

MiFID II Legal Entity Identifier (LEI) Information Form

Client Name: _____

Client Code (If already existing Tilney client): _____

Tilney Contact Name: _____

Section 1: General Client Information

1.1 General information about your entity

Name of Entity: _____

Entity Legal Form:¹ _____

Registered Address:² _____

Country: _____ Postcode: _____

Registered Number Company/Charity only: _____

1. This refers to whether the entity is a trust, charity, company etc.

2. This address must match the entry at Companies House, Charity Commission, Pension Regulator or Trust Deeds

1.2 Authorised signatory details

Authorised Signatory

Full Name:³ _____

Position: _____ Telephone: _____

Email: _____

Address: _____

Country: _____ Postcode: _____

3. Please align first given name with formal documentation (e.g. passport or equivalent).

Section 2: LEI Related Information

2.1 The Entity does have an existing LEI number

If you have an existing LEI number, please provide it below, complete section 4 and return this to Tilney. The LEI number is a 20-character reference which is compulsory for each entity and is provided by the LSE or other relevant issuing authority upon application.

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☐ Please tick here if you would like to transfer the LEI renewal responsibility to Tilney, complete section 4 and provide the transfer of Legal Entity Identifier Authorisation letter to the London Stock Exchange

2.2(a) The Entity does not have an existing LEI number (please pick one option below)

☐ Where you wish to take responsibility for applying directly to an issuing body for an LEI number and for renewing it annually, please tick here. (Upon receipt of your LEI please forward it on to your Investment Manager or Financial Planner).

You can apply directly to the London Stock Exchange for a new LEI number (and also renew it annually) through the London Stock Exchange website at: <http://www.lseg.com/LEI>.

2.2(b)

☐ If you wish to instruct Tilney to apply for, and subsequently renew the LEI annually on your behalf, please tick here and also complete and return the enclosed Authorisation to apply form to Tilney.

The Authorisation to apply form (enclosed) is used to enable Tilney to act on your behalf in applying for an LEI number with an issuing authority. Please print/scan the Authorisation form onto your entity's headed paper, sign and return it to your Investment Manager or Financial Planner.

Section 3: LEI Charges

3.1 New LEI application Via Tilney	£70+VAT
3.2 Annual renewal of an existing LEI via Tilney	£60+VAT

The application fee will be charged at your next management fee charging date and annually thereafter.

Section 4: Declaration and Client Consent

I DECLARE THAT ON BEHALF OF THE ENTITY NAMED AT SECTION 1.1 ABOVE:

- The information provided in this form is to the best of my knowledge and belief, accurate and complete;
- I understand that if the information provided in this or (if applicable) the Authorisation to apply form is incorrect or incomplete, Tilney may not be able to carry out any transactions, or otherwise provide its services to me the above named entity;
- I will notify Tilney promptly in writing if any of the information provided in this form becomes incorrect or incomplete;
- Tilney shall not be responsible for the consequences of any incorrect or incomplete information being provided in this or (if applicable) the Authorisation to apply form, or if I do not notify Tilney of any such information subsequently becoming incorrect or incomplete;
- I understand that, in certain circumstances, Tilney will be obliged to share the information provided in this form with the relevant UK and Jersey tax authorities, who may pass it on to other tax authorities. By signing below, I provide my consent on behalf of the abovenamed entity to such information sharing;
- where I have chosen to request Tilney to renew the LEI number annually, Tilney will be responsible only for the period during which the above named entity remains a Tilney client; and
- Where applicable, I accept the charges of £70 + VAT for application and £60+VAT for renewal of an LEI number.

Before signing below please make sure that you have carefully read the above declaration and consent. If there is anything in this form that you do not understand, or if you have any questions, please discuss it with your Investment Manager or Financial Planner and seek clarification before signing. By signing below, you agree on behalf of the above named entity to both the declaration and consent.

Signatory

FULL NAME

SIGNATURE _____ DATE ____/____/____

Once completed, please return this form to Tilney in the pre-paid envelope provided

Section 5: Checklist - Documents to complete, sign and return to Tilney:

- Section 1.1
 - Any pre-filled information checked and verified ☐
 - Ensure all requested information is completed ☐
- Section 1.2
 - Ensure all requested information is completed ☐
- Section 2.1
 - Provided existing LEI (where applicable) ☐
- Section 2.2
 - Confirmed LEI status ☐
- Section 4
 - Sign declaration ☐
- Authorisation to apply form (where applicable)
 - Sign and complete your entity name and address ☐
- Authorisation Transfer (where applicable)
 - Sign and complete your entity name and address ☐
- Supporting Documentation
 - Copy of Trust Deeds/Copy of Pension Scheme details ☐

