

# RATHBONE UNITISED PORTFOLIO SERVICE CLIENT AGREEMENT AND PROFILE FOR TRUSTS, CHARITIES, COMPANIES AND SIMILAR ENTITIES

**Please read and complete this form before signing  
Page 33 and returning it to your Investment Manager.**

**If you have any questions, please contact your  
Investment Manager before you sign and return  
this form.**

**If you would prefer, your Investment Manager will be  
pleased to help you complete it.**

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**Please note that all Funds within this Agreement will be opened on a DISCRETIONARY basis.**

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# RATHBONE UNITISED PORTFOLIO SERVICE CLIENT AGREEMENT AND PROFILE FOR TRUSTS, CHARITIES, COMPANIES AND SIMILAR ENTITIES

## Agreement documents

This document is part of a suite of documents which make up our Agreement with you. These documents consist of an Agreement Pack and a Contractual Pack as follows:

### Agreement Pack

Client Agreement and Profile (this document)  
Schedule of Charges  
Schedule of Interest Rates

### Contractual Pack

Terms of Business  
Summary of Conflicts of Interest Policy  
Summary of Best Execution Policy  
Basic Information About the Protection of Your Eligible Deposits

**If any document is missing, please request it from your Investment Manager as you will need to confirm receipt of all of them later in this document.**

As part of our personal service we ask you to provide details of your personal and financial circumstances to enable us to ensure our services are suitable for you and to manage your investments in line with your requirements. If your circumstances or your requirements change in the future, we ask that you notify your Investment Manager in writing.

**If at any time you need more space for your responses, please use the Client notes Section on Page 30.**

**If there is anything you do not understand, or you have any questions, please contact your Investment Manager before you sign and return this document.**

**If you would prefer, your Investment Manager will be pleased to help you complete it.**

**For the attention of**

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at Rathbones

# 1 ENTITY CORRESPONDENCE INFORMATION

Please complete

Name of entity<sup>1</sup>

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Address<sup>2</sup>

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Postcode

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Correspondence or business address

(if different from above)

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Postcode

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Primary contact

Please enter the name of the individual who will have the most contact with your Investment Manager.

The personal details of this individual must also be included in Section 6 – Authorised officer information.

Primary contact name

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- 1 Enter the name of the trust, charity, company or similar entity.
- 2 Please enter the registered address if you are completing a company or similar entity Agreement.

## 2 TRUST CLASSIFICATION FOR FATCA AND IGAS

Please note tax regulations require us to collect certain information about each investor's tax residency and tax classifications. The term "tax regulations" refers to regulations created to enable automatic exchange of information and include the Foreign Account Tax Compliance Act (FATCA), various intergovernmental agreements (IGAs) to improve international tax compliance entered into between the UK and its Crown Dependencies and its Overseas Territories, and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information.

### 2.1 Registered charity

- ☐ The trust is a Certified Deemed Compliant Financial Institution (UK non-reporting FI) with a registered UK charity number.  
No further information on this page is required.

Please note under UK legislation the trust will be classed as either a Financial Institution (FI) or a Non-Financial Entity (NFE), depending on whether the trust meets the below criteria:

- a the trust is managed entirely or in part on a discretionary basis by a Financial Institution (Rathbones or another part of the Financial Institution elsewhere)
- b the trust's gross income is primarily (greater than 50%) attributable to investing, reinvesting or trading in financial assets

If both of the above are true the trust will be an FI, complete Section 2.2. If either of the above is false the trust will be an NFE, complete Section 2.3 overleaf.

### 2.2 The trust is a Financial Institution

The trust is an FI and will need to specify how it will meet its reporting responsibilities in order to comply with the regulations. Only complete ONE of the following options - 1, 2, 3 or 4.

#### ☐ 1 One of the trustees is a corporate trustee

Please provide the registered name and Global Intermediary Identification Number (GIIN) of the corporate trustee.

Name

GIIN

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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If you do not have a GIIN please confirm that the corporate trustee has applied for or will be applying for one and will forward it to the Investment Manager as soon as it is available.

☐

#### ☐ 2 The trust meets the criteria below and the trustees authorise Rathbones to Owner Document the trust

Available where the trust does not have a corporate trustee which is an FI and does not have a bank account or other financial assets outside of Rathbones.

In order for Rathbones to do this, you are required to tick the following three boxes to confirm:

The trust is not owned by, nor is a member of, a group of companies linked to a Financial Institution ☐

The trust does not maintain a financial account for a Non-Participating FI (ie the Non-Participating FI does not hold an equity or debt interest in the trust) ☐

The trust will provide any information and documentation required to enable Rathbones to determine and undertake the reporting requirements on behalf of the trust ☐

#### ☐ 3 The trust has appointed or will be appointing a Sponsoring Entity

Please provide the registered name and GIIN of the Sponsoring Entity.

Name

GIIN

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If you do not have a GIIN please confirm that the Sponsoring Entity has applied for or will be applying for one and will forward it to the Investment Manager as soon as it is available.

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#### ☐ 4 The trust has registered or will be registering as an FI

If the trust is unable to or does not wish to meet its reporting requirements by any of the above options, the trust will by default need to register as an FI directly with the IRS and report annually to HMRC.

Please provide the registered name and GIIN of the trust.

Name

GIIN

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If you do not have a GIIN please confirm that the trustee has applied for or will be applying for one and will forward it to the Investment Manager as soon as it is available.

☐

## 2 TRUST CLASSIFICATION FOR FATCA AND IGAS

### CONTINUED

#### 2.3 The trust is a Non-Financial Entity (NFE)

The trust is an NFE and will need to decide if it is an Active NFE or a Passive NFE.



##### 1 The trust is an Active NFE

The trust meets the below criteria to be classified as an Active NFE.

- Less than 50% of the trust's income is passive income

**and**

- Less than 50% of the trust's assets produce or are held for the production of passive income

**or**

The trust is a non-profit Active NFE as defined in the guidance from HMRC.



##### 2 The trust is a Passive NFE

The trust does not meet the criteria to be an Active NFE and is therefore by default a Passive NFE.

**Please note the term 'passive income' includes dividends, interest, royalties and rents, including property/land rental income but excluding rent received in the active conduct of trade. For more information please refer to HMRC guidance.**

For company and similar entities please go to Page 10.

|  |   |
|--|---|
| <input type="checkbox"/> Discretionary | <input type="checkbox"/> Bare trust                   |
| <input type="checkbox"/> Life interest | <input type="checkbox"/> Accumulation and maintenance |
| <input type="checkbox"/> Charity       | <input type="checkbox"/> Other                        |

Charity number (if appropriate)<sup>1</sup>

| Age Group | Percentage |
|-----------|------------|
| 18-24     | 15%        |
| 25-34     | 20%        |
| 35-44     | 25%        |
| 45-54     | 20%        |
| 55-64     | 15%        |
| 65-74     | 10%        |
| 75-84     | 5%         |
| 85+       | 5%         |

Please describe why the trust has been created (eg to provide income to fund scholarships).

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| D | D |     | M | M |

Tax Identification Number (TIN)<sup>2</sup>

| Age Group | Percentage |
|-----------|------------|
| 18-24     | 15%        |
| 25-34     | 25%        |
| 35-44     | 20%        |
| 45-54     | 15%        |
| 55-64     | 10%        |
| 65-74     | 5%         |
| 75-84     | 5%         |
| 85+       | 5%         |

☐ Please tick if you do not have a TIN[illegible]

☐ Yes ☐ No

\_\_\_\_\_%

We are required to classify clients into categories. Please tick the box of any of the statements below that apply to the trust.

If you tick two or more of the boxes, please contact your Investment Manager as you may need different paperwork and an explanation of the effect of a new classification and the options available to you.

- ☐ The trust has turnover (eg income) of greater than EUR 40 million<sup>3</sup>
- ☐ The trust has total assets (eg all assets including property) of greater than EUR 20 million<sup>3</sup>
- ☐ The trust has own funds (eg trust assets after liabilities) of greater than EUR 2 million<sup>3</sup>

- 1 Only for charitable incorporated entities.
- 2 This is the tax reference that the Trust's country of residence for tax purposes has issued eg for UK trusts this is the UTR reference.
- 3 If you are unsure of the exchange rate, please consult your Investment Manager.

## 3 TRUST SPECIFIC INFORMATION CONTINUED

Complete for trusts or similar entities.

## Trust beneficiaries (if applicable)

## Beneficiary 1

## Title

☐

Mr

☐

Mrs

☐

Ms

☐

Miss

☐

Other (please specify)

## Surname

## Forename(s)

## Date of birth

## Place and country of birth

## Address

## Postcode

## Life interest trust beneficiary (if applicable)

☐

Capital

☐

Income

## 1 Tax residence

Tax Identification Number (TIN)<sup>1</sup>

## 2 Tax residence

## Tax Identification Number (TIN)

## 3 Tax residence

## Tax Identification Number (TIN)

## Are you a US citizen?

☐

Yes

☐

No

## Beneficiary 2

## Title

☐

Mr

☐

Mrs

☐

Ms

☐

Miss

☐

Other (please specify)

## Surname

## Forename(s)

## Date of birth

## Place and country of birth

## Address

## Postcode

## Life interest trust beneficiary (if applicable)

☐

Capital

☐

Income

## 1 Tax residence

Tax Identification Number (TIN)<sup>1</sup>

## 2 Tax residence

## Tax Identification Number (TIN)

## 3 Tax residence

## Tax Identification Number (TIN)

## Are you a US citizen?

☐

Yes

☐

No

<sup>1</sup> For UK individuals this will be the National Insurance (NI) Number.



## 3 TRUST SPECIFIC INFORMATION CONTINUED

## Trust beneficiaries (if applicable) continued

## Beneficiary 3

## Title

☐

Mr

☐

Mrs

☐

Ms

☐

Miss

☐

Other (please specify)

## Surname

## Forename(s)

## Date of birth

## Place and country of birth

## Address

## Postcode

## Life interest trust beneficiary (if applicable)

☐

Capital

☐

Income

## 1 Tax residence

Tax Identification Number (TIN)<sup>1</sup>

## 2 Tax residence

## Tax Identification Number (TIN)

## 3 Tax residence

## Tax Identification Number (TIN)

## Are you a US citizen?

☐

Yes

☐

No

## Beneficiary 4

## Title

☐

Mr

☐

Mrs

☐

Ms

☐

Miss

☐

Other (please specify)

## Surname

## Forename(s)

## Date of birth

## Place and country of birth

## Address

## Postcode

## Life interest trust beneficiary (if applicable)

☐

Capital

☐

Income

## 1 Tax residence

Tax Identification Number (TIN)<sup>1</sup>

## 2 Tax residence

## Tax Identification Number (TIN)

## 3 Tax residence

## Tax Identification Number (TIN)

## Are you a US citizen?

☐

Yes

☐

No

<sup>1</sup> For UK individuals this will be the National Insurance (NI) Number.**If there are additional beneficiaries, please enter their details in the Client notes Section on Page 30.**

## 4 COMPANY CLASSIFICATION FOR FATCA AND IGAS

Please note tax regulations require us to collect certain information about each investor's tax residency and tax classifications. The term "tax regulations" refers to regulations created to enable automatic exchange of information and include the Foreign Account Tax Compliance Act (FATCA), various intergovernmental agreements (IGAs) to improve international tax compliance entered into between the UK and its Crown Dependencies and its Overseas Territories, and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information.

## 4.1 Registered charity

- ☐ The company is a Certified Deemed Compliant Financial Institution (UK non-reporting FI) with a registered UK charity number.  
No further information on this page is required.

Please note under UK legislation the company will be classed as either a Financial Institution (FI) or a Non-Financial Entity (NFE), depending on whether the company meets the below criteria:

- a the company is managed entirely or in part on a discretionary basis by a Financial Institution (Rathbones or another part of the Financial Institution elsewhere)
- b the company's gross income is primarily (greater than 50%) attributable to investing, reinvesting or trading in financial assets

If both of the above are true the company will be an FI, complete Section 4.2. If either of the above is false the company will be an NFE, complete Section 4.3 overleaf.

## 4.2 The company is a Financial Institution

The company is an FI and will need to specify how it will meet its reporting responsibilities in order to comply with the regulations. Only complete ONE of the following options - 1, 2, 3 or 4.

- ☐ **1 One of the directors is a corporation rather than an individual**

Please provide the registered name and Global Intermediary Identification Number (GIIN) of the corporate director.

Name

GIIN

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If you do not have a GIIN please confirm that the corporate director has applied for or will be applying for one and will forward it to the Investment Manager as soon as it is available. ☐

- ☐ **2 The company meets the criteria below and the directors authorise Rathbones to Owner Document the company**

Available where the company does not have a corporate director which is an FI and does not have a bank account or other financial assets outside of Rathbones.

In order for Rathbones to do this, you are required to tick the following three boxes to confirm:

The company is not owned by, nor is a member of, a group of companies linked to a Financial Institution ☐

The company does not maintain a financial account for a Non-Participating FI (ie the Non-Participating FI does not hold an equity or debt interest in the company) ☐

The company will provide any information and documentation required to enable Rathbones to determine and undertake the reporting requirements on behalf of the company ☐

- ☐ **3 The company has appointed or will be appointing a Sponsoring Entity**

Please provide the registered name and GIIN of the Sponsoring Entity.

Name

GIIN

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If you do not have a GIIN please confirm that the Sponsoring Entity has applied for or will be applying for one and will forward it to the Investment Manager as soon as it is available. ☐

- ☐ **4 The company has registered or will be registering as an FI**

If the company is unable to or does not wish to meet its reporting requirements by any of the above options, the company will by default need to register as an FI directly with the IRS and report annually to HMRC.

Please provide the registered name and GIIN of the company.

Name

GIIN

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If you do not have a GIIN please confirm that the company has applied for or will be applying for one and will forward it to the Investment Manager as soon as it is available. ☐

# 4 COMPANY CLASSIFICATION FOR FATCA AND IGAS

## CONTINUED

### 4.3 The company is a Non-Financial Entity (NFE)

The company is an NFE and will need to decide if it is an Active NFE or a Passive NFE.

☐

#### 1 The company is an Active NFE

The company meets the below criteria to be classified as an Active NFE.

- Less than 50% of the company's income is passive income

**and**

- Less than 50% of the company's assets produce or are held for the production of passive income

**or**

The company is a non-profit Active NFE as defined in the guidance from HMRC

☐

#### 2 The company is a Passive NFE

The company does not meet the criteria to be an Active NFE and is therefore by default a Passive NFE.

**Please note the term 'passive income' includes dividends, interest, royalties and rents, including property/land rental income but excluding rent received in the active conduct of trade. For more information please refer to HMRC guidance.**

## 5 COMPANY SPECIFIC INFORMATION

**Complete for companies or similar entities.****Outline of the company's business**


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**Financial year end**

|   |   |   |   |
|---|---|---|---|
| D | D | M | M |
|---|---|---|---|

**Country of incorporation**


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**Tax residency if different from above****1 Tax residence**

Tax Identification Number (TIN)

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**2 Tax residence**

Tax Identification Number (TIN)

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**Company registration number**

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**Charity number<sup>1</sup>**

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**Tax rate (if appropriate)**

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%

**Authorised share capital**

£

**Issued share capital**

£

**Names of shareholders who hold greater than 10% of the share capital**

Name

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Name

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Name

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Name

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**If the company is part of a group, please supply details of the group structure<sup>2</sup>**


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**Client classification**

We are required to classify clients into categories. Please tick the box of any of the statements below that apply to the company.

If you tick two or more of the boxes, please contact your Investment Manager as you may need different paperwork and an explanation of the effect of a new classification and the options available to you.

☐ The company has turnover (eg sales) of greater than EUR 40 million<sup>3</sup>

☐ The company has fixed and current assets of greater than EUR 20 million<sup>3</sup>

☐ The company has own funds (eg shareholder equity) of greater than EUR 2 million<sup>3</sup>

1 Only for charitable incorporated entities.

2 If it is easier, please provide an organisation chart.

3 If you are unsure of the exchange rate, please consult your Investment Manager.

# 6 AUTHORISED OFFICER INFORMATION

**Please complete**

In this Section please enter the details of entities and officers who need to be identified as being associated with this Agreement either as corporate trustees, trustees, directors or other authorised officers. It is essential that anyone who is to provide instructions to Rathbones or have signatory authority for the Fund is listed here.

**Corporate trustee 1 (if applicable)**

**Company registration number**

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**Company name**

**Address**

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**Postcode**

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**Telephone**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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**Please tick if you are a Financial Institution (FI)**

If so, please provide GIIN

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If you do not have a GIIN, please confirm that you have applied for or will be applying for one and forward to your Investment Manager as soon as it is available.

☐

**Corporate trustee 2 (if applicable)**

**Company registration number**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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**Company name**

**Address**

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**Postcode**

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**Telephone**

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☐

**Please tick if you are a Financial Institution (FI)**

If so, please provide GIIN

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If you do not have a GIIN, please confirm that you have applied for or will be applying for one and forward to your Investment Manager as soon as it is available.

☐

**Please note that the corporate trustee entity will need to have its identity verified as described in Section 14.4. Furthermore, all appropriate corporate trustee directors should be listed overleaf and will need to have their identity verified.**

## 6 AUTHORISED OFFICER INFORMATION CONTINUED

**Trustee/Director 1**

Or role (if other authorised officer)

☐ Trustee
                         
 ☐ Director

☐ Other (please specify)
**Title**
☐ Mr
     
 ☐ Mrs

☐ Ms
     
 ☐ Miss
     
 ☐ Other (please specify)
**Surname****Forename(s)****Date of birth**








☐ Tick here if this authorised officer will be providing Rathbones directly with instructions.
**Place and country of birth****Do you have a National Insurance (NI) Number?**
☐ Yes
                         
 ☐ No
**National Insurance Number**










**Address**


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**Postcode**






**Telephone**

Home

















Work

















Mobile

















Fax
















**Email address**

1

2

**Employment status**
☐ Retired
                         
 ☐ Employed

☐ House wife
                         
 ☐ Not employed

☐ Part time
                         
 ☐ Self employed
**Current or previous occupation**

**1 Tax residence**

Tax Identification Number (TIN)<sup>1</sup>
















**2 Tax residence**


Tax Identification Number (TIN)
















**3 Tax residence**


Tax Identification Number (TIN)
















**Are you a US citizen?**
☐ Yes
                         
 ☐ No
<sup>1</sup> For UK individuals this will be the National Insurance (NI) Number.

## 6 AUTHORISED OFFICER INFORMATION CONTINUED

**Trustee/Director 2**

Or role (if other authorised officer)

☐ Trustee
                         
 ☐ Director

☐ Other (please specify)
**Title**
☐ Mr
     
 ☐ Mrs

☐ Ms
     
 ☐ Miss
     
 ☐ Other (please specify)
**Surname****Forename(s)****Date of birth**
  
  
  
☐ Tick here if this authorised officer will be providing Rathbones directly with instructions.
**Place and country of birth****Do you have a National Insurance (NI) Number?**
☐ Yes
                         
 ☐ No
**National Insurance Number**
  
     

**Address**


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**Postcode**
   
  
**Telephone**

Home

                   

Work

                   

Mobile

                   

Fax

                   
**Email address**

1

2

**Employment status**
☐ Retired
                         
 ☐ Employed

☐ House wife
                         
 ☐ Not employed

☐ Part time
                         
 ☐ Self employed
**Current or previous occupation****1 Tax residence**Tax Identification Number (TIN)<sup>1</sup>
                   
**2 Tax residence**

Tax Identification Number (TIN)

                   
**3 Tax residence**

Tax Identification Number (TIN)

                   
**Are you a US citizen?**
☐ Yes
                         
 ☐ No

1 For UK individuals this will be the National Insurance (NI) Number.

## 6 AUTHORISED OFFICER INFORMATION CONTINUED

**Trustee/Director 3**

Or role (if other authorised officer)

☐ Trustee
                         
 ☐ Director

☐ Other (please specify)
**Title**
☐ Mr
     
 ☐ Mrs

☐ Ms
     
 ☐ Miss
     
 ☐ Other (please specify)
**Surname****Forename(s)****Date of birth**
  
  
  
☐ Tick here if this authorised officer will be providing Rathbones directly with instructions.
**Place and country of birth****Do you have a National Insurance (NI) Number?**
☐ Yes
                         
 ☐ No
**National Insurance Number**
  
     

**Address**


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**Postcode**
   
  
**Telephone**

Home

               

Work

               

Mobile

               

Fax

               
**Email address**

1

2

**Employment status**
☐ Retired
                         
 ☐ Employed

☐ House wife
                         
 ☐ Not employed

☐ Part time
                         
 ☐ Self employed
**Current or previous occupation****1 Tax residence**Tax Identification Number (TIN)<sup>1</sup>
               
**2 Tax residence**

Tax Identification Number (TIN)

               
**3 Tax residence**

Tax Identification Number (TIN)

               
**Are you a US citizen?**
☐ Yes
                         
 ☐ No

1 For UK individuals this will be the National Insurance (NI) Number.



## 6 AUTHORISED OFFICER INFORMATION CONTINUED

**Trustee/Director 4**

Or role (if other authorised officer)

☐ Trustee
                         
 ☐ Director

☐ Other (please specify)
**Title**
☐ Mr
     
 ☐ Mrs

☐ Ms
     
 ☐ Miss
     
 ☐ Other (please specify)
**Surname****Forename(s)****Date of birth**








☐ Tick here if this authorised officer will be providing Rathbones directly with instructions.
**Place and country of birth****Do you have a National Insurance (NI) Number?**
☐ Yes
                         
 ☐ No
**National Insurance Number**










**Address**


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**Postcode**






**Telephone**

Home

















Work

















Mobile

















Fax
















**Email address**

1

2

**Employment status**
☐ Retired
                         
 ☐ Employed

☐ House wife
                         
 ☐ Not employed

☐ Part time
                         
 ☐ Self employed
**Current or previous occupation****1 Tax residence**Tax Identification Number (TIN)<sup>1</sup>
















**2 Tax residence**

Tax Identification Number (TIN)
















**3 Tax residence**

Tax Identification Number (TIN)
















**Are you a US citizen?**
☐ Yes
                         
 ☐ No
<sup>1</sup> For UK individuals this will be the National Insurance (NI) Number.

**If there are additional corporate trustees, trustees, directors or other authorised officers whose details need to be provided please enter these in the Client notes Section on Page 30.**

# 7 PORTFOLIO SUITABILITY

**Please answer EVERY question in this Section.**

Rather than leaving any response blank please enter 0 or nil as appropriate.

In this Section we ask you about your entity's financial situation and the education, knowledge and experience of financial investments of the trustees, directors or other authorised officers. We appreciate that some of the questions may appear intrusive but please understand that your responses will help to determine whether the services we propose are both affordable and suitable.

**7.1 Income, assets and liabilities**

Please note that the questions below relate to the trust or company and not to the trustees or directors.

**Turnover/Income**

Investment income

- |  |  |
|--|--|
| <input type="checkbox"/> £0                | <input type="checkbox"/> £50,001 – £100,000  |
| <input type="checkbox"/> £1 – £10,000      | <input type="checkbox"/> £100,001 – £150,000 |
| <input type="checkbox"/> £10,001 – £20,000 | <input type="checkbox"/> £150,001 +          |
| <input type="checkbox"/> £20,001 – £50,000 |  |

Other

- |  |  |
|--|--|
| <input type="checkbox"/> £0                | <input type="checkbox"/> £50,001 – £100,000  |
| <input type="checkbox"/> £1 – £10,000      | <input type="checkbox"/> £100,001 – £150,000 |
| <input type="checkbox"/> £10,001 – £20,000 | <input type="checkbox"/> £150,001 +          |
| <input type="checkbox"/> £20,001 – £50,000 |  |

If other, please specify

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**Annual expenditure**

- |  |  |
|--|--|
| <input type="checkbox"/> £0                | <input type="checkbox"/> £50,001 – £100,000  |
| <input type="checkbox"/> £1 – £10,000      | <input type="checkbox"/> £100,001 – £150,000 |
| <input type="checkbox"/> £10,001 – £20,000 | <input type="checkbox"/> £150,001 +          |
| <input type="checkbox"/> £20,001 – £50,000 |  |

**Do you have any regular annual investments or financial planning commitments.**

- ☐ Yes (please detail) ☐ No

£

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**Assets**

Long term cash deposits

- ☐ Yes (please detail) ☐ No

£

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Property (approximate value)

- ☐ Yes (please detail) ☐ No

£

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Other investments including portfolios managed elsewhere

- ☐ Yes (please detail) ☐ No

£

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Other financial assets

- ☐ Yes (please detail) ☐ No

£

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## 7 PORTFOLIO SUITABILITY CONTINUED

**Please complete****7.1 Income, assets and liabilities** continued**Liabilities**

Commitments (eg mortgages, loans)

☐ Yes (please detail) ☐ No

£

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**Other assets and liabilities**☐ Yes (please detail) ☐ No

£

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**Please complete the following for the trustees, directors or other authorised officers as a group or, where appropriate, for those who will actively liaise with Rathbones in relation to the Portfolio.**

**7.2 Investment experience**

**What is the approximate average length of time the trustees/directors/authorised officers have been participants in financial markets?**

☐ More than 10 years ☐ 6 – 10 years☐ 5 years or less**7.3 Investment services used**

**For the individuals listed in Section 4 who will be providing instructions to Rathbones, please tick which of the following professional services they have previously used:**

- ☐ Having their investments managed for them by a professional on a discretionary basis
- ☐ Having their investments managed by a professional on a non-discretionary basis
- ☐ Managing their own investments subject to the receipt of advice from a professional
- ☐ Managing their own investments and directing a broker to deal for them
- ☐ None of the above

**7.4 Educational background**

**Please give details of the level at which the trustees/directors/authorised officers completed their formal education. Indicate the number of trustees/directors/authorised officers for each level:**

- ☐ Secondary school level
- ☐ Higher education/degree
- ☐ Professional/post graduate qualifications

# 8 OVERALL INVESTMENT POLICY

## Please answer EVERY question in this Section.

Rathbone Unitised Portfolio Service's investment policy seeks to respond to the financial needs you outline. We need to ascertain your broad Investment Objectives, knowledge and experience of financial instruments and the degree of risk that is acceptable to you.

The majority of our clients are looking to invest over the medium to long term and accordingly would expect the value of their investment Portfolios and the level of income produced to fluctuate.

With regard to risk, whilst the aggregate Portfolio should perform in accordance with your parameters, individual securities within a Portfolio may experience higher or lower fluctuations in value.

### 8.1 Proposed investment period

**Over what period are you seeking to invest your capital before requiring it for an alternative purpose?**

☐

More than 10 years

☐

6 – 10 years

☐

3 – 5 years

☐

2 years or less

### 8.2 Why are you investing?

**Please do not leave this question blank.**

To derive a suitable investment strategy for you we need to understand the reasons behind your decision to invest. In as many or as few words as you wish, please use the space below to provide a general explanation of why you are investing. This could be as simple as 'investing for long term growth' or 'to provide an income for the charity'. In addition, we also need details of any specific purpose(s) for which the Portfolio is likely to be used, eg purchasing property.

#### General explanation

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#### Specific purpose

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**We recognise that your circumstances may change over time, affecting the Portfolio strategy that we agree with you. Over the lifetime of your Portfolio it is likely that we will agree strategy variations with you to meet your changing requirements. Should your circumstances or goals alter, we therefore ask that you provide your Investment Manager with any information you feel may impact on the strategy agreed, so that they may consider it when managing or advising on your investments or providing services to you.**

**For trusts, current UK legislation (the Trustee Act 2000) imposes a requirement on trustees to have in place a policy statement providing guidance to Investment Managers which we request that you provide.**

## 8 OVERALL INVESTMENT POLICY CONTINUED

**8.3 Asset classes that may be used in your Portfolio**

The Rathbone Unitised Portfolio Service is a discretionary investment management service that principally uses portfolio funds offered by Rathbone Unit Trust Management Limited to invest in a wide range of asset classes. Please note that as the service may not use other providers' funds, our advice is restricted for the purposes of Financial Conduct Authority rules.

Your Investment Manager is responsible for determining in conjunction with you (and/or in discussion with your financial adviser if appropriate) your Investment Objective and Risk Profile, and, subject to our obligation to ensure suitability in respect of your Portfolio, selecting one or a combination of portfolio funds for you.

The portfolio funds accessed can invest in all available asset classes across the whole of the market and offer diversification regardless of the size of your Portfolio.

The asset allocation falls into two parts:

- Strategic asset allocation, which incorporates the long-term investment themes agreed by our Strategic Asset Allocation Committee; and
- Tactical asset allocation, which is undertaken to reflect short-term market movements.

The range of assets will normally include equities (covering both UK and international markets), fixed interest stocks (such as government bonds and corporate bonds) and cash. Historically, equity based investment has delivered the best long term returns and therefore it often forms a considerable part of our client Portfolios; however, it is the asset class that can exhibit the greatest risk or volatility. Consequently, you should consider this when deciding your Investment Objective(s) and Risk Profile(s).

To increase diversification in portfolios we may include a wider range of investments in portfolio funds that are sometimes referred to as alternative assets. These are designed to reduce volatility and, hence, risk. There are many different types of alternative assets, but they may include fund of hedge funds and structured products, as well as investments such as commodity or property funds.

**Please confirm the following**

We approve of and understand how different asset classes may be used in the portfolio funds and the construction of my/our Portfolio including equities, fixed interest stocks (such as government bonds and corporate bonds), cash, hedge funds, structured products, property funds and commodity funds, as described in the paragraphs above, the Terms of Business and Understanding Investment Risk and Return.

☐

Yes

☐

No

If your answer is **'No'** to the above question **the Rathbone Unitised Portfolio Service will not be suitable for you** and you should discuss your requirements with your Investment Manager who may be able to offer an alternative investment management service that will meet your needs.

**8.4 Restrictions on discretionary management**

In signing this form you accept that the portfolio funds offered by Rathbone Unit Trust Management may invest in the full range of asset classes and you are not able to place any restrictions on how your money should be invested within the portfolio funds (eg assets, funds or companies to avoid due to moral, ethical, political or corporate views etc).

If you wish to place **any restrictions** on where your money should be invested **the Rathbone Unitised Portfolio Service will not be suitable for you** and you should discuss your requirements with your Investment Manager.

## 8 OVERALL INVESTMENT POLICY CONTINUED

**8.5 Investment Objective**

In Section 9, you will be asked to indicate the Investment Objective for each of your Funds. The possible options are:

- a Capital growth priority**  
Income requirement will not be a prime consideration and emphasis will be placed on investments considered to have longer term growth potential.
- b Balanced between capital growth and income**  
A combination of (a) and (c) designed to produce growth both in capital and income (albeit at a lower level of growth and income than might be achieved in (a) or (c)).
- c Income priority**  
Income considerations will be given priority over and above the long term prospects for capital growth, which may result in the erosion of the purchasing power of capital.

**8.6 Risk Profile**

In Section 9, you will be asked to indicate the Risk Profile for each of your Funds. The possible options are:

- a Lower**  
A lower risk portfolio will aim over time to generate returns that exceed the return available on cash deposits. The returns may come from capital growth and/or income and should be achieved with significantly less fluctuation in value than major equity markets.  
  
A lower risk portfolio would be suitable for investors with a shorter time horizon and/or only a modest capacity for loss.
- b Medium**  
A medium risk portfolio will aim over time to achieve returns above the rate of inflation and should reflect the majority of the fluctuation in value of major equity markets.  
  
A medium risk portfolio will differ from a lower risk portfolio by being less diversified by asset classes and/or having greater exposure to equities, which may include shares in smaller and medium-sized companies and/or emerging markets.  
  
A medium risk portfolio would be suitable for investors with a medium time horizon and capacity to accept a temporary or, rarely, permanent capital loss.
- c Higher**  
A higher risk portfolio will aim over time to seek returns well in excess of inflation. The value of a higher risk portfolio may fluctuate significantly, in line with or more than major equity markets.  
  
A higher risk portfolio will differ from a medium risk portfolio by being less diversified and/or having greater exposure to equities, which may include shares in smaller and medium-sized companies and/or emerging markets. The portfolio may also have little or no exposure to asset classes that are considered to have lower risk characteristics.  
  
A higher risk portfolio would be suitable for clients with longer time horizons and the capacity to suffer a temporary or permanent capital loss.

**Before completing Section 9, we recommend that you read our document Understanding Investment Risk and Return. If there are any aspects of our risk definitions and their implications you do not understand, it is important that you seek clarification from your Investment Manager.**



# 9 FUND OPENING CONTINUED

## 9.3 Fund consolidation

Consolidating Funds for the purpose of asset allocation enables the Investment Manager, where necessary, to make decisions across the Portfolio as a whole. Unless you indicate otherwise, all Funds in this Agreement will be considered for consolidation for the purpose of asset allocation and may be consolidated at your Investment Manager's discretion.

## 9.4 Reporting

Periodic reports are available to clients and Connected Persons notified to us in this Agreement or separately in writing. We will provide periodic reports in printed format and/or online, subject to additional terms of business for online access. Where Funds have been consolidated for reporting purposes, we will ordinarily provide copies of reports relating to all Funds to the first named person(s). We may provide reports to any person(s) named in this Agreement from time to time upon request. We will only provide copies of the Annual Regulatory Report to the relevant owner(s) of the personal data, in accordance with our obligations under the Data Protection Act 1998.

Individual contract notes will not be provided for discretionary funds by default. Details of all contract notes will be included in the online and printed valuations. However, if individual contract notes are required as well, please discuss this with your Investment Manager. Should you specifically require dispatch on a T+1 basis, please discuss this with your Investment Manager.

Where you have provided us with Connected Persons (see Section 12) for reporting purposes, we will exercise our discretion in relation to the provision of reports to those persons.

A Connected Person is added to our records for reporting purposes only, and we will not release anything other than up to date valuation and transaction information, periodic reports or tax reporting material to them without your express consent in writing. If you would like a Connected Person to have wider access to information; please speak to your Investment Manager. Further documentation may be required in these circumstances, including identity and address verification for your Connected Persons.

We will only provide online access reports to any client or Connected Person where an email address has been provided for the recipient.

If you do not want all of the Funds to be consolidated for the purposes of asset allocation and reporting, please tick the box below, and where relevant provide details of any specific requirements. You should discuss the proposed arrangements with your Investment Manager to ensure we understand and can service your requirements.

☐ No – do **not** consolidate all of the Funds in this Agreement for the purpose of asset allocation, reporting and administration.

If you ticked 'No' above, please speak to your Investment Manager who will document your requirement at Section 13.

## Valuation frequency

**Please tick one of the following boxes to indicate how frequently valuations are to be received<sup>1</sup>.**

☐ Six monthly – April and September

☐ Six monthly – June and December

☐ Three monthly

## Online service

☐ Please tick if you would like to sign up to the online service. If yes, please ensure you have provided your email address in Section 6.

<sup>1</sup> Unless otherwise stated this will default to six monthly – 5 April and 30 September.



PORTFOLIO MANAGEMENT

10 PORTFOLIO INCOME

Please complete

In this Section you have the opportunity to decide what you would like done with income generated within your Portfolio. You may choose for it to be retained in your Portfolio for subsequent reinvestment or have it paid out periodically either wholly or as a fixed amount.

If you require:

- all of the income generated to be **retained for reinvestment**, please tick the *Retain for reinvestment* box;
- all of the income generated to be **paid out** monthly or quarterly, please tick the *All income* box and tick *Monthly* or *Quarterly* as appropriate;
- a fixed amount to be **paid out** monthly or quarterly, please enter the value to be paid out in the *Fixed amount* box and tick *Monthly* or *Quarterly* as appropriate.

|           | Retain for reinvestment  | Pay out <sup>1</sup>     | Payment frequency         |                          |                          |
|-----------|--------------------------|--------------------------|---------------------------|--------------------------|--------------------------|
|           |                          | All income               | Fixed amount <sup>2</sup> | Monthly                  | Quarterly                |
| Main Fund | <input type="checkbox"/> | <input type="checkbox"/> | £ <input type="text"/>    | <input type="checkbox"/> | <input type="checkbox"/> |

1

If you require a fixed amount to be paid out and insufficient income is generated by the Fund during the period, a capital withdrawal will need to take place.

2

For non sterling payments complete the "Pay Out" section on page 27.

11 BANK DETAILS UK

BANK DETAILS NON UK

Please complete

Please provide appropriate bank details so that payments can be made to you. If you prefer to have payments made to a non UK bank account please provide details in Section 11.2.

11.1 Bank account

Name of bank or building society

Account name

Bank account number

|  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|
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Bank sort code

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|--|--|--|--|--|--|--|--|
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Building society roll number

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
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11.2 Non UK/International bank account  
(if applicable)

Name of bank

Bank address

Country

Account name

SWIFTBIC/Bank code

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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Routing (if applicable)

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|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|

IBAN/Account number

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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Reference (if required)

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## 11 BANK DETAILS NON UK CONTINUED

**11.3 Portfolio income to non UK and/or non sterling accounts**  
 (if applicable)

|   | Retain for<br>reinvestment | Pay out <sup>1</sup>   | Payment frequency <sup>2</sup> |                          |
|---|----------------------------|--|--------------------------------|--------------------------|
|   |                            |  | Monthly                        | Quarterly                |
| <b>Fund account<br/>currency payment</b><br><br><b>Main Fund</b> <input type="checkbox"/> | <input type="checkbox"/>   | <b>Fund a/c<br/>currency<sup>3</sup></b> GBP <input type="checkbox"/><br>USD <input type="checkbox"/><br>EUR <input type="checkbox"/><br>Other <input type="checkbox"/> Please specify _____<br><br><b>All income</b> <input type="checkbox"/><br><br><b>Fixed amount</b> _____<br>of Fund a/c currency                              | <input type="checkbox"/>       | <input type="checkbox"/> |
| <b>Cross currency<br/>payment</b><br><br><b>Main Fund</b> <input type="checkbox"/>        | <input type="checkbox"/>   | <b>Fund a/c<br/>currency<sup>3</sup></b> GBP <input type="checkbox"/><br>USD <input type="checkbox"/><br>EUR <input type="checkbox"/><br>Other <input type="checkbox"/> Please specify _____<br><br><b>All income</b> <input type="checkbox"/><br><br><b>Fixed amount</b> _____ or _____<br>of Fund a/c currency of payment currency | <input type="checkbox"/>       | <input type="checkbox"/> |

1 If you require a fixed amount to be paid out and insufficient income is generated by the Fund during the period, a capital withdrawal will need to take place. Additionally, if there are insufficient funds in an ISA, any associated fixed amount payment will not be made.

2 If you choose to have income paid out from any Fund please select how regularly this should occur by ticking Monthly or Quarterly boxes as appropriate.

3 Your Investment Manager will be able to confirm whether we can provide a fund in an alternative currency.

## For all clients

## Accountant

**Company name**

## Title

Mr  Mrs

☐ Ms ☐ Miss ☐ Other (please specify)

**Surname**

**Forename(s)**

## Address

Postcode

\_\_\_\_\_

**Telephone**

\_\_\_\_\_

## Email

**Financial adviser/Intermediary**

**Company name**

## Title

Mr  Mrs

☐ Ms ☐ Miss ☐ Other (please specify)

**Surname**

Forename(s)

### Address

Postcode

1 2 3 4 5 6 7 8

Telephone

## Email



## 13 CLIENT NOTES

**Please attach additional sheets as necessary and specify the number of sheets in the box below.**

[illegible][illegible]

7

If additional sheets have been used please specify the number.

# 14 CLIENT VERIFICATION – ENTITY

**Please ensure that all copies provided are clearly legible.**

**This page does not apply to Bare Trusts except for footnote 1 below.**

Please note that trustees, directors or other authorised officers must sign this document for it to be valid. They must be listed in Section 6 and must provide identity verification documents as per this Section.

Please note that the information provided below applies to UK clients only and is not comprehensive.

For overseas clients and UK clients unable to provide the verification documents listed below, your Investment Manager will be pleased to explain what is required.

## 14.1 Getting your documents certified

We are required to verify the identity and address of every prospective client, both individuals and entities, by obtaining suitable certified documents. Certification may be performed either by a Rathbone Unitised Portfolio Service staff member or a third party as follows:

### Rathbone Unitised Portfolio Service certification

You can bring the appropriate original documents (see below) with you to a meeting with your Investment Manager who will take a copy of the originals and complete the certification process for you.

### Third party certification

If you prefer, certification can be performed by a professional who is governed by anti-money laundering regulations such as an accountant, banker, financial adviser, postmaster or solicitor. They will need to view the original document and write the following words on a copy of each document to be certified:

**‘I certify that this is a complete and true copy of the original document which I have seen’**

The professional should then sign underneath the words they have written and also write their name, the date they signed and the name and address of the company they work for.

## 14.2 Trust/Company agreements

**Please provide an original or certified copy of the following documents which are required when not all of the trustees/directors are signing the form.**

- Copy of minutes appointing Rathbone Unitised Portfolio Service as Investment Manager
- Copy of resolution confirming full authority of signatories to sign on behalf of the applying entity (for trusts and charitable trusts this should be signed by a quorum of trustees)

## 14.3 Trust agreements

**Please provide an original or certified copy of the following documents. Not applicable to company agreements.**

- Trust deed
- Trust investment policy statement<sup>2</sup>
- Trust accounts or latest financial statements (if applicable)
- Details of additional trustees
- All deeds of appointment and retirement of all trustees not mentioned in the original trust deed

## 14.4 Company agreements

**Please provide an original or certified copy of the following documents. Not applicable to trust agreements.**

- Copy of certificate of incorporation
- Memorandum and articles of association
- Latest financial statements
- Details of additional directors

## 14.5 Trade union agreements

**None of the above documents are required. Instead please provide the following.**

- Trade union rules book

## 14.6 Charity agreements

If the charity is governed by a trust deed, please refer to Section 14.3 above. If the charity is registered with Companies House, please refer to Section 14.4 above.

- 1 If this agreement is for a Bare Trust and there is a trust deed available, we ask that you provide it.
- 2 Current UK legislation (the Trustee Act 2000) imposes a requirement on trustees to have in place a policy statement providing guidance to Investment Managers which we request that you provide.

# 14 CLIENT VERIFICATION – INDIVIDUAL

## 14.7 Identity verification

**For EACH individual listed in Section 6 who will be providing instructions on the Portfolio, please verify their identity by providing ONE of the following. Either the original to be certified by Rathbone Unitised Portfolio Service or a copy certified by a third party.**

- Current passport
- Current full UK driving licence<sup>1</sup>
- HMRC tax notification<sup>2</sup>
- Government based correspondence<sup>3</sup>

**For UK based company agreements only, please provide one identification verification document from the following list for all shareholders with a shareholding of 25% or more (10% or more for non UK based):**

- Current passport
- Current full UK driving licence<sup>1</sup>
- HMRC tax notification<sup>2</sup>
- Government based correspondence<sup>3</sup>

## 14.8 Address verification

**For EACH individual listed in Section 6 who will be providing instructions on the Portfolio, please verify their address by providing ONE of the following. Either the original to be certified by Rathbone Unitised Portfolio Service or a copy certified by a third party. Please note that documents used to verify identity may NOT also be used to verify address.**

- Recent utility or council tax bill<sup>4</sup>
- Current full UK driving licence<sup>1</sup>
- Bank, building society, credit union statement/passbook (not older than 3 months)<sup>5</sup>
- Mortgage statement from recognised lender<sup>2</sup>

**For company agreements only, please provide one address verification document from the following list for all shareholders with a shareholding of 25% or more (10% or more for non UK based):**

- Recent utility or council tax bill<sup>4</sup>
- Current full UK driving licence<sup>1</sup>
- Bank, building society, credit union statement/passbook (not older than 3 months)<sup>5</sup>
- Mortgage statement from recognised lender<sup>2</sup>

## 14.9 Additional documentation

**Each individual listed in Section 6 who did not give their verification documents to their Investment Manager in person AND who will be providing instructions on the Portfolio should also provide ONE ADDITIONAL document from the following. Either the original to be certified by Rathbone Unitised Portfolio Service or a copy certified by a third party.**

- Personal portfolio statement from a regulated UK investment manager (not older than 3 months)
- Bank, building society, credit union statement/passbook (not older than 3 months)<sup>5,6</sup>
- Any of the documents listed in 14.7 providing they have not been used for primary identification

## 14.10 Non UK resident trust beneficiaries

**Please provide the following**

- A certified copy of either a non UK resident life tenant's passport or document, which includes an overseas Tax Identification Number (TIN)

1 Either the UK photocard licence or a current full old style paper licence. The paper counterpart of the photocard licence is not acceptable. Old style provisional licences are also not acceptable.

2 Not older than 12 months.

3 With relevant reference details eg date of birth or National Insurance number.

4 Utility bills must not be over 3 months old (printed online utility bills or mobile telephone bills are not acceptable). The local authority council tax bill must be for the current year.

5 Not older than 3 months (printed online bank statements are not acceptable).

6 Please note that if this proof has already been used to verify the client's address then it may NOT also be used as additional verification.



# 15 DECLARATIONS AND SIGNATURE(S)

I/We have received the documents making up the Rathbone Unitised Portfolio Service Agreement and Contractual Packs as described on Page 3 of this document and confirm I/we have agreed to Rathbone Unitised Portfolio Service managing and/or advising on the investments and maintaining as Banker, Capital, deposit and Income Accounts on my/our behalf, subject to the Terms of Business and other documents as referred to in the Terms of Business which make up my/our Agreement.

I/We confirm I/we are aware of the cancellation or withdrawal rights referred to in the Terms of Business (in Section 1 – My/Our Agreement and my/our services, under the subheadings, Cancellation rights and Withdrawal rights) under which my/our Funds are to be managed by Rathbone Unitised Portfolio Service.

I/We accept that the information supplied in this form is only to enable Rathbone Unitised Portfolio Service to manage or advise on my/our investment Portfolio in accordance with its Terms of Business.

I/We acknowledge that Rathbone Unitised Portfolio Service is not my/our general financial adviser or pensions adviser, and any tax information provided is in the context of the investment advice and services offered. Rathbone Unitised Portfolio Service is a trading name of Rathbone Investment Management Limited. Rathbone Investment Management Limited is the principal trading company and a Subsidiary of Rathbone Brothers Plc, and is a bank.

I/We have read all of this Client Agreement and Profile and I/we confirm that I/we have provided full and accurate information on my/our personal and financial circumstances in order that you may manage or advise on my/our investments accordingly. I/We understand the service that is being provided and that Rathbone Unitised Portfolio Service may decline to act on my/our behalf in the event that the information provided is incomplete.

I/We consent to Rathbone Unitised Portfolio Service's dealing and best execution arrangements and acknowledge that on some occasions when Rathbone Unitised Portfolio Service passes an order to another party for execution, the counterparty may execute the trade outside a regulated market or exchange.

I/We acknowledge that Rathbone Unitised Portfolio Service is a restricted advice service, as defined by the Financial Conduct Authority, and that the service for which I/we are applying will invest in a limited number of Retail Investment Products and will not conduct a review of the whole investment market in doing so.

I/We consent to the use of my/our Personal Data by Rathbone Unitised Portfolio Service and its group companies (including but not limited to Rathbone Brothers Plc, Rathbone Unit Trust Management, Rathbone Trust Company, and Rathbone Pension and Advisory Services), in accordance with the Terms of Business, and the Data Protection Act 1998.

I/We confirm that I/we have full authority to sign on behalf of the company/trust and if all directors/trustees<sup>1</sup> do not sign, a resolution authorising us will be provided.

**If there is anything you do not understand, please contact your Investment Manager before you sign and return this Agreement and associated forms.**

**Please note that a minimum of two trustees/directors or other authorised officers as listed in Section 6 and who have had their identity verified as per Section 14 must sign this document.**

## Trustee/Director<sup>1</sup>

**Signed**

**Name**

**Date**

**Signed**

**Name**

**Date**

**Signed**

**Name**

**Date**

**Signed**

**Name**

**Date**

<sup>1</sup> Or other authorised officer as described in Section 6 – Authorised officer information.

**If there are additional signatories and signatures, please enter these in the Client notes Section on Page 30.**

# INVESTMENT MANAGER NOTES

[illegible]

# FOR INTERNAL USE ONLY - NOT TO BE COMPLETED BY CLIENTS

## Initial Reporting Set-up

| Client Reporting     | Online<br>Service<br>Valuations | Online<br>Service<br>Taxation<br>Papers | Printed<br>Valuations    | Printed<br>Taxation<br>Papers | Contract<br>Notes <sup>1</sup> | Annual<br>Regulatory<br>Report |
|----------------------|---------------------------------|---|--------------------------|-------------------------------|--------------------------------|--------------------------------|
| Trustee / Director 1 | <input type="checkbox"/>        | <input type="checkbox"/>                | <input type="checkbox"/> | <input type="checkbox"/>      | <input type="checkbox"/>       | <input type="checkbox"/>       |
| Trustee / Director 2 | <input type="checkbox"/>        | <input type="checkbox"/>                | <input type="checkbox"/> | <input type="checkbox"/>      | <input type="checkbox"/>       | <input type="checkbox"/>       |
| Trustee / Director 3 | <input type="checkbox"/>        | <input type="checkbox"/>                | <input type="checkbox"/> | <input type="checkbox"/>      | <input type="checkbox"/>       | <input type="checkbox"/>       |
| Trustee / Director 4 | <input type="checkbox"/>        | <input type="checkbox"/>                | <input type="checkbox"/> | <input type="checkbox"/>      | <input type="checkbox"/>       | <input type="checkbox"/>       |

## Connected Persons Reporting

|                                |                          |                          |                          |                          |                          |
|--------------------------------|--------------------------|--------------------------|--------------------------|--------------------------|--------------------------|
| Accountant                     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Financial Adviser/Intermediary | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Other Connected Person 1       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Other Connected Person 2       | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

<sup>1</sup> For discretionary Funds, by default, individual contract notes will not be provided. Details of all contract notes will be included in the online and printed valuations. However, if individual contract notes are required as well, please place ticks in this column to indicate who should receive them.

Rathbone Unitised Portfolio Service is a trading name of Rathbone Investment Management Limited.  
Rathbone Investment Management Limited is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority.  
Registered office: Port of Liverpool Building, Pier Head, Liverpool. L3 1NW  
Registered in England number: 01448919  
VAT Registration number: GB 241 6893 49  
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