

Appointment of a Suitable Certifier Company Application

Adviser Company name

In order that Individuals within the above named entity may be approved as Suitable Certifiers we must first approve your Company. To support your Company's application we request some additional due diligence information and wish to seek a reference from our sister Company, RL360 Insurance Company Limited. Depending on responses from you and the Referee, we reserve the right to request further information.

If you are an Adviser Company regulated within a "List C Equivalent Jurisdiction" as published by the Isle of Man Financial Services Authority, then you do not need to complete this form. If you are uncertain, please contact adviser.services@ardan-international.com.

Part A - Additional Company Due Diligence

We have undertaken due diligence on your Adviser Company as part of our on-boarding process, but require the following additional information:

Do you maintain an Anti-Money Laundering/Financing of Terrorism policy? Yes No

If Yes, please confirm the last date this was reviewed and updated by your Company Executive, Board, or other (please specify).

If No, please advise what steps you undertake to ensure your staff and associates understand Anti-Money Laundering and Countering the Financing of Terrorism ("AML/CFT").

Part B - References

With your permission we would like to seek a reference from our sister company RL360 Insurance Company Limited. By signing this form and the attached Adviser Company Reference Request you confirm your authority for Ardan International to apply for such a reference.

Part C - Declarations

We confirm we understand the following rules governing the appointment of a Suitable Certifier:

1. Only individuals can be appointed as Suitable Certifiers within your organisation and the position is non-transferable. However, several employees within your organisation can be appointed as Suitable Certifiers.
2. Should your Terms of Business with us be cancelled or suspended for any reason the appointment of the Suitable Certifier(s) within your company will also be terminated or suspended.
3. Any Suitable Certifier within your organisation must be approved in writing by Ardan International Limited.

For an on behalf of:

Signatory 1

Name (printed)

Signature

Date (dd/mm/yyyy)

Signatory 2

Privacy policy

Our full privacy policy can be viewed at www.ardan-international.com/privacy or can be obtained by requesting a copy from our Data Protection Officer.

Adviser Company reference request

To: RL360 Insurance Company Limited

We are an Adviser Company with established terms with RL360 Insurance Company Limited, under agency reference:

We hereby give permission for you to provide Ardan International Limited with answers to the following questions on request:

Question	Referee Response
Length of time ToB held with RL360 insurance subsidiaries (including legacy entities).	
Do you accept Individuals from this Adviser Company as Suitable Certifiers?	
Number of client applications in last 3 years: <ul style="list-style-type: none">Total number of applications% rejected	
Any reason why the applicant Adviser Company should not be granted Suitable Certifier status?	

For an on behalf of:

	Signatory 1	Signatory 2
Name (printed)	<input type="text"/>	<input type="text"/>
Signature	<input type="text"/>	<input type="text"/>
Date (dd/mm/yyyy)	<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"/> <input type="text"/> <input type="text"/>

Reference responder

Signature	<input type="text"/>
Name	<input type="text"/>
Title	<input type="text"/>
Date (dd/mm/yyyy)	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

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