



**Canada Life**  
International

To be used for

- Fund adviser nomination
- Third party platform nomination
- Professional adviser nomination
- Discretionary fund manager nomination

# Investment administration form

*Form*



## Contents

Part 1	Policyholder details	3
Part 2	Fund adviser nomination and appointment	4
Part 3	Third party platform nomination	5
Part 4	Professional adviser nomination	5
Part 5	Discretionary fund manager nomination	5
Part 6	Statements	6

Please submit the original completed form to Canada Life International Limited / CLI Institutional Limited's (each being the 'Company' as appropriate) registered office address:

**Canada Life International Limited / CLI Institutional Limited,  
Canada Life House, Isle of Man Business Park, Douglas, Isle of Man IM2 2QJ  
Telephone: +44 (0) 1624 820200  
Fax: +44 (0) 1624 820201**

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## Guidance notes

Please complete this form in **BLACK INK ONLY** using **BLOCK CAPITALS** and **INITIAL AND DATE ANY ALTERATIONS**. Please do not use correction fluid. If you are unsure about any aspect of the form please contact our Focus Team on **+44 (0) 1624 820200**.

- |  |   |
|--|---|
| <b>Fund adviser nomination</b>               | – Complete Parts 1, 2 and 6                                       |
| <b>Third party platform nomination</b>       | – Complete Parts 1, 3 and 6 (plus Part 2 or Part 4 if applicable) |
| <b>Professional adviser nomination</b>       | – Complete Parts 1, 4 and 6                                       |
| <b>Discretionary fund manager nomination</b> | – Complete Parts 1, 4 and 6 (plus Part 2 or Part 4 if applicable) |

## Part 1

### Policyholder details

This part must be completed and signed (Part 5) in all instances by all Policyholders (each known as the Policyholder).

Full Name  
(Policyholder/trustee 1)

Full Name  
(Policyholder/trustee 2)

Full Name  
(Policyholder/trustee 3)

Full Name  
(Policyholder/trustee 4)

Policy number

(the 'Account').

## Part 2 Fund adviser nomination and appointment

To nominate an adviser to give us instructions to select and de-select units in the funds linked to your policy

To and in favour of: The Company

- A. The Policyholder wishes to nominate the adviser named below, to give instructions to the Company to select and de-select units in funds for the Account.
- B. The Company may refuse to accept the nomination of a fund adviser.
- C. The Company will agree to accept instructions from an appointed fund adviser, subject to the statements in this form and the Policy Provisions for the Account.

### The Policyholder nominates

Fund adviser name				
Fund adviser address				
	Postcode			
Regulator				
Country				
Reference number				

to be the fund adviser in respect of the Account and requests that the Company appoints such person as fund adviser to the Account.

The following fee will be a payment made by the Company to the fund adviser, based on the valuation of the Account at the end of each calendar quarter. If a third party platform or discretionary fund manager is being used on this Account and a fee is being charged at portfolio level, then the fee (shown below) will be made as an additional payment to the fund adviser.

Any fund adviser fee must be solely in respect of advice relating to the investment selection on the Account.

I/We instruct a fee of  % each year (plus VAT if applicable\*) to be paid to the fund adviser and that such amounts be deducted from the Account at quarterly intervals, at the appropriate quarterly valuation point.

\* If the fund adviser is VAT registered, the Company will provide a statement following which a VAT invoice should be submitted. Payment will be made on receipt of this invoice.

### Appointment:

The nomination of the fund adviser by the Policyholder shall be subject to the terms and conditions set out in this form. For the avoidance of doubt, the nominated fund adviser shall only be appointed when the Company agrees to and accepts the appointment.

### Agreed and accepted by:

	Fund adviser	Canada Life International Limited / CLI Institutional Limited
Signed on behalf of the nominated fund adviser	<input type="text"/>	<input type="text"/>
Print Name	<input type="text"/>	<input type="text"/>
Date (day, month, year)	<input type="text"/>	<input type="text"/>

### Part 3 Third party platform nomination

I/We request that the Company opens an account with the third party platform (the 'Platform') provider named below and accepts any future investment links selected by my/our professional adviser or fund adviser for allocation to my/our Account.

Where the Platform is a new, additional or replacement Platform, please specify the cash value (in the box below) or constituent investments (please supply separate list) which are to be transferred to the Platform and their custodian.

Cash value

The terms of the nomination are set up in Part 5 of this form.

Name of platform

Please note that you shall inform the Company if you wish to revoke, or amend the appointment of your professional adviser, fund adviser or the Platform in any way. Unless and until the Company receives such notice, the Company may permit your professional adviser or fund adviser to execute your instructions without recourse to you as if the instructions had been given by you.

You understand that it is the responsibility of your professional adviser and/or fund adviser to make sure that they are at all times appropriately authorised and/or regulated to undertake such activities, or to give instructions, on the Account.

The Company may in its absolute discretion refuse to permit your professional adviser or fund adviser to execute instructions, either on the Platform or with the Company directly.

The Company may refuse to accept the nomination of a Platform.

### Part 4 Professional adviser nomination

To nominate an adviser to forward your instructions to select and de-select units in the funds linked to your policy

I/we request that the Company accepts dealing instructions on my/our behalf from the professional adviser specified below, either directly or via the Company's online portal.

Adviser name

Contact details

Regulator's Reference number

### Part 5 Discretionary fund manager nomination

To nominate a discretionary fund manager to manage the constituent investments of an individual fund linked to your policy

To and in favour of: The Company

- A. The Policyholder wishes to nominate a discretionary fund manager (the 'DFM') to manage the constituent investments of a fund (the 'relevant fund'), with the DFM arranging custodial services for the investments of the relevant fund, subject to the terms and conditions in this form.
- B. The Company may refuse to accept the nomination of a DFM.
- C. The DFM must act on a discretionary basis.

**The Policyholder nominates**

DFM name

Please provide the exact name of the legally registered DFM

DFM's FCA registration number

DFM address

Postcode

## Part 5 Discretionary fund manager nomination (continued)

DFM contact name

DFM contact e-mail

DFM contact telephone number

to be the DFM in respect of the relevant fund to be specified in the discretionary investment management agreement to be entered into between the Company and the DFM.

Where the DFM is a new, additional or replacement DFM, please specify the cash value (in the box below) or constituent investments (please supply separate list), which are to be transferred to the DFM and their custodian.

Cash value

### Investment guidelines

The Policyholder wishes the following investment guidelines to be applied to the relevant fund:

Example: Income, Balanced, Growth or exactly how you wish to define the instruction to the DFM.

Please note that if at any time during the operation of the Account the investment guidelines of the relevant fund are to change, it is the responsibility of the Policyholder and/or the fund adviser (if any) to advise the Company in writing. The Company will then provide this information to the DFM of the relevant fund

Please note that if the above investment objectives are not completed by the Policyholder, this may delay execution of the discretionary investment management agreement between the Company and the DFM.

It is not the responsibility of the Company to monitor the investment guidelines with the DFM.

## Part 6 Statements

This part must be completed in all instances by all Policyholders.

Words and expressions used and not otherwise defined in this form shall have the meanings ascribed to them in the Policy Provisions. Any reference to any gender shall be deemed to include any other gender, the singular shall be deemed to include the plural and vice versa and references to persons shall be deemed to include natural persons, companies, bodies corporate, unincorporated associations, partnerships, firms and other entities whether or not having separate legal personality.

In consideration of the Company appointing the nominated fund adviser, Platform, or DFM, you (meaning the Policyholder) undertake to and covenant and agree with the Company in the following terms.

1. The Company shall not be responsible for providing any investment advice to the Policyholder, or be liable for any investment advice given to the Company or the Policyholder by the fund adviser or anyone else, or for investment decisions made by you.
2. Where a Policyholder does not wish to nominate a fund adviser pursuant to this Investment administration form (optional) then you and the Account shall be self-advised (a 'self-advised Policyholder') and:
  - (a) the Company shall not be responsible or liable for providing investment advice to the self-advised Policyholder or for any investment decisions made by the self-advised Policyholder; and

(b) the self-advised Policyholder hereby waives any claim (present or future) that he may have against the Company for failing to give any investment advice to the self-advised Policyholder.

3. The Company shall not be responsible or liable for and you waive any claim (present or future) that you may have against the Company in connection with any loss, liability, damage, cost (including without limitation legal and other professional costs) and/or expense suffered or incurred by you or any other person in relation to the Account arising as a result of:
  - (a) any act or omission of any fund adviser, Platform, or DFM by or on your behalf (including without limitation any advice given, decisions made or any dealing in or holding of the constituent investments of the relevant fund by any such person, including but not limited to, any selection or de-selection of units in funds of the Company for the Account); and/or
  - (b) any failure by the fund adviser, Platform, or DFM to follow the investment guidelines supplied by you for the Account or relevant fund, except in circumstances where the failure occurs as a result of the Company's negligence.
4. The Company shall not be responsible or liable for any guarantees involved in any constituent investments of the Account or relevant fund. Also, as the Company does not provide any investment advice to you, it is not responsible for the suitability of any investment advice given to you.

Part 6

Statements (continued)

5. You will reimburse the Company for any loss, liability, damage, cost (including without limitation legal and other professional costs) and expense incurred or suffered by the Company as a result of or in connection with:
  - (a) the appointment, amendment of the terms of appointment, or termination of the appointment of any fund adviser, Platform, or DFM nominated by you;
  - b) any acts or omissions of any fund adviser, Platform, or DFM nominated by you (including without limitation any advice given, decisions made or any dealing in or holding of the constituent investments of the Account or relevant fund by any such person);
  - (c) any failure by the fund adviser, Platform, or DFM to follow the investment guidelines supplied by you for the Account or relevant fund; and
  - (d) the failure of the Platform, or DFM to produce valuations of the constituent investments of the relevant fund within five business days of each calendar quarter end or otherwise within five business days of any request for such valuations from the Company.
6. You must notify the Company immediately if you would like the Company to terminate the appointment of any fund adviser, Platform, or DFM, or amend the terms of the appointment of any fund adviser, Platform, or DFM. Notice must be given in the applicable Investment Administration form in use by the Company at the relevant time.
7. The Company may in its absolute discretion refuse to appoint any fund adviser, Platform, or DFM nominated by the Policyholder or amend the terms of appointment of any fund adviser, Platform, or DFM (including, for the avoidance of doubt, any amendment or replacement nomination).
8. You confirm that the investment guidelines provided in Part 4 have been fully discussed with the DFM and the fund adviser, if any, and relate only to the relevant fund.
9. The Company shall have the right to terminate the appointment of any fund adviser, Platform, or DFM at any time:
  - (a) if fund adviser, Platform, or DFM ceases to meet the criteria set by the Company from time to time for a person to act as a fund adviser, Platform, or DFM of the Account or relevant fund; or
  - (b) if there is breach of these terms and conditions, the discretionary investment management agreement with the DFM or the agreement with the Platform, as the case may be; or
  - (c) if the Company, in its sole discretion, considers it necessary to terminate the discretionary investment management agreement with the DFM or the agreement with the Platform, as the case may be. The Company shall not be responsible or liable for and the Policyholder waives any claim (present or future) that he may have against the Company in connection with any loss, liability, damage, cost (including without limitation legal and other professional costs) and/or expense suffered or incurred by you or any other person in relation to the Account or relevant fund arising as a result of the termination of the appointment of any DFM or Platform.
  - (d) in the event of death, bankruptcy, dissolution, insolvency, winding-up, conviction for a criminal offence or ceasing to be authorised or licensed by any regulator or the breaching of the terms and conditions of any such authorisation or licence (each such event a 'termination event'); or
  - (e) in the event that the Company considers that there is a reasonable likelihood of a termination event occurring; or
  - (f) on receipt of a written request to do so from you.
10. The fund adviser shall notify the Company immediately upon the occurrence of a termination event giving reasonable details of the nature and circumstances of such termination event.
11. You hereby consent to the release to the fund adviser, Platform or DFM by the Company of such personal data as the Company may consider necessary for the fund adviser, Platform, or DFM to undertake its obligations as fund adviser, Platform or DFM, as relevant.
12. You will further reimburse the Company against any claim of a Policyholder or any other person under the Account or relevant fund in relation to any charges and fees levied by the fund adviser, Platform, or DFM.
13. This form shall be governed by, and its provisions constructed in accordance with, the laws of the Isle of Man.

	<b>Policyholder / trustee 1</b>	<b>Policyholder / trustee 2</b>
Signature		
Date <small>(day, month, year)</small>	/ / 2	/ / 2
	<b>Policyholder / trustee 3</b>	<b>Policyholder / trustee 4</b>
Signature		
Date <small>(day, month, year)</small>	/ / 2	/ / 2



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