Nucleus Offshore Bond application form

(for individual clients only)

Completing the form

Please make sure you complete all sections of the form. You must also send documents that prove your identity and address, and where needed, source of funds. These documents must meet RL360's certification and regulatory requirements (see page 15). If anything is missing, your application will be delayed. You can send documents by post or through our secure messaging system (Jira).

Please do not send payment until RL360 approves your application

Returning the form

Please return the completed form via Jira messaging or by post to:

Nucleus
PO Box 26968
Glasgow
G2 9DY

We do not accept documentation by email. The Nucleus Offshore Bond is provided by RL360 Insurance Company Limited (RL360) and they will require information to set up your account. Please review our '0332 Offshore Bond Guidance for new business applications' before completing this application.

Signing the form

We can accept handwritten signatures, or electronic signatures using DocuSign or Adobe Sign only.

All signatures must be dated to avoid any processing delays.

If you have any questions please contact our client relations team on 0131 226 9535, or by email on client.relations@nucleusfinancial.com.

Additional Support

We recognise that personal circumstances, life altering events, or health issues could mean that you need some extra support. If there is anything we can do to help make dealing with us easier, please speak to one of our team and we'll work with you to put the right help in place. For more informaton on the types of support we can offer, visit nucleusfinancial.com/supporting-customers.

We aren't authorised to provide financial advice, so we can't provide you with any recommendations or guidance.

All applicants and lives assured must be UK resident. If you are a US person or US resident you cannot proceed with this application.

Nucleus Offshore Bond application form continued

Section 1

Applicant details - first applicant

Miss Mr Mrs Other (please state)

Full name

Male Female

Date of birth

Country of birth

Nationality

Country or countries of tax residence

National Insurance number and/or Tax Identification number

Length of time at current address years months

Current residential address

Postcode

Country of residence

Are you a US specified person?

Yes No

All applicants and lives assured must be UK resident. If you are a US person or US resident you cannot proceed with this application.

* Please see page 15 for a definition of a US Specified Person

Additional contact details

Telephone (home)

Telephone (work)

Telephone (mobile)

Your previous details

Previous names or aliases

Previous residential address (if less than three years at above address)

Postcode

Correspondence address

Address

Postcode

Is this correspondence address for

You Power of Attorney A family member

Other (please specify)

Applicant 1 address and identity documents provided, see page 15 for requirements

Nucleus Offshore Bond application form continued

Applicant details - second applicant

Miss Mr Mrs Other (please state)

Full name

Male Female

Date of birth

Country of birth

Nationality

Country or countries of tax residence

National Insurance number and/or Tax Identification number

Length of time at current address years months

Current residential address

Postcode

Country of residence

Are you a US specified person?

Yes No

All applicants and lives assured must be UK resident. If you are a US person or US resident you cannot proceed with this application.

* Please see page 15 for a definition of a US specified person

Additional contact details

Telephone (home)

Telephone (work)

Telephone (mobile)

Your previous details

Previous names or aliases

Previous residential address (if less than three years at current address)

Postcode

Correspondence address

Address

Postcode

Is this correspondence address for

You Power of attorney A family member

Other (please specify)

Applicant 2 address and identity documents provided, see page 15 for requirements

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Section 2

Lives assured details

Is the first applicant a life assured? Yes ☐ No ☐

Is the second applicant a life assured? Yes ☐ No ☐

You may have up to six lives assured on your policy, inclusive of any applicants chosen as lives assured. At least one life assured must be younger than age 76 when the policy starts.

All applicants and lives assured must be UK resident. If you are a US person or US resident you cannot proceed with this application.

Additional lives assured (1)

Miss ☐ Mr ☐ Mrs ☐ Other (please state)

First name(s)

Surname

Male ☐ Female ☐

Date of birth

Address

Country of birth

Nationality

Additional lives assured (2)

Miss ☐ Mr ☐ Mrs ☐ Other (please state)

First name(s)

Surname

Male ☐ Female ☐

Date of birth

Address

Country of birth

Nationality

Additional lives assured (3)

Miss ☐ Mr ☐ Mrs ☐ Other (please state)

First name(s)

Surname

Male ☐ Female ☐

Date of birth

Address

Country of birth

Nationality

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Additional lives assured (4)

Miss Mr Mrs Other (please state)

First name(s)

Surname

Male Female

Date of birth

Address

Country of birth

Nationality

Additional lives assured (5)

Miss Mr Mrs Other (please state)

First name(s)

Surname

Male Female

Date of birth

Address

Country of birth

Nationality

Additional lives assured (6)

Miss Mr Mrs Other (please state)

First name(s)

Surname

Male Female

Date of birth

Address

Country of birth

Nationality

Nucleus Offshore Bond application form continued

Section 3

Premium

Minimum contribution of at least £50,000

If the contribution amount changes after submitting your application, please contact us, as RL360 may request additional information.

Please do not send any funds until the application has been approved by RL360.

* Please see page 14 for large investors source of funds procedure, please ensure all source of funds fields are completed. RL360 reserves the right to request evidence.

See www.rl360adviser.com/generic/downloads/rl275-source-of-wealth-form.pdf for further guidance.

Source of funds

Please provide us with the details of your bank account that you will use to fund your policy.

Bank name

Bank address

Postcode

Account holder's name

Account sort code – –

Account number

Account held for years months

If you are funding your policy from more than one bank account please confirm the details of the additional bank account below and then the reason for this in the additional notes section.

Bank name

Bank address

Postcode

Account holder's name

Account sort code – –

Account number

Account held for years months

Additional notes

If money is sent to RL360 from a bank account different from the one noted above, RL360 will require evidence of the bank account from which the payment was made, including proof of the transaction, if money is being sent in tranches, please confirm the reason why in the additional notes section above.

Section 4

The Isle of Man Financial Services Authority requires all Isle of Man life companies to make enquiries as to how an applicant has acquired the monies to be used as payment for their plan. This reflects the Isle of Man's commitment to maintain the highest possible standards of business practice and to counter money laundering and the financing of terrorism.

RL360 has adopted a risk-based approach to meet these regulations, categorising our products and countries that we will accept business from into Standard or Higher risk. We have categorised countries according to their level of compliance with international regulatory standards.

You must complete the below sections for each applicant in full along with the other relevant questions in this section. All applicants are subject to Customer Due Diligence (CDD). This means that we require their employer details. Please use section 7 – Additional Notes should you need to provide additional clarification or information. RL360 reserve the right to request additional information or evidence in regards to source of wealth/funds.

First applicant

Earned income (including currency)

This year	Last year	Previous year

Occupation

Employer's company name

Nature of business

If you are retired, please complete the following

Previous occupation	
Previous salary	
Employer's company name	
Nature of business	
Date retired	

If you have any unearned income please provide the details of amount received (inc currency).

This year	Last year	Previous year

Received from

Date received

Second applicant

Earned income (including currency)

This year	Last year	Previous year

Occupation

Employer's company name

Nature of business

If you are retired, please complete the following

Previous occupation	
Previous salary	
Employer's company name	
Nature of business	
Date retired	

If you have any unearned income please provide the details of amount received (inc currency).

This year	Last year	Previous year

Received from

Date received

Nucleus Offshore Bond application form continued

Please confirm your source of funds for this application by completing the relevant boxes below. In each case please provide further information in the additional notes section of this application form (section 7).

Failure to complete the following sections will result in delays to RL360 processing your application. RL360 need to know:

- How the funds have been accumulated and over what time period

- How the applicant acquired the funds originally

The following section must be completed in all cases, if the investment is coming from multiple sources, please complete all the relevant sections.

First applicant

Savings

Amount accumulated (include currency)

How were the savings accumulated?

Time frame in years it took to generate the level of savings

Please detail the bank or building society where the savings were held

Property or asset sale

Address of property or the name of the company of the asset sale

Postcode

Company name

Amount received (include currency)

Date of sale

How long have the assets or the property been held for?

Where have the proceeds been held since date of sale?

Company profits

Name of company

Profits this year (include currency)

Profits last year (include currency)

Nature of business

Date received

Company sale

Name of company

Amount received (include currency)

Nature of business

Date of sale

Pension transfer

Name of pension provider

Amount received (include currency)

Date received

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Gift

Name of person(s) providing the gift

Relationship between the recipient and provider of the gift

How were the proceeds of the gift accumulated?

Reason for the gift

Amount received (include currency)

Date received

Inheritance

Name of deceased

Date of death

Relationship between the deceased and the benefactor

Amount received (include currency)

Date received

Lottery/betting win

Details of the organisation

Amount received (include currency)

Date received

Please provide a suitable certified copy letter of the lottery winnings or a suitable certified copy of the betting/lottery ticket.

Second applicant

Savings

Amount accumulated (include currency)

How were the savings accumulated?

Time frame in years it took to generate the level of savings

Please detail the bank or building society where the savings were held

Property or asset sale

Address of property or the name of the company of the asset sale

Postcode

Amount received (include currency)

Date of sale

How long have the assets or the property been held for?

Where have the proceeds been held since date of sale?

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Company profits

Name of company

Profits this year (include currency)

Profits last year (include currency)

Nature of business

Date received

Company sale

Amount received (include currency)

Name of company

Nature of business

Date of sale

Pension transfer

Name of pension provider

Amount received (include currency)

Date received

Gift

Name of person(s) providing the gift

Relationship between the recipient and provider of the gift

How were the proceeds of the gift accumulated?

Reason for the gift

Amount received (include currency)

Date received

Inheritance

Name of deceased

Date of death

Relationship between the deceased and the benefactor

Amount received (include currency)

Date received

Lottery/betting win

Details of the organisation

Amount received (include currency)

Date received

Please provide a suitable certified copy letter of the lottery winnings or a suitable certified copy of the betting/lottery ticket.

Please do not send any funds until the application has been approved by RL360.

Section 5

Regular withdrawals

Please complete this section if you would like to receive a regular withdrawal from your Nucleus Offshore Bond. If you do not wish to set up a regular withdrawal at this stage, please continue to the next section.

Payments to third parties are not acceptable.

Withdrawals in excess of 5% per annum of your total premiums paid (including additional investments) from an offshore bond in any policy year will give rise to a chargeable event and this may result in a tax charge (unless the 5% allowance from previous years has not been used). Please refer to your adviser for further information.

The above information is based on our current understanding of HMRC's law and practice which is subject to change.

This section should only be completed if regular withdrawals are required (minimum £200).

Regular withdrawal amount

£

Or percentage of the premium

%

Payment frequency

Monthly Quarterly Half yearly Annually

Preferred start date

Section 6

Adviser declaration

Adviser Firm name

FCA number

Adviser name

Work telephone number

Mobile telephone number

Email address

I confirm I have seen documentary proof of the applicant(s) identity, and certification of their residential address, and have, where applicable, attached suitably certified copies of both as set out in the completion notes, along with this application.

Signed (electronic or handwritten signature)

Print name

Date

Section 7

Additional notes (if required)

Section 8

Declaration and authorisation

Literature

I confirm that I have read a copy of the Nucleus Offshore Bond product literature including the key features, key information document and the terms and conditions.

My application

By signing this application I agree to my policy being governed by the Nucleus Offshore Bond terms and conditions.

I declare that the information provided in this application form is are true to the best of my knowledge and that I have not withheld any information that may influence the assessment or acceptance of this application.

I give my express consent for the information in this form to be processed.

I agree that any supplementary questionnaire will form part of my application to the company and that non-disclosure of any material fact known to me may invalidate the contract.

I have supplied proof of address and identity documents to my adviser.

Availability

I am not resident in the USA. I confirm that to the best of my knowledge and belief, I am not subject to any legislation that would make my investment unlawful.

Politically Exposed Persons

A Politically Exposed Person (PEP) is a person who is, or who has been, entrusted with prominent public functions. This also includes their close family members and their close associates.

Examples of PEP's include political figures, members of the judiciary, diplomatic service officers, managers and supervisors of state owned enterprises and senior ranking military officers.

Are you, any of your family members or any of your close associates a PEP?

Yes ☐ No ☐

If Yes, please provide the following details and complete the supplementary Source of Wealth Form www.rl360adviser.com/generic/downloads/rl275-source-of-wealth-form.pdf.

Surname

Forename(s)

Position held as PEP

Country position held

Dates position held

From To

If the PEP is a family member or close associate, please confirm the relationship

Adviser

I have appointed

(company name) to act as my adviser. I agree to RL360 disclosing all information relating to my policy to Nucleus and to my appointed adviser. I will let RL360, via Nucleus, know in writing if I decide to change my appointed adviser.

Investment

I am aware that RL360 does not provide investment advice and that any published acceptable investment list should not be considered a recommendation. I am aware that all investment dealing and transactions will be performed via Nucleus, and will be subject to their term and conditions.

Individual applications

I confirm that I have the necessary powers to take out this policy and enter into a contract with RL360. I agree that we will provide evidence of identity and current residential address when asked for it. I am aware that a bank reference can be requested at any time.

Data Protection Act - Nucleus

We take the privacy and security of your personal information very seriously. The information you (or a third party) provide us with will be processed in accordance with our Privacy Notice which you can access at nucleusfinancial.com/privacy-notice.

Data Protection Act - RL360

This form collects your personal data. RL360 requires your personal data so they can provide you with services relating to the performance of your contract. You may ask us to stop processing your data, however this may disrupt the services RL360 can provide to you or may stop us being able to assist you. To find out how long RL360 will keep your data, please refer to their privacy policy at www.rl360.com/privacy. Any data you provide to RL360 may be shared, if allowed by law, with other companies both inside and outside of RL360 and to persons who act on your behalf. Data and information about you can be transferred outside of the Isle of Man and RL360 may be required to provide it to its regulator, its government or anyone else required by law.

RL360 will use your data and information to allow for the administration of your policy, prevent crime, prosecute criminals and for market research and statistics. RL360 will, at all times, make sure that your data and information is only used in ways that are allowed by law.

You can receive a copy of the information RL360 holds about you free of charge by writing to our Data Protection Officer at: RL360, International House, Cooil Road, Douglas, Isle of Man, IM2 2SP, British Isles, or by emailing dpo@rl360.com. We can reserve the right to not send you your personal data in some circumstances if we do we will write to you setting out the reasons why.

RL360's full privacy statement can be viewed at www.rl360.com/privacy or can be obtained by requesting a copy from our Data Protection Officer.

Cancellation rights

I am aware that I have the right to cancel my policy and obtain a refund of the premium paid to RL360 less any reduction as a result of investment performance, by giving written notice within 30 days of my receiving the cancellation notice. I agree to provide RL360 with signed notice within 30 days of receiving the cancellation notice should I wish to cancel the policy.

Legal

I agree to the policy being governed by Isle of Man law and to the Isle of Man Courts having the right to decide any case that may be brought in relation to the policy.

Final agreement

I agree to the following documents forming the basis of the contract between me and RL360

- This application form
- The terms and conditions
- The policy schedule
- The policy illustration
- Any endorsements to the policy schedule
- Any other document that evidences a change in the contract

I am aware that some aspects of my policy will operate as defined in the Nucleus terms and conditions.

I accept that RL360 can bring the contract to an end if I have failed to detail any facts that may influence the decision to accept this application.

I am aware that RL360 cannot accept applications where the advice is received (whether by letter, fax, email, telephone or in person) or the application form is signed in the USA.

I will not send my investment to RL360 until they have approved my application.

I/we confirm that this application form was signed in (please give country)

Signatures

Applicant 1 (electronic or handwritten signature)

Signed

Print name in full

Date

Applicant 2 (electronic or handwritten signature)

Signed

Print name in full

Date

Section 9

Document checklist

Large Investors

Full details on the source of wealth procedures can be obtained from your adviser.

If source of wealth evidence is required please select the appropriate box(es) in the table below and attach copies of the evidence requested when submitting this application. In all cases copy evidence must be countersigned by a 'suitable certifier' acceptable to RL360 Insurance Company Limited (see guidance notes below).

If source of wealth evidence is not required, please leave this section blank.

Source of wealth	Evidence required	Attached
Income from employment	Certified copy of your last three month's payslips, confirming your income from your employer, copy of your recent accounts if you are self-employed, or equivalent documentation.	
Other income or capital	Relevant certified documentation to verify the source of wealth	
Lottery or betting win	Certified copy of the confirmation letter or cheque confirming the win from the relevant organisation, or equivalent documentation	
Company sale	Certified copy of the sale agreement or equivalent documentation	
Gift	Certified copy of identification for gift donor and suitable documentation to verify source	
Policy claim	Certified copy of solicitor's letter or court order, or other equivalent documentation.	
Compensation payment	Certified copy of solicitor's letter or court order, or other equivalent documentation.	
Property sale	Certified copy of sale agreement or equivalent document	
Inheritance	Certified copy of the will, solicitor's letter or equivalent documentation	
Any other source not listed above	Relevant certified documentation to verify source of wealth	

Verification of your identity and current residential address

In order to satisfy the Isle of Man's Insurance (Anti-Money Laundering) Regulations 2008, RL360 are required to check your identity and current residential address. Documents to evidence your identity must be the most recent available to you. Documents to evidence your current residential address must be the most recently issued and ideally not more than three months old. All copy documentation provided should be suitably certified.

Documents that can be accepted as satisfactory evidence of identity

- A valid 'full' passport, true to size and full passport must be visible
- photo driving licence*

  * If driving licence is used for ID it can't also be used for address verification as well.

Where the above documents are not available, two government issued certified documents with appropriate reference numbers will be considered.

Documents that can be accepted as satisfactory evidence of your current residential address

- A current driving licence.
- A photographic National identity card.
- A utility, rates or council tax bill, dated within the last 6 months. Mobile telephone bills are not acceptable.
- A state pension, benefit book or other government produced document showing benefit entitlement.
- An account statement from a regulated bank, building society or credit card company, dated within the last 6 months. Statements featuring a "care of" or accommodation address are not acceptable. Non-bank cards, such as store cards are not acceptable.
- Proof of ownership or rental of the residential address.
- A mortgage statement, dated within the last 6 months.
- A full tenancy agreement, in date and signed by all parties.

US Specified Person

US Specified Person means a US citizen or tax resident individual, who either holds a US passport, a US green card, has a US residential/ correspondence address or who was born in the US and has not yet renounced their US citizenship. More information on US FATCA can be found at www.irs.gov/Businesses/Corporations/Foreign-Account-Tax-Compliance-Act-FATCA.

All applicants and lives assured must be UK resident. If you are a US person or US resident you cannot proceed with this application.

Suitably certified copy documentation

RL360 can accept certification of copy documents by your financial adviser, assuming they hold established terms of business and, where appropriate, have been granted 'suitable certifier' status. Please consult your adviser to determine if they can certify your documents.

Where 'suitable certifier' status is not held, RL360 will only accept certification by one of the following 'suitable certifiers'

- A notary public (or equivalent).
- A commissioner for oaths.
- A lawyer.
- A formally appointed member of the judiciary.
- An employee of RL360

The certifier must

- Add the statement 'Certified as a true copy taken from the original'.
- Sign and date the copy document on all pages.
- Print their name clearly in block capitals underneath their signature.
- Record the capacity or position in which they are certifying the document.
- Add their company name or official stamp or seal.

The documents received must contain the original certification and stamp.

When photocopying any document please ensure the photocopy is true to size. We are unable to accept copies reduced in size. You should also ensure the copy is legible.

For literature in alternative formats, such as Braille, large print, audio or E-text, please call us on 0131 226 9535, or via the Typetalk service on 18001 0131 226 9535.

Please note that telephone calls may be recorded in order to monitor the quality of our customer service and for training purposes.

0131 226 9535 client.relations@nucleusfinancial.com www.nucleusfinancial.com

"Nucleus", "NFS" and "Nucleus Financial Services" are the trading names of Nucleus Financial Services Limited (NFS) (registered in England number 05629686); Nucleus Financial Limited (NF) (registered in England number 05522098); Nucleus Trustee Company Limited (NTC) (registered in Scotland number SC312652); and NFS (Nominees) Limited (NFSN) (registered in England number 07621355). NFS, NF and NFSN have their registered office at Suite B & C, First Floor, Milford House, 43-55 Milford Street, Salisbury, SP1 2BP. NTC has its registered office at 12 Blenheim Place, Edinburgh EH7 5JH. NFS is authorised and regulated by the Financial Conduct Authority. NFS and NF are members of a VAT group with VAT registration number 514 0358 80. NFS, NF, NTC and NFSN are all wholly owned subsidiaries of Nucleus Financial Platforms Limited (registered in England, number 06033126) whose registered office is at Suite B & C, First Floor, Milford House, 43-55 Milford Street, Salisbury, SP1 2BP. All companies are members of the Nucleus Group. Further details of the Nucleus Group can be found at nucleusfinancial.com. (12/24)

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