

1. Corporate & Shareholder details:

| | |
|--|--|
| Name of Corporate: | <input type="text"/> |
| Registered Address: | <input type="text"/> |
| (For correspondence) | <input type="text"/> |
| | <input type="text" value="COUNTY OF INCORPORATION"/> |
| | <input type="text" value="POSTCODE"/> |
| Registered Number: | <input type="text"/> |
| Trading Address/Principal business address (if different to registered address): | <input type="text"/> |
| | <input type="text" value="POSTCODE"/> |
| Tax reference numbers: | <input type="text"/> |
| LEI (not mandatory): | <input type="text"/> |
| Contact number: | <input type="text"/> |
| Contact email address: | <input type="text"/> |

2. Authorised Signatories

| Signatory 1 | | Signatory 2 | |
|-----------------------|---|-----------------------|---|
| Full Name: | <input type="text"/> | Full Name: | <input type="text"/> |
| Position: | <input type="text"/> | Position: | <input type="text"/> |
| Address: | <input type="text"/> | Address: | <input type="text"/> |
| | <input type="text"/> | | <input type="text"/> |
| | <input type="text" value="COUNTY"/> | | <input type="text" value="COUNTY"/> |
| | <input type="text" value="POST CODE"/> | | <input type="text" value="POST CODE"/> |
| Country of Residence: | <input type="text"/> | Country of Residence: | <input type="text"/> |
| Date of Birth: | <input type="text" value="DD"/> <input type="text" value="MM"/> <input type="text" value="YYYY"/> | Date of Birth: | <input type="text" value="DD"/> <input type="text" value="MM"/> <input type="text" value="YYYY"/> |
| Nationality: | <input type="text"/> | Nationality: | <input type="text"/> |

3. Ultimate Beneficial Owner (UBO)

Please provide details of all UBOs with 25% or more direct or indirect holding. Please photocopy if more than one.

| | |
|-----------------------|---|
| Full Name: | <input type="text"/> |
| Address: | <input type="text"/> |
| | <input type="text" value="POST CODE"/> |
| Country of Residence: | <input type="text"/> |
| Date of Birth: | <input type="text" value="DD"/> <input type="text" value="MM"/> <input type="text" value="YYYY"/> |
| Nationality: | <input type="text"/> |

4. Tax Status

Dura Capital Limited is obliged by UK tax legislation to identify and report to HM Revenue and Customs personal information and account details relating to clients who are resident for tax purposes in certain countries (e.g. the USA). As part of this we may ask you for additional information and/or documentation from time to time relating to the tax status of:

- a) the company;
- b) anyone who owns 20% or more of the company, or who has 20% or more of the voting rights in the company;
- c) where the company is owned by another organisation, any individuals who are the ultimate beneficial owners of the company;
- d) anyone who controls the business decisions of the company, e.g. directors.
- e) List all countries where the company is resident for tax purposes. This usually means the country/countries where you have an obligation to pay taxes or file tax returns. Please also provide the company's associated Tax Identification Number (TIN). A TIN is the tax reference number issued to you by the tax office in the country where you are resident for tax purposes. Where a country does not issue a TIN, please provide an equivalent number for example, a business or company registration number or other similar form of identification.

| | | | |
|----------|----------------------|------|----------------------|
| Country: | <input type="text"/> | TIN: | <input type="text"/> |
| Country: | <input type="text"/> | TIN: | <input type="text"/> |
| Country: | <input type="text"/> | TIN: | <input type="text"/> |
| Country: | <input type="text"/> | TIN: | <input type="text"/> |

Is the company resident for tax purposes in any country/countries other than those stated above? Yes ☐ No ☐

If yes, please photocopy this page and provide details.

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

If it does, please provide the GIIN:

5. FSCS information

Are any of the ultimate beneficial owner(s) of and who are investing in this Plan (please tick):

- Natural person: A human being, as opposed to an artificial or legal person like a company. ☐
- Medium-sized enterprise: Made up of enterprises which employ few than 250 persons and which have an annual turnover not exceeding EUR 50 million, and/or an annual balance sheet no exceeding EUR 43 million. ☐
- Small Enterprise: An enterprise which employs fewer than 50 persons and whose annual turnover and/or annual balance sheet total does not exceed EUR 10 million. ☐
- Microenterprise: An enterprise which employs fewer than 10 persons and whose annual turnover and/or annual balance sheet total does not exceed EUR 2 million. ☐

6. Payment Details

All redemptions will be transmitted to the following bank/building society account. Payments can only be made into an account with a bank of building society within the UK Clearing system.

| | |
|--|---|
| Bank / Building Society Name: | <input type="text"/> |
| Account Holder Name: | <input type="text"/> |
| Sort Code: | <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"/> |
| Account Number: | <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"/> |
| Building Society Reference or Roll Number: | <input type="text"/> |

7. Investment Details (Minimum £3,000.00)

| Product Name | Amount (£)* | Adviser Fee (£ or %) | Adviser Fee has been settled Directly with Customer (circle) |
|--------------|-------------|----------------------|--|
| | | | YES NO |

***Investment amount must be in whole pounds.**

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

| | |
|--------------------------------|---|
| Bank Name: | HSBC Bank |
| Account Name: | Dura Capital Client Money Holding Account |
| Sort Code: | 40 – 02 – 50 |
| Account Number: | 71426273 |
| IBAN: | GB85MIDL40025071426273 |
| Payment Reference (MANDATORY): | Please use your Legal Entity Identifier (LEI) |

8. 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):

9. Data Protection – uses of your data

Dura Capital Limited is committed to processing your data in accordance with the Data Protection Act 1998. 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.

10. Declaration

I/We, the Company, 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 Company. 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 Trust/Bond. 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 Company 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.
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11. Your signature (please copy sheet for additional Signatories)

| | | |
|-----------------------------|--|---------------------------------|
| Authorised Signatory | | Date: ____ / ____ / ____ |
| Full Name: | | |
| Capacity | | |

| | | |
|-----------------------------|--|---------------------------------|
| Authorised Signatory | | Date: ____ / ____ / ____ |
| Full Name: | | |
| Capacity | | |

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

12. Adviser Section

| | | | |
|--------------------------------|-----|--|------------|
| Name of Registered Individual: | | | |
| Name of Company: | | | |
| Address: | | | |
| | | | Post Code: |
| Telephone Number: | +44 | | |
| Email Address: | | | |

Are you a member of a network? Yes ☐ No ☐ If yes, are you directly authorised ☐ or an authorised representative? ☐

Name of network:

Financial Services Register reference number:

Principal's Financial Services Register reference number (if applicable):

Please tick ONE of the following to confirm.

☐

Tick to confirm this was an advised sale

☐

Tick to confirm 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 believe and I have agreed any adviser charge with the applicant.

I have provided the investor with a Plan Brochure and Key Information Document.

I confirm that all dealings with the investor 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 customer 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 customer's investment objectives and circumstances. Where conducting business on a non-advised basis, I have found the Plan to be appropriate for the customer's investment objectives and circumstances.

I acknowledge my responsibility to evaluate all information on the Plan and confirm that were 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.

☐

Tick to confirm declaration above

Verification of Identity

I confirm that:

The information was obtained by me in relation to the customer(s);

The evidence I have obtained to verify the identity of the customer(s): meets the standard evidence set out within the guidance Notes for the UK Financial Sector issued by JMLSG in 2007;

I have carried out the 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 | | Date: ____ / ____ / ____ |
| Full Name: | | |
| Job Title: | | |

Please return the completed and signed Form to: Dura Capital Limited, PO Box PO BOX 1233, St Albans, AL1 9HU.

If you have difficulty in reading our literature, please call us on **0330 678 1111**. We can supply this in a range of formats including large print, audio & Braille.