Firm Set-up Form

Adviser firm (standalone or has an arrangement with a service provider) set-up on the Zurich Intermediary Platform

If your firm does not currently have an agency agreement with the Zurich Intermediary Group, please contact us on 0500 546 546 before completing this form.

Please note that if your firm has an arrangement with a service provider and you want your firm to be linked to your service provider, they must already be set-up on the Platform.

Please note that all of the information requested below is mandatory (with the exception of sections marked if applicable).

Zurich cannot complete the set-up of your firm without a fully completed form. Firm Administrator log-on details are communicated by email and telephone, therefore please ensure these details are correct.

Partnership Development Consultant name and email address

Please do not complete if there are multiple offices/branches

1 Firm details

1. Firm name

2. Does your firm have an arrangement with a service provider? ☐ Yes ☐ No

3. Service provider name (if applicable)

4. Email address

5. Telephone number including STD code

6. Mobile telephone number (if applicable)

7. Fax number (if applicable)

8. Address

9. Postcode

10. Legal entity identifier (LEI)

11. Firm type ☐ FCA registered ☐ designated professional body

2 Planning tool options

1. Allow access to Advisa Centa Attitude to Risk? ☐ Yes ☐ No

2. Allow access to Advisa Centa Investment Planner? ☐ Yes ☐ No

3. Allow access to Advisa Centa Retirement Planner? ☐ Yes ☐ No
3 Firm office/branch details

1. Does your firm have more than one office/branch?  
   [ ] Yes  [ ] No

If your firm has more than one office/branch, please complete this section (if applicable)

Office/branch 1
1. Partnership Development Consultant name and email address

   2. Office/branch name
   3. Email address
   4. Telephone number including STD code
   5. Fax number (if applicable)
   6. Use firm address?  
      [ ] Yes  [ ] No
   7. Address (if applicable)

   Postcode

Office/branch 2
1. Partnership Development Consultant name and email address

   2. Office/branch name
   3. Email address
   4. Telephone number including STD code
   5. Fax number (if applicable)
   6. Use firm address?  
      [ ] Yes  [ ] No
   7. Address (if applicable)

   Postcode

If there are more than two offices/branches in your firm please tick the box and complete the addendum  
   [ ]
4 Firm remuneration payment, Disinvestment Strategy and valuation requirements

Please note: The frequency selected below will be the point at which the electronic payment is made from the Platform. This will reach your firm’s bank account within 4 Business Days.

1. Payment frequency
   - daily
   - weekly
   - twice monthly
   - monthly
   - quarterly

2. Date of the week between Monday and Friday for weekly or twice monthly frequency (if applicable)

3. Specify weeks for twice monthly frequency (if applicable)
   - 1 and 3
   - 2 and 4

4. Generate EDI remuneration statement?
   - Yes
   - No

5. EDI supplier and mailbox address/receiver code (if applicable)

6. Disinvestment Strategy:
   - Least Volatile Stock
   - Last in First out
   - Proportionately

7. Name of back office system (if applicable)

5 Firm bank account details

1. Account name

2. Account number

3. Sort code

4. Bank name

5. Address

6 Firm reminder alerts frequency

1. Send reminder for unread alerts
   - daily
   - weekly

7 Firm Administrator details

1. Title
   - Mr
   - Mrs
   - Miss
   - Ms
   - Dr
   - Other (please give details)

2. First name

3. Surname

4. Date of birth
   - D
   - M
   - Y
   - Y

5. Is the Firm Administrator also an Adviser?
   - Yes
   - No

   If yes has been ticked you must supply the Firm Administrator’s Individual Reference Number in full

6. Use firm address?
   - Yes
   - No

7. Address

8. Work telephone number including STD code

9. Mobile telephone number (if applicable)

10. Fax number (if applicable)

11. Email address
8 One-off remuneration

1. Do you want to allow one-off remuneration?
   □ Yes □ No
   If yes is selected a maximum amount permitted each year from a Client’s Zurich Portfolio must be provided.

2. Maximum amount permitted each year from a Client’s Zurich Portfolio? (if applicable)  
   £

If remuneration parameters are required please complete the following section.

Please note that the ‘Default’ and ‘Maximum’ percentage can be requested up to 2 decimal places, but the figure must be in 0.05 or 0.10 increments, for example 1%, 1.05% or 1.10%. The percentage stated should be the yearly amount.

9 Remuneration parameters (if applicable)

<table>
<thead>
<tr>
<th>Initial remuneration (single)</th>
<th>Default</th>
<th>Maximum</th>
</tr>
</thead>
<tbody>
<tr>
<td>ISA</td>
<td>%</td>
<td>%</td>
</tr>
<tr>
<td>Investment Account</td>
<td>%</td>
<td>%</td>
</tr>
<tr>
<td>Retirement Account</td>
<td>%</td>
<td>%</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Ongoing remuneration</th>
<th>Default</th>
<th>Maximum</th>
</tr>
</thead>
<tbody>
<tr>
<td>ISA</td>
<td>%</td>
<td>%</td>
</tr>
<tr>
<td>Investment Account</td>
<td>%</td>
<td>%</td>
</tr>
<tr>
<td>Retirement Account</td>
<td>%</td>
<td>%</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Regular initial remuneration</th>
<th>Default</th>
<th>Maximum</th>
</tr>
</thead>
<tbody>
<tr>
<td>ISA</td>
<td>%</td>
<td>%</td>
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</tr>
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<td>Retirement Account</td>
<td>%</td>
<td>%</td>
</tr>
</tbody>
</table>

If you wish to set a lower maximum number of deductions than Zurich permits, please state the maximum number of monthly deductions required. As this will apply proportionately to other deduction frequencies, the number of months selected must be in whole years (i.e. 12, 24 or 36). Please note that the maximum number of deductions permitted by Zurich is 48 if deductions are monthly, 16 if deductions are quarterly, 8 if deductions are half yearly and 4 if deductions are yearly.

Maximum number of monthly deductions for regular initial remuneration  

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<table>
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<tbody>
<tr>
<td>Maximum number of monthly deductions for regular initial remuneration</td>
<td>months</td>
</tr>
</tbody>
</table>
10 Declaration

1. I have read and accept on behalf of my firm as evidenced by my signature below:
   a) the Adviser Terms of Business between Sterling ISA Managers Limited (Zurich); Zurich Intermediary Group (ZIG) and the firm stated above; and
   b) the Terms of Use
   and understand that the Terms prevail for all business transacted through the Zurich Intermediary Platform.

2. If applicable, I agree that any trading styles set-up on the Platform will be aware of and will comply with the Terms and that my firm will be responsible for any acts and omissions as if they were the acts or omissions of my firm.

3. Where personal information is given, I have the authority to provide it.

4. The information given in this form is true, accurate and complete.

5. I am authorised to sign on behalf of my firm.

6. I have received the consent of my firm, its owners, directors, employees, co-partners, agents and principals to have their information shared, used and disclosed by Zurich and ZIG to make relevant searches (including credit checks) on my firm, its owners, directors, employees, co-partners, agents and principals as it sees fit at any time whilst the Terms apply.

7. I agree to Zurich, ZIG and third parties making such relevant searches, screening and checks referred to in clause 6.

8. I agree to Zurich and ZIG seeking information from the firms detailed on this form and duly authorise the giving of such information.

9. I acknowledge and accept that all business written on the Platform will be transacted in accordance with the Adviser Terms of Business and Terms of Use.

10. I acknowledge and accept that a Remuneration Account will be opened on the Platform on behalf of my firm.

   Authorised signatory

   Date

   Name

   Job title

Once completed, this form must be either given to a Partnership Development Consultant or sent to:

Zurich Intermediary Group, Agency and Remuneration Team, Tricentre One, New Bridge Square, Swindon, SN1 1HN.
Please print this page if the form is to be sent to Zurich in a window envelope.

Zurich Intermediary Group
Agency and Remuneration Team
Tricentre One
New Bridge Square
Swindon
SN1 1HN