

Investment administration form

Guidance notes

This form is applicable to and can be used for each of the following products issued by Canada Life International (CLI), CLI Institutional (CLII) and Canada Life International Assurance Ireland (CLIAI).

Entity	Open to new business	Closed to new business
CLI	- Premiere Account - Premiere Discounted Gift Trust Account - Wealth Preservation Account - Controlled Access Account	- Accelerated Access Account - Estate Preservation Account - Enhanced Estate Preservation Account - Inheritance Planning Account - Private Capital Account
CLIAI	- Premiere Europe Account - Premiere Europe Discounted Gift Trust Account - Wealth Preservation Europe Account	- International Portfolio Bond - International Portfolio Bond Discount Gift Trust
CLII	- Prestige Account - Elite Account	

Fund adviser nomination

– Complete Parts 1, 2 and 6

Third party platform nomination

– Complete Parts 1, 2, 3, 5 and 6

Discretionary fund manager nomination

– Complete Parts 1, 4, 5 and 6

To nominate a DFM under the Segregated Portfolio Service (SPS), this must be done using the separate form: [SPS Discretionary Fund Manager Appointment Form](#)

A separate Dealing Instruction form: [Dealing Instruction Form](#) is also required to instruct investment changes, details in part 5.

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 Customer Connect Team on +44 (0) 333 015 1382.

How to return your form

Please submit the completed form to Canada Life International Assurance (Ireland) DAC / Canada Life International Limited / CLI Institutional Limited's (each being the 'Company' as appropriate) postal or email address:

Canada Life House, Isle of Man Business Park, Douglas, Isle of Man IM2 2QJ

Telephone: +44 (0) 333 015 1382

Email: customerconnecthub@canadalifeint.com



We're happy to help if you need more support. Please let us know if you'd like a document provided in an alternative format, such as Braille, large print, or an audio file.

If you have difficulties communicating over the phone, you can contact us via Relay UK by using your Relay app or dialing 18001 before our phone number.

Before completing this form

Please save and re-open using [Acrobat Reader from Adobe](#) in order make use of the functionality available, including the electronic signature box.



Part 1**Policyholder details**

Canada Life Entity Account held with ("the Company")	Canada Life International Limited Canada Life International Assurance (Ireland) DAC CLI Institutional Limited
Policy Number (the "Account")	
Policyholder Name ("Policyholder")	

Part 2**Fund adviser nomination and appointment**

To nominate a Fund Adviser for the Company to appoint to make investment decisions on the Account

A Fund Adviser cannot be appointed when a policy uses the SPS investment option.

Fund Adviser Company Name

FCA Registration Number

Fees

Will Fund Adviser fee be charged?

Yes

No

Fund Adviser Fee

 %

The Policyholder consents to the above fee to be paid to the fund adviser. The fee will be deducted on a quarterly basis and based on the Account value each quarter (plus VAT if applicable*).

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

Please note that the fee is separate to the adviser charges shown in your Illustration. Instructing a fee in Part 12b and completing this section will generate two separate adviser payments.

As the Company is appointing the Fund Adviser, any fees payable will not impact the Policyholders 5% tax deferred allowance. An exception applies to the "International Portfolio Bond" product, now closed to new business, where fund adviser fees will count towards the 5% allowance.

* 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.

Nomination & Appointment

- A. The Policyholder wishes to nominate the adviser named above, to give instructions to the Company or Third Party Platform to select and de-select units in funds for the Account.
- B. The Company will act upon the Policyholders nomination and appoint the fund adviser named above to the Account, unless the company refuses to accept the nomination.
- C. The Company gives authority for the Fund Adviser to make investment decisions on the Account (including assets held in external platform accounts).
- D. The Company authorises the Policyholders to act as its agent to receive and evaluate investment advice or recommendations of the fund adviser, in respect of the assets owned by the Company and linked to the value of the Account.
- E. The nomination and subsequent appointment shall be subject to the statements in this form and the Policy Provisions for the Account.
- F. The fund adviser takes responsibility for ensuring that any assets selected are suitable for the Account, align with the Acceptable Asset Types in the statements and permitted to be held within the product.

Agreed and accepted by**Fund adviser**

Signed on behalf of the nominated fund adviser

Print Name

Date
(day, month, year)



A Fund Adviser cannot be appointed when a policy uses the SPS investment option.

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 fund adviser for allocation to my/our Account.

Name of platform

The terms of the nomination are set up in Part 6 of this form.

Please note that you shall inform the Company if you wish to revoke, or amend the appointment of your fund adviser or the Platform in any way. Unless and until the Company receives such notice, the Company may permit your 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 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 fund adviser to execute instructions, either on the Platform or with the Company directly.

You understand that only your fund adviser should trade assets on the Platform and if there is no fund adviser linked to your policy then the Company may close the Platform account.

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

A Fund Adviser be appointed on the Account when using a Third Party Platform.

Please check this box to confirm that Part 2 of this form has been completed.

Some platforms require additional details from advisers in order to setup an account, please provide the following where applicable:

Individual adviser name

Adviser's unique reference
on chosen platform

Part 4 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 (unless otherwise agreed with the Company).

The Policyholder nominates

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.

DFM Company Name

FCA Registration Number

DFM contact details

Custodian details, if different from the DFM

Custodian name

This part cannot be used to nominate a DFM under the Segregated Portfolio Service (SPS), this must be done using the separate form: [SPS Discretionary Fund Manager Appointment Form](#)

Part 4 Discretionary fund manager nomination (continued)

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 tell us how much you would like us to send to the discretionary fund manager. Please bear in mind that it is strongly recommended that you keep a small balance in the cash transaction account to cover the ongoing fees and charges of the Account. **% amount** or

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.

The policyholder acknowledges that the assets that will be managed by the DFM will be owned by the Company and, therefore, the Company shall appoint the DFM, at its absolute discretion, and on whatever terms the Company in its absolute discretion deems appropriate.

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

Part 5 Dealing instruction

In order to instruct the opening of a new DFM or Platform account, we require this separate dealing form to be completed: [Dealing Instruction Form](#)

Please check this box to confirm that the dealing instruction form has been completed and will be sent with this form.

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 the Policyholder(s)/Trustee(s) have not nominated a fund adviser, either in part 2 or through an existing nomination, then you and the Policy 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 they 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, 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.
 - (c) the selection of assets that results in the policy being classed as a 'personal portfolio bond'.
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.
5. 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.
6. 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).
7. 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.
8. The Company shall have the right to terminate the appointment of any fund adviser, Platform or DFM at any time:
 - (a) if the 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.
9. A DFM or Platform may require a minimum amount to be invested or maintained in the DFM or Platform portfolio, and the DFM or Platform may close the portfolio or not open an account if amounts are below stated minimums.

Part 6

Statements (continued)

10. The fund adviser, Platform or DFM 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. Any fees or charges levied by the fund adviser, Platform or DFM in relation your Account will be deducted from your Account.
13. You accept that in nominating a fund adviser or DFM, the nominated party will be responsible for ensuring the assets selected are within the Acceptable Asset Types at all times. You acknowledge that any agreement between the Company and the DFM will include investment restrictions on Acceptable Asset Types.

14. This form shall be governed by the law applicable to the policy you hold with the Company.

Acceptable Asset Types

The DFM/Fund Adviser must ensure that all assets selected meet the following conditions:

- be within the categories of allowable assets in ITTOIA05 sections 520(2).
- be domiciled in an acceptable jurisdiction and subject to regulation in that jurisdiction.
- be available for selection by all policyholders of the Company.
- be clean share classes and not pay rebates or commissions.
- be valued on a regular basis (at least quarterly).

Notwithstanding the above restrictions an Asset may be rejected by Canada Life at any time.

This part must be signed by all Policyholders/Trustees.
I/We confirm agreement to this appointment form including the declaration and data protection wording (Part 6).

Policyholder/Trustee Name	Signature	Date
		- -
		- -
		- -
		- -

