

DOMINION
CAPITAL STRATEGIES



Referral Agreement Application Form

BA-001



I/We hereby apply to be appointed, as an Advisor of Dominion Capital Strategies Limited (“DCSL”), subject to the Referral Agreement Terms (the “Terms”) which are set out at Annex 1 to this document and the Important Declaration in section J of this Document. Unless otherwise stated, words and expressions defined in the Terms have the same meaning when used in this Referral Agreement Application Form.

Date:

A TYPE OF CONTRACT (Please check as appropriate):

Individual

Corporate

B ADVISERS NETWORK

Please provide full name of the individuals or organizations of your overlying structure:

WMI

WMI

WMI

ADVISOR

c INDIVIDUAL APPLICATION DETAILS (if applicable)

First Name:

Last Name:

ID type and number:

Date of birth:

Email:

Residential/Registered Address:

City:

Post code:

Country:

Correspondence address (if different from above):

City:

Post code:

Country:

Nationality:

Dual Nationality (if applicable):

Telephone number:

Mobile:

D CORPORATE APPLICATION DETAILS (if applicable)

Registered Company Name:

Company number:

Registered Address:

City:

Post code:

Country:

Correspondence address (if different from above):

City:

Post code:

Country:

Jurisdiction of incorporation:

Telephone number:

Email:

Website (if applicable):

Regulatory Status:

Name of regulator:

E ADVISOR BACKGROUND INFO

Summarise experience, years of operation and companies you work with and products you have sold:

Last superior Broker:

Number of clients:

Premium portfolio (USD):

Assets Portfolio (USD):



F EVIDENCE FOR INDIVIDUAL APPLICANTS:

All individual applicants must submit certified copies of:

- (i) Passport, ID card or drivers license.
- (ii) Address verification. Please provide one of the documents listed below (all documents must not be more than 3 months old):
 - A utility bill (mobile telephone bills are not acceptable)
 - A Bank or credit card statement
 - A tax revenue notice
 - House or motor insurance certificate

G EVIDENCE FOR CORPORATE APPLICANTS

The following documentation is required for unregulated Corporate Applicants:

- Certificate of Incorporation (Partnership Agreement as appropriate)
- Memorandum & Articles of Incorporation
- List of Authorised Signatories
- Shareholder's Register (all Shareholders with a holding of 25% or more must be identified and verified in accordance with points (i) and (ii) in section F above)
- Director's Register (all Directors must be identified and verified in accordance with points (i) and (ii) in section F above)
- If any of the Directors or Shareholders are corporate entities, we will require the same information on each such entity

If the Corporate Applicant is regulated by a recognised jurisdiction, then the following documentation is required:

- Regulatory Licence
- Authorised Signatory List

H COMMISSION PAYMENT

Please check as appropriate:

- I wish to receive payments directly from DCSL
- I wish to receive payments through my network

In order to receive direct commissions wire transfers from DCSL to your personal/company account, please provide full bank details. Each payment may be distributed among up to two accounts. In such a case, provide details of both bank accounts including their respective percentages.

Bank account name must match the individual/corporate applicant.

Wire Transfer #1 (Percentage:%)

Bank Name	
Bank Address	
Account Name	
Account Number/IBAN	
ABA or Swift	
Intermediary Bank	
Additional Information	

Wire Transfer #2 (Percentage:%)



Bank Name	
Bank Address	
Account Name	
Account Number/IBAN	
ABA or Swift	
Intermediary Bank	
Additional Information	

Notes:

A wire transfer will be issued once an advisor that is paid directly from DCSL has reached or exceeded a liquid value of USD 1,500 (on personal production basis or generated from his network).

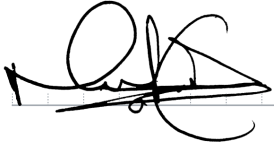
All wire transfer costs or any applicable intermediary costs will be deducted from the total amount transferred.

I COMMISSION PROPOSAL

Product	Initial Commission	Fund Base Commission
 MY : SAVINGS STRATEGY	%	%
 MY : INVESTMENT STRATEGY	%	%

WMI

Signature:



Date:

Print name:

WMI

Signature:

Date:

Print name:

WMI

Signature:

Date:

Print name:

ADVISOR

Signature:

Date:

Print name:

J IMPORTANT DECLARATIONS & SIGNATURES

I/We declare that I/we have read and understood the Terms (as set out in Annex 1).

I/We acknowledge and agree that, if this application is accepted, I/we will be bound by this Referral Agreement Application Form, the Acceptance Letter, the Terms and the Product Terms & Conditions, as amended from time to time (together the "Referral Agreement") and that DCSL is relying on the representations and warranties given by the Applicant in the Referral Agreement Application Form when accepting the application.

I/We agree to inform DCSL immediately in the event of any material changes to the information provided and acknowledge that it may be considered a criminal offence to intentionally provide false information when filling out this application.

Personal information contained in this Referral Agreement Application Form will be handled by DCSL (acting as Data Processor) in accordance with the Guernsey Data Protection legislation. I/We hereby consent to the processing of my/our information and the disclosure of my/our information to any relevant Guernsey or overseas government agency and where necessary or in DCSL's legitimate interest, to any company in DCSL's or Dominion's group of companies or agents thereof including companies situated in countries which may not have the same data protection law as Guernsey. I/ We also acknowledge that such data may be transported via an open network that is accessible to the public (Internet). The data may also be transmitted across borders without any controls and can occur even when both the sender and the recipient are in the same jurisdiction.

If applicable, I/we warrant that I/we have full power and have obtained all corporate and other authorisations required to empower us to enter into this Referral Agreement Application Form and to be bound by it, the Acceptance Letter, the Terms and the Product Terms & Conditions.

WMI

Signature:



Date:

Print name:

WMI

Signature:

Date:

Print name:

WMI

Signature:

Date:

Print name:

ADVISOR

Signature:

Date:

Print name:

ANNEX 1 REFERRAL AGREEMENT TERMS (the “Terms”)

Background

1. DCSL is part of the “DOMINION” group of companies based in Guernsey that provides long term savings and investment solutions.
2. DCSL wishes to develop the Advisor’s market with the collaboration of a select group of advisers in each region.
3. The Advisor wishes to introduce clients to DCSL (the “Services”), due to its strong relationship with DCSL’s management team and experience in promoting investment products.

Declaration

By completing and signing the Referral Agreement Application Form I/we (the “Advisor”) agree to accept the terms of DCSL’s Referral Agreement and specifically the Terms as detailed below:

FIRST – Services

The Advisor will do such things, or omit to do such things, as DCSL may reasonably require from time to time to enable the Advisor to provide the Services.

SECOND – Remuneration

In consideration for providing the Services, for each client introduced by the Advisor and accepted by DCSL, the Advisor will be paid initial and fund-based commissions as defined in this form, calculated based on the investment made by the person introduced by the Advisor (the “Fees”).

Fund based commissions will be payable on a regular basis subject to the Advisor providing a satisfactory post sales service to his clients.

DCSL will pay all Fees directly to the Advisor or through its network, as requested on this form. If the Advisor has its own underlying members, collaborators or introducers, it will be his own duty to discharge any fees or expenses payable to them. The Advisor shall be responsible for all taxes payable in respect of the Fees.

THIRD – Quality of Service

The Advisor and DCSL share the same care and objective of providing and excellent service to end clients and the protection of the Dominion brand.

Both parties commit to maintaining a high service standard and express that it is an express condition to secure this contract and the commercial relationship between them for the end client (and DCSL investor) to be well managed, well informed about the products before completing applications, that the investment advice be aligned with the client’s risk profile and all other services and processes related to providing an acceptable service standard to the end client.

If the Advisor were to work with members, collaborators or introducers, it will be responsible for procuring that these collaborators comply with the same standard as if they were a party to this agreement themselves.

FOURTH – Solicitation

The Advisor represents and warrants to DCSL that it will comply with local laws and regulations applicable to the offering of investment products in its jurisdiction, and will be held accountable in any conflict that may arise in this respect. The Advisor agrees to allow DCSL to conduct random, sample testing at its discretion to verify the Advisor's compliance with all local laws and regulations.

FIFTH – Term

The Agreement shall remain force unless and until terminated by either party by the giving of 45 days' written notice.

Upon termination, DCSL will continue paying fund-based commissions as long as the Advisor remains providing service to the end clients, and provided always that the termination of this agreement by DCSL was not as a result of the Advisor's negligence or willful misconduct.

SIXTH – Miscellaneous

The Agreement shall be governed by and construed and interpreted in accordance with the laws of the Island of Guernsey and the parties hereby agree to refer any dispute arising from this agreement (including the validity of this clause or this letter agreement) to the courts of the Island of Guernsey in accordance with the applicable governing rules.

The Advisor is acting as an independent advisor and is not a representative or employee of DCSL. The Advisor shall not enter into any contract, undertaking, agreement or commitment whatsoever for and on behalf of DCSL without the prior written consent of DCSL.

The Advisor shall indemnify and hold harmless DCSL and each of its members, partners, directors, shareholders, officers, employees (each an "Indemnified Party") from and against any and all costs, losses, claims, damages, liabilities, expenses (including reasonable legal and other professional fees and disbursements), judgments, fines or settlements (collectively, "Indemnified Losses") suffered or sustained by such Indemnified Party by reason of any act, omission or alleged act or omission arising out of, related to or in connection with providing the Services under this agreement, except for any Indemnified Losses that are judicially determined to be primarily attributable to the bad faith, gross negligence, willful misconduct or fraud of such Indemnified Party.

ADDENDUM 1 Addendum to the Referral Agreement with Dominion Capital Strategies Limited

Certification of Customer Due Diligence (“CDD”) Documentation

1. I acknowledge and understand that the Guernsey Designated Administrator must be able to evidence receipt of CDD in compliance with the legal and regulatory requirements existing in the Bailiwick of Guernsey from time-to-time and as communicated to us from time-to-time in the form of “Notes on Handbook Requirements”.
2. Further I acknowledge and understand that, by entering in to this Referral Agreement by accepting the terms of use to become accepted as a user of the Client Portal and through my continued use of the Client Portal throughout the operative period of the Agreement to date, the Guernsey Designated Administrator (from time to time) has accepted and continues to accept me as a Suitable Certifier for so long as the Agreement continues to be valid.
3. As a Suitable Certifier, where I have previously uploaded any CDD to the Client Portal for the purpose of the Company accepting or continuing to accept a client, I hereby acknowledge and certify that, at the time of and as part of receiving and reviewing their application to the Company:-
 - a. In the case of any documentation bearing a clear picture of the holder and intended to serve as proof of identify of my client(s):
 - i. I had seen the original document;
 - ii. the copy uploaded to the Client Portal is a true copy of that original document;
 - iii. that the photograph contained in the original document bears a true likeness to the individual named therein; and
 - iv. I had met the individual named therein.
 - b. In the case of all other documentation provided for the purpose of CDD;
 - i. I had seen the original document; and
 - ii. the copy uploaded to the Client Portal is a true copy of that original document.

c. In all cases, I certify, in relation to the relevant CDD document:

- i. the date of certification was the same as the date I entered the document into the Client Portal (the "Date of Certification"); and
- ii. my contact details, including my email address and telephone number, have been consistently up-to-date in the Client Portal at all times to allow the Guernsey Designated Administrator to rely on them at the Date of Certification.

4. I further acknowledge and accept that to be considered a Suitable Certifier, I have familiarised myself with the CDD requirements of the Bailiwick of Guernsey as communicated to me by the Company and the Guernsey Designated Administrator from time-to-time, including any "Notes on Handbook Requirements" provided from time to time, and that I have only uploaded CDD to the Client Portal that I, in good faith, believe to be genuine and compliant therewith.

5. If at any time, I become the subject of any criminal, civil and/or regulatory sanction or the subject of any other matter that may cause the Guernsey Designated Administrator to reasonably question my status as a Suitable Certifier, such as compulsory revocation of any professional qualification, I shall immediately make the Guernsey Designated Administrator aware of such matter. I understand that the Guernsey Designated Administrator may complete background checks on me from time-to-time using industry recognised sanctions and adverse media software and undertake to comply fully with any requests for information they may require in relation thereto. Ultimately, I understand that my status as a Suitable Certifier remains at the absolute discretion of the Guernsey Designated Administrator and agree to abide by their requirements and determinations at all times.

This Addendum and the Referral Agreement shall henceforth be read and construed together.