



Trust and Self-Certification Account Form

Includes Charity Accounts structured as a Trust

Please complete all sections electronically
or in BLOCK capitals using blue or black ink.

Client Name

Wealth Manager Details

Location Code

Responsibility Code

Investment Decision Maker Code

Wealth Manager

Raymond James Head Office Use Only

Account reference RK

Raymond James Investment Services Limited is a member of the London Stock Exchange and is authorised and regulated by the Financial Conduct Authority. Registered in England and Wales number 3779657. Registered Office Ropemaker Place, 25 Ropemaker Street, London, EC2Y 9LY.
Pershing Securities Limited is a member of the London Stock Exchange and is authorised and regulated by the Financial Conduct Authority.

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Account Type

Trust

Charity

SSAS

QROPS

QNUPS

Trust Details

Legal name of the Trust/Charity/Scheme

Registered Charity No.
if applicable

Country of Incorporation

Legal Entity Identifier No.*

Registered Address

Address Line 1

Address Line 2

Address Line 3

City/Town

Post Code

Country

Correspondence address
if different to above

Contact telephone number(s)

Mobile

Home

Primary email address

Countries of Tax Residency
state primary first

Tax Identification Number (TIN/UTR) Yes No TIN/UTR:

If 'No' please state the reason

Pension Scheme Tax Reference (PSTR)
if applicable

Nature and purpose of the Trust
*please list the main activities the Trust
is involved in*

* A LEI must be in place on entity accounts prior to transferring or trading MiFID II reportable instruments. If you are unsure whether this account requires one, please refer to the MiFID II Transaction Reporting guidance on the Portal or contact Client Services.

Trustee Details

	Trustee 1			Trustee 2		
Title						
Forename						
Middle name						
Surname						
Date of birth	DD	MM	YYYY	DD	MM	YYYY
Gender	Male	Female		Male	Female	

Primary Residential Address

Address line 1

Address line 2

Address line 3

City/Town

Postcode

Country

Correspondence address
if different from above

Contact telephone number(s)	Mobile	Home	Mobile	Home
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Email address

Countries of Tax Residency
state primary first

Tax Residency Identifier No.*

Are you a US Person?**	No	Yes	No	Yes
------------------------	----	-----	----	-----

Countries of Citizenship
state primary first

Nationality
state primary first

Place of birth

Town

Country

Occupation

* If you have a National Insurance number, this can be found on your National Insurance Card, payslip, form P45 or P60, pension order book or letters from HM Revenue and Customs or Department for Work and Pensions.

** We have limited options for US Persons. For a definition of US Person please refer to the IRS website:
<https://www.irs.gov/individuals/international-taxpayers/foreign-persons>

TRUST AND SELF-CERTIFICATION
ACCOUNT FORM

RAYMOND JAMES

	Trustee 3			Trustee 4		
Title						
Forename						
Middle name						
Surname						
Date of birth	DD	MM	YYYY	DD	MM	YYYY
Gender	Male	Female		Male	Female	
Primary Residential Address						
Address line 1						
Address line 2						
Address line 3						
City/Town						
Postcode						
Country						
Correspondence address <i>if different from above</i>						
Contact telephone number(s)	Mobile	Home		Mobile	Home	
Email address						
Countries of Tax Residency <i>state primary first</i>						
Tax Residency Identifier No.*						
Are you a US Person?**	No	Yes		No	Yes	
Countries of Citizenship <i>state primary first</i>						
Nationality <i>state primary first</i>						
Place of birth	Town					
	Country					
Occupation						

* If you have a National Insurance number, this can be found on your National Insurance Card, payslip, form P45 or P60, pension order book or letters from HM Revenue and Customs or Department for Work and Pensions.

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<https://www.irs.gov/individuals/international-taxpayers/foreign-persons>

Beneficiary Details

	Beneficiary 1				Beneficiary 2			
Beneficiary Type <i>Settlor, Protector, Trustee, Beneficiary, Controlling Person</i>								
Personal Details the same as Trustee	1	2	3	4	1	2	3	4
Title								
Forename								
Middle name								
Surname								
Date of birth		DD	MM	YYYY		DD	MM	YYYY
Gender	Male	Female			Male	Female		
Primary Residential Address								
Address line 1								
Address line 2								
Address line 3								
City/Town								
Postcode								
Country								
Correspondence address <i>if different from above</i>								
Contact telephone number(s)		Mobile	Home			Mobile	Home	
Email address								
Countries of Tax Residency <i>state primary first</i>								
Tax Residency Identifier No.*								
Are you a US Person?*	No	Yes			No	Yes		
Countries of Citizenship <i>state primary first</i>								
Nationality <i>state primary first</i>								
Place of birth	Town							
	Country							
Occupation								
Holding %					%			

* If you have a National Insurance number, this can be found on your National Insurance Card, payslip, form P45 or P60, pension order book or letters from HM Revenue and Customs or Department for Work and Pensions.

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<https://www.irs.gov/individuals/international-taxpayers/foreign-persons>

	Beneficiary 1				Beneficiary 2			
Qnups and Qrops only								
National Identifier Type: <i>NINO/Passport/TIN/CONCAT</i>	N	P	T	C	N	P	T	C
National Identifier No.***								

*** Please be aware that the National Identifier no. can be different to your Tax Residency Identifier no.; please refer to page 18 and 19
http://ec.europa.eu/finance/securities/docs/isd/mifid/rtts/160728-rtts-22-annex_en.pdf

TRUST AND SELF-CERTIFICATION ACCOUNT FORM

RAYMOND JAMES

	Beneficiary 3				Beneficiary 4			
Beneficiary Type <i>Settlor, Protector, Trustee, Beneficiary, Controlling Person</i>								
Personal Details the same as Trustee	1	2	3	4	1	2	3	4
Title								
Forename								
Middle name								
Surname								
Date of birth	DD MM YYYY				DD MM YYYY			
Gender	Male	Female			Male	Female		
Primary Residential Address								
Address line 1								
Address line 2								
Address line 3								
City/Town								
Postcode								
Country								
Correspondence address <i>if different from above</i>								
Contact telephone number(s)	Mobile		Home		Mobile		Home	
Email address								
Countries of Tax Residency <i>state primary first</i>								
Tax Residency Identifier No.*								
Are you a US Person?**	No	Yes			No	Yes		
Countries of Citizenship <i>state primary first</i>								
Nationality <i>state primary first</i>								
Place of birth	Town							
	Country							
Occupation								
Holding %								

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	Beneficiary 3				Beneficiary 4			
Qnups and Qrops only								
National Identifier Type: <i>NINO/Passport/TIN/CONCAT</i>	N	P	T	C	N	P	T	C
National Identifier No.***								

*** Please be aware that the National Identifier no. can be different to your Tax Residency Identifier no.; please refer to page 18 and 19
http://ec.europa.eu/finance/securities/docs/isd/mifid/rtts/160728-rtts-22-annex_en.pdf

Service Level* *Tick one box only*

Managed Discretionary
Service

Advisory Portfolio
Service

Advisory Dealing
Service

Execution Only
Service

*Please refer to our *Raymond James Terms of Business* for definitions of service levels.

Investment Strategy *Managed Discretionary Service and Advisory Portfolio Service Accounts only – tick one box only*

For all Managed or Advisory accounts, a completed ISAT must accompany this account form before an account can be opened. The strategies below are indicative only and used for general reporting purposes and may not precisely match the investment strategy agreed with your Wealth Manager. Please ask your Wealth Manager if you want further information about these generic strategies.

100% defensive investment

75% defensive investment and 25% growth investment

50% defensive investment and 50% growth investment

25% defensive investment and 75% growth investment

100% growth investment

Benchmark *Required for Managed Discretionary Accounts*

We establish benchmark(s) using the relevant indices by which your Portfolio performance can be assessed. The benchmark(s) and indices used will depend on your agreed investment strategy; your Wealth Manager will discuss this with you. Please select between one and five indices for your Portfolio:

Portfolio Benchmark(s)	Benchmark Code <i>Wealth Manager to complete</i>	Total or Capital Return*	
		TR	CR
		TR	CR
		TR	CR
		TR	CR
		TR	CR

*The default for each Index will be Total Return (TR) unless Capital Return (CR) is requested.

Dividends and Interest

Investment income will be paid into the dealing ledger as **default**.

However, if you would prefer your investment income to be paid into an income ledger please tick here:

If you have selected for an income ledger all investment income may either be retained, or paid out of your income ledger at a set frequency to the primary bank/building society account you have specified. Please choose your income preference below:

Income Ledger Preference

Paid on receipt	Paid monthly	Paid quarterly (March, June, Sept, Dec)
Paid half yearly (June, December)	Paid annually (December)	Retained on income ledger

Primary Bank/Building Society Account Details

Bank name	Sort code	00 - 00 - 00
Account name	Building Society roll no <i>if applicable</i>	
Account number	SWIFT <i>if applicable</i>	
Currency*: GBP, EUR, USD, other – <i>specify</i>	IBAN <i>required for Euro payments</i>	
Additional routing instructions <i>if applicable</i> <i>e.g. intermediary bank details</i>		

These bank details must be in the same name as the Account Owner. These will be the primary bank details on your Account. To add additional bank details, please contact your Wealth Manager.

**Whilst it is possible to make ad hoc payments to a non-GBP bank account, it is not possible to set up regular payments in a currency other than GBP.*

Regular Withdrawal Requirements

Please specify your regular withdrawal requirement below:

Amount: £

Frequency: Monthly Half-yearly Quarterly Yearly

Start date: DD MM YYYY

All regular withdrawals will be established on your dealing ledger.

Important Note: *if there are insufficient funds to make a payment, no payment will be made.*

Reporting

Custody Statement

You will receive a period record of your holdings, held in nominee on your behalf by PSL in the form of a Custody Statement. This is sent to you by PSL in order to meet its regulatory obligations as custodian of your assets. Please note; future Custody Statements may be incorporated into your quarterly valuation.

Valuation Frequency

For Managed Discretionary Portfolios, valuations will be provided on a quarterly basis.

For Advisory Portfolio/Advisory Dealing/Execution Only Portfolios please select a frequency below:

Quarterly (March, June, September, December)

Half Yearly (June, December)

Yearly (December)

Valuation Reporting Currency

Valuations are reflected in GBP as **default**.

If you wish for your valuation to report in a different currency please specify the currency here:

Important note: once transactions have taken place on the account, the reporting currency cannot be changed.

Valuation Consolidation

Option 1

We would like a standalone valuation for this new account.

Valuation Title*

*Maximum of 32 characters

Option 2

We wish to consolidate this new account with another existing Raymond James Account:

Account Reference No. **RK**

Relationship to
Account

Account Name

Account Type

Important Note: The existing Raymond James Account will remain the Master Valuation account. If you require the valuation title to be updated (e.g. from Mr Smith to Mr & Mrs Smith) please detail the new valuation title below:

Valuation Title*

*Maximum of 32 characters

Option 3

We wish to consolidate this new account with another new Raymond James Account:

Account Name

Account Type

Relationship to account

Which of these accounts will be considered
the Master Valuation account?

Valuation Title*

*Maximum of 32 characters

Important Note: If this option is selected we must receive the relevant new account packs at the same time to facilitate the consolidation.

Contract Notes Managed Discretionary Accounts only

If you have selected 'Managed Discretionary Service' in the Service Level section, we will provide all trade confirmations within your valuation on a quarterly basis.

However, if you wish to receive a contract note for each trade that your Wealth Manager executes on your behalf, please tick below:

Yes, please provide a contract note for each trade executed on our behalf.

Contract notes will be sent or made available to you as soon as possible, and no later than the first business day following the transaction.

Capital Gains Tax (CGT) Reporting

Client to receive a CGT report Yes* No

**If yes please note there is an annual charge of £125 + VAT for this service*

Note: CGT cannot be set up on a SSAS, QROPS or QNUPS account.

Client Access

Where you already have Client Access, this account along with any other new accounts will automatically be linked and viewable through your existing access.

Trustee/Owner 1

Do you require access/continued access to view your accounts online? Yes No

Trustee/Owner 2

Do you require access/continued access to view your accounts online? Yes No

Trustee/Owner 3

Do you require access/continued access to view your accounts online? Yes No

Trustee/Owner 4

Do you require access/continued access to view your accounts online? Yes No

By selecting yes, you are asking Raymond James to provide you with login details to your account(s) via the Raymond James Client Access Portal. Terms and Conditions of usage will be made available to you and will need to be accepted prior to you using this tool for the first time.

Important Notes:

- If you require Client Access please ensure you have provided an email address and at least one telephone number in the personal details section.
- Where you have provided more than one telephone number and one option is a mobile telephone number, the mobile telephone number will be used as the default for two-factor authentication when logging into Client Access.
- If you wish to grant a third party access to view your accounts online via Client Access please complete the 'Third Party Instructions' section below and tick 'Client Access'.

Third Party Instructions

As the Trustee(s) we authorise:

- Raymond James to accept any and all instructions, as described in the 'Your Instructions' section in the *Raymond James Terms of Business*, from the undermentioned party. **Please tick where appropriate:**

Requests for copies of valuations* and contract notes

Client Access

If you wish for the third party to be set up to receive copies of any valuations* or contract notes you receive, please indicate below:

Contract Notes

Valuations*

**A charge will be incurred for additional copies of valuations*

Relationship to account

Title

Forename

Middle name

Surname

Date of birth

DD MM YYYY

Gender

Male

Female

Primary Residential Address

Address line 1

Address line 2

Address line 3

City/Town

Postcode

Country

Correspondence address

if different from above

Contact telephone number(s)

Mobile

Home

Email address

Authorised Third Party Signature

Full name *Please print*

Signature

 Please sign here

Date

DD MM YYYY

Please note Raymond James reserves the right, in its absolute discretion, whether to deal with and accept instructions from the aforementioned third party.

FATCA Classification

|| || || || || . || || || || || . || . || ||

Please complete the below section:

1. Trust does not maintain a financial account for any Non-Participating Financial Institution, i.e. a Non-Participating FI does not hold an equity interest or debt interest in the Trust.
2. Trust is not owned by, nor a member of, a group of related Entities with any FI that is a depository, custodial or specified insurance company as defined in UK legislation.
3. Trust provides Raymond James (i.e. the reporting entity) information regarding all persons – both natural and legal persons – that hold direct or indirect equity or debt interest in the Trust.

Trust Owner Information – *Direct Interest Holders*

	Trust Owner 1				Trust Owner 2			
Trust owner type <i>Settlor, Protector, Trustee, Beneficiary, Controlling Person</i>								
Personal Details the same as Trustee	1	2	3	4	1	2	3	4
Title								
Forename								
Middle name								
Surname								
Date of birth	DD MM YYYY				DD MM YYYY			
Gender	Male		Female		Male		Female	
Primary Residential Address								
Address line 1								
Address line 2								
Address line 3								
City/Town								
Postcode								
Country								
Correspondence address <i>if different from above</i>								
Contact telephone number(s)	Mobile		Home		Mobile		Home	
Email address								
Countries of Tax Residency <i>state primary first</i>								
Tax Residency Identifier No.*								
Are you a US Person?*	No		Yes		No		Yes	
Countries of Citizenship <i>state primary first</i>								
Nationality <i>state primary first</i>								
Place of birth	Town							
	Country							
Occupation								
Holding %								

* If you have a National Insurance number, this can be found on your National Insurance Card, payslip, form P45 or P60, pension order book or letters from HM Revenue and Customs or Department for Work and Pensions.

** We have limited options for US Persons. For a definition of US Person please refer to the IRS website:
<https://www.irs.gov/individuals/international-taxpayers/foreign-persons>

Trust Owner Information – *Direct Interest Holders*

	Trust Owner 3				Trust Owner 4			
Trust owner type <i>Settlor, Protector, Trustee, Beneficiary, Controlling Person</i>								
Personal Details the same as Trustee	1	2	3	4	1	2	3	4
Title								
Forename								
Middle name								
Surname								
Date of birth	DD MM YYYY				DD MM YYYY			
Gender	Male	Female			Male	Female		
Primary Residential Address								
Address line 1								
Address line 2								
Address line 3								
City/Town								
Postcode								
Country								
Correspondence address <i>if different from above</i>								
Contact telephone number(s)	Mobile		Home		Mobile		Home	
Email address								
Countries of Tax Residency <i>state primary first</i>								
Tax Residency Identifier No.*								
Are you a US Person?**	No	Yes			No	Yes		
Countries of Citizenship <i>state primary first</i>								
Nationality <i>state primary first</i>								
Place of birth	Town							
	Country							
Occupation								
Holding %								

* If you have a National Insurance number, this can be found on your National Insurance Card, payslip, form P45 or P60, pension order book or letters from HM Revenue and Customs or Department for Work and Pensions.
 ** We have limited options for US Persons. For a definition of US Person please refer to the IRS website:
<https://www.irs.gov/individuals/international-taxpayers/foreign-persons>

Trust Owner Information – *Indirect Interest Holders*

	Trust Owner 1				Trust Owner 2			
Trust owner type <i>Settlor, Protector, Trustee, Beneficiary, Controlling Person</i>								
Personal Details the same as Trustee	1	2	3	4	1	2	3	4
Title								
Forename								
Middle name								
Surname								
Date of birth	DD MM YYYY				DD MM YYYY			
Gender	Male	Female			Male	Female		
Primary Residential Address								
Address line 1								
Address line 2								
Address line 3								
City/Town								
Postcode								
Country								
Correspondence address <i>if different from above</i>								
Contact telephone number(s)	Mobile Home				Mobile Home			
Email address								
Countries of Tax Residency <i>state primary first</i>								
Tax Residency Identifier No.*								
Are you a US Person?*	No	Yes			No	Yes		
Countries of Citizenship <i>state primary first</i>								
Nationality <i>state primary first</i>								
Place of birth	Town							
	Country							
Occupation								
Holding %								

* If you have a National Insurance number, this can be found on your National Insurance Card, payslip, form P45 or P60, pension order book or letters from HM Revenue and Customs or Department for Work and Pensions.

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Trust Owner Information – *Indirect Interest Holders*

	Trust Owner 3				Trust Owner 4			
Trust owner type <i>Settlor, Protector, Trustee, Beneficiary, Controlling Person</i>								
Personal Details the same as Trustee	1	2	3	4	1	2	3	4
Title								
Forename								
Middle name								
Surname								
Date of birth	DD MM YYYY				DD MM YYYY			
Gender	Male	Female			Male	Female		
Primary Residential Address								
Address line 1								
Address line 2								
Address line 3								
City/Town								
Postcode								
Country								
Correspondence address <i>if different from above</i>								
Contact telephone number(s)	Mobile Home				Mobile Home			
Email address								
Countries of Tax Residency <i>state primary first</i>								
Tax Residency Identifier No.*								
Are you a US Person?**	No	Yes			No	Yes		
Countries of Citizenship <i>state primary first</i>								
Nationality <i>state primary first</i>								
Place of birth	Town							
	Country							
Occupation								
Holding %								

* If you have a National Insurance number, this can be found on your National Insurance Card, payslip, form P45 or P60, pension order book or letters from HM Revenue and Customs or Department for Work and Pensions.

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iii. Certified or otherwise deemed Compliant FI

iv. Non-Participating FI

v. Other reason – *please specify*

Or is this Trust a **Non-Financial Institution (NFE)**?

i. Active NFE

ii. Passive NFE

Please complete the Controlling Person Self-Declaration on page 20

iii. Direct Reporting NFE

Please provide the NFE's GIIN:

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

iv. Sponsored Direct Reporting NFE

Please provide the NFE's GIIN:

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

CRS Classification

i. Managed Investment Entity

ii. Financial Institution *other than a Managed Investment Entity*

iii. Non-Reporting Financial Institution

iv. Active NFE

v. Passive NFE

Please complete the Controlling Person Self-Declaration on page 20

Controlling Persons* Self-Declaration

*A Controlling Person is a natural person who exercises control over a Trust, where they are entitled to at least 25% of the Trust property and/or or any other natural person exercising ultimate control over the Trust.

For Trusts which have declared themselves as either of the below in the FATCA/CRS Classification section:

- a Passive NFE, or
- a Managed Entity tax resident in a jurisdiction that is not a Participating Jurisdiction, should provide details of the Controlling Persons:

Type of Controlling Person	Controlling Person 1		Controlling Person 2	
	Settlor	Protector	Settlor	Protector
	Trustee	Beneficiary	Trustee	Beneficiary

Percentage of legal trust owned
where you are a Controlling Person based
on your ownership interest

%

%

Title

Forename

Middle name

Surname

Date of birth

DD MM YYYY

DD MM YYYY

Gender

Male

Female

Male

Female

Primary Residential Address

Address line 1

Address line 2

Address line 3

City/Town

Postcode

Country

Correspondence address
if different from above

Countries of Tax Residency
state primary first

Tax Residency Identifier No.*

Are you a US Person?*

No

Yes

No

☐

Yes

☐

Countries of Citizenship
state primary first

Nationality

Place of birth

Town

Country

* If you have a National Insurance number, this can be found on your National Insurance Card, payslip, form P45 or P60, pension order book or letters from HM Revenue and Customs or Department for Work and Pensions.

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TRUST AND SELF-CERTIFICATION
ACCOUNT FORM

RAYMOND JAMES

Declaration

We declare, we:

- have read this form and to the best of our knowledge and belief, the information we have provided is correct; and
- shall notify our Wealth Manager immediately of any change to: i) the information in this *Account Form*; ii) our personal circumstances; and/or iii) our objectives; and
- are the Trustee(s) for the beneficiary named in this *Account Form*.

By completing and signing this *Account Form*, we:

- confirm we have been provided with *Raymond James' Terms of Business* and the *Schedule of Fees and Charges* which we have had the opportunity to read;
- confirm we wish to enter into the Agreement with Raymond James and understand the Agreement consists of this *Account Form*, the *Raymond James Terms of Business*, the *Schedule of Fees and Charges* and the *Rates and Charges* document; and
- consent to Raymond James validating our personal identification and verifying my address internally or through a third party.

Trustee 1

Full name *Please print*

Leo Kenneth Park

Capacity

Trustee ☒ or state capacity in which you are acting

Signature



Date

19-08-2022

Trustee 2

Full name *Please print*

Capacity

Trustee ☐ or state capacity in which you are acting

Signature

Date

Trustee 3

Full name *Please print*

Capacity

Trustee ☐ or state capacity in which you are acting

Signature

Date

Trustee 4

Full name *Please print*

Capacity

Trustee ☐ or state capacity in which you are acting

Signature

Date

Wealth Manager Declaration

I declare, I:

- have read this form and confirm that the information provided is correct to the best of my knowledge;
- agree to notify Raymond James immediately of any significant changes; and
- agree to notify Raymond James of any change to the agreed portfolio mandate or service level.

Full name *Please print*

Signature

Date