments, interest, rights or other proceeds in connection with such investments.
- I/We accept that the Plan Manager will only provide an annual statement on the value of the Plan.
- I/We confirm that I/we have read and understood the Key Information Document and Plan Brochure(s), including Plan risks and selling restrictions, and the Terms and Conditions under which your Plan will be managed.

NOTES:

1. Money Laundering Regulations (as amended): Under the regulations there is a legal requirement to prove the identity of people who wish to make an investment. In order to comply with these regulations, we require the Verification of Identity Section of this form to be completed.
2. Your Plan is designed to be held without change until it matures. The interim value of the underlying investment of the Plan does not directly impact on the benefits generated. The capital return from the Plan depends on the level of the Index/Indices at maturity and its/their performance throughout the Plan Term, which can be obtained from us or from public sources. We will send you Plan Statements once a year with information on how your Plan is progressing.
3. Capitalised terms unless otherwise defined, have the meanings given to them in the Terms and Conditions within the Plan brochure.

10. Your signature (please copy sheet for additional Signatories)

Authorised Signatory 1:

Signature:

Full Name:

Capacity:

Date:

Authorised Signatory 2:

Signature:

Full Name:

Capacity:

Date:

PLEASE PROVIDE AN UP-TO-DATE LIST OF AUTHORISED SIGNATORIES (INCLUDING SAMPLE SIGNATURES) WHEN YOU SUBMIT THIS APPLICATION FORM.

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11. Adviser Section

Name of Registered Individual:			
Name of Company:			
Address:			
		Post Code:	
Telephone Number:			
Email Address*:			
*This email address will be used to access our administration system, therefore we recommend using an email address that all relevant members of your team have access to, if appropriate.			
Are you a member of a network?	Yes ☐	No	☐
If Yes, are you:	Directly authorised: ☐	An Authorised representative:	☐
Name of network:			
Financial Services Register Ref:			
Principal's Financial Services Register Reference (if applicable):			

Please tick ONE of the following to confirm.

This was an advised sale: ☐ This was a non-advised sale with appropriateness: ☐

- I declare that the information stated in the application has been completed to the best of my knowledge and belief and I have agreed any adviser charge with the applicant.
- I have provided the applicant with a Plan Brochure and Key Information Document.
- I confirm that all dealings with the applicant have been carried out in accordance with the requirements of the FCA Handbook and in accordance with my obligations under Dura capital's current Terms of Business.
- I confirm that where I have provided the applicant with investment advice in relation to the product(s) in accordance with the guidance set out in the Plan documentation, I have assessed the suitability of this product with respect to the applicant's investment objectives and circumstances. Where conducting business on a non-advised basis, I have found the Plan to be appropriate for the applicant's investment objectives and circumstances.
- I acknowledge my responsibility to evaluate all information on the Plan and confirm that where I have given advice, I have the necessary knowledge and experience to be deemed competent to assess the Plan and its suitability to an applicant's circumstances and investment objectives, and that the applicant matches the description of the 'intended retail investor' in the Plan KID.
- I agree to inform Dura Capital if the applicant has any specific vulnerabilities we feel you should be aware of, or additional communication needs (e.g. documents to be provided in Braille). I will inform Dura Capital by calling 0204 582 2798 or emailing adminenquiries@duracapital.co.uk.

Tick to confirm declaration above ☐

Verification of Identity

I confirm that:

- The information was obtained by me in relation to the applicant(s);
- The evidence I have obtained to verify the identity of the applicant(s) meets the standard evidence set out within the Guidance Notes for the UK Financial Sector issued by the JMLSG in 2007;
- I have carried out appropriate identity checks on all parties relevant to this application and have retained copies of the completed Verification of Identity Certificates and supporting documentation, which I understand Dura Capital may request at any time and may rely on.

Tick to confirm declaration above ☐

Authorised
Signatory:

Full Name:

Date:

Job Title:

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