

Charity Agreement Form for a Stockbroking Portfolio

Please complete this form to apply for an execution-only stockbroking portfolio for a charity.

Please complete all details in **CAPITALS**.

CHARITY DETAILS

Full Charity Name _____

Address* _____

_____ Postcode _____

Country _____

Date and Country of Incorporation/Creation ____/____/____

Country of Tax Residence _____

HMRC Number/ FICO Number _____

Registered Charity Number _____

Legal Entity Identifier (LEI)** _____

*Please note, this is the address that will be used for correspondence.

**If the charity does not have an LEI please provide evidence that this has been applied for, or contact your usual Redmayne Bentley office for further information.

MAIN CONTACT FOR CORRESPONDENCE

Full Name _____ Telephone _____

Email* _____ Role in Charity _____

*Please note, this will be the email used to access *myRB*. For further information please see page 4.

CHARITY DOCUMENTS

Please note that we require the documents below prior to opening the portfolio.

I have provided Redmayne Bentley with a certified* copy of the charity's governing document

I have provided Redmayne Bentley with an original/certified* copy of a bank statement, evidencing that the bank details are in the charity's name

*Certification should be undertaken by a regulated or professional person covered by money laundering regulation or a government department. Certified copies of documentary evidence should be marked "Original Seen" and, where there is a photograph, also confirm that the photograph is a "True Likeness". The certification should be dated, include a name, signature, address, a contact telephone number of the individual certifying, their capacity and a company stamp where possible.

Examples of who can certify:

- Director, officer or manager of a regulated financial services business
- Lawyer or Notary Public
- Accountant with a recognised professional qualification

PORTFOLIO FUNDING

Please indicate the main origin of the initial and ongoing funds or existing assets (if transfer or sale) for the portfolio. Please tick all that apply and select at least one.

- Accumulated investments Approx value £ _____
- Sale of property/business Approx value £ _____
- Fundraising Activity Approx value £ _____
- Bequests Approx value £ _____
- Other (please specify) _____ Approx value £ _____

Does the source relate fully or partially to the encashment of existing investments?

- Yes (please detail) No

Details _____

Please indicate the expected average monthly value of payments or funding into the portfolio.

- £0 - £5,000 per month £5,001 - £20,000 per month
- £20,001 - £50,000 per month >£50,000 per month
- Sales of shares only

TRUSTEE/AUTHORISED INDIVIDUAL VERIFICATION

In order to verify individuals linked to the charity, please complete for two trustees and any other individuals that are authorised to give instructions on this portfolio on behalf of the charity.

FIRST TRUSTEE DETAILS

Title _____ Surname _____
First Name(s) (In full) _____
Date of Birth _____/_____/_____
Nationality _____
Place and Country of Birth _____/_____
Residential Address _____
_____ Postcode _____
Country _____

SECOND TRUSTEE DETAILS

Title _____ Surname _____
First Name(s) (In full) _____
Date of Birth _____/_____/_____
Nationality _____
Place and Country of Birth _____/_____
Residential Address _____
_____ Postcode _____
Country _____

We are able to verify the identity of UK resident individuals via an electronic credit reference agency, based on the information provided. Should further information be required we may request identification documents, such as a driving licence or utility bill.

FIRST AUTHORISED INDIVIDUAL (if other than first or second trustee)

Title _____ Surname _____
First Name(s) (In full) _____
Date of Birth _____/_____/_____
Nationality _____
Place and Country of Birth _____/_____
Residential Address _____
_____ Postcode _____
Country _____

SECOND AUTHORISED INDIVIDUAL (if other than first or second trustee)

Title _____ Surname _____
First Name(s) (In full) _____
Date of Birth _____/_____/_____
Nationality _____
Place and Country of Birth _____/_____
Residential Address _____
_____ Postcode _____
Country _____

TRUSTEE IDENTIFICATION

In order to identify all individuals linked to the charity, please complete for all remaining trustees who did not complete the 'Trustee/ Authorised Individual Verification' section.

Title _____ Surname _____ Title _____ Surname _____

First Name(s) (In full) _____ First Name(s) (In full) _____

Country of Residence _____ Country of Residence _____

Title _____ Surname _____ Title _____ Surname _____

First Name(s) (In full) _____ First Name(s) (In full) _____

Country of Residence _____ Country of Residence _____

Title _____ Surname _____ Title _____ Surname _____

First Name(s) (In full) _____ First Name(s) (In full) _____

Country of Residence _____ Country of Residence _____

Title _____ Surname _____ Title _____ Surname _____

First Name(s) (In full) _____ First Name(s) (In full) _____

Country of Residence _____ Country of Residence _____

Title _____ Surname _____ Title _____ Surname _____

First Name(s) (In full) _____ First Name(s) (In full) _____

Country of Residence _____ Country of Residence _____

If further trustees are required, please photocopy this page, complete and attach to the form.

PAYMENTS

Please select one of the following options:

- Option 1 – Retain dividends and settlements on a deposit account
- Option 2 – Pay dividends and settlements to designated bank account
- Option 3 – Pay dividends to designated bank account and retain settlements on deposit account
- Option 4 – Retain dividends on income account and retain settlements on deposit account

We require details of the charity's bank/building society so that we can make a BACS payment when a withdrawal is requested.

Where bank details are provided, these should be for the same account as the bank statement provided. We require evidence of the charity's bank or building society account: please provide a current hard copy document sent from the charity's bank or building society detailing the charity's name, bank account name, account number and sort code, such as a statement with full headers, recent correspondence or a spoiled cheque. Please note that we can only accept an online bank statement if it is a PDF.

Name of Bank or Building Society _____

Branch Address _____ Postcode _____

Bank Account Holder's Name(s) _____

Bank Sort Code ____/____/____ Bank Account Number _____ Roll Number _____

Additional requirements for Non-UK Bank Accounts:

IBAN _____ SWIFT/BIC Code _____

CLIENT PORTAL: myRB

If you have provided an email address, we will register you for our online client portal myRB. You will be issued with an email detailing information about how to activate and log in to myRB.

myRB enables you to: view all portfolio balances, holdings, valuations, activity and performance; send/receive secure messages to/from your Redmayne Bentley executive/office; view portfolio documents, such as Contract Notes and Statements; make secure payments to your portfolio(s).

PRIVACY POLICY

Our *Privacy Policy* contains information on how we will store and use personal information and your rights in relation to this. Our full policy can be viewed online at www.redmayne.co.uk/privacy or in hard copy on request.

MARKETING COMMUNICATIONS

We would like permission to contact you by email with relevant marketing information about the services we provide. Please note that if you have already provided your consent then we will use this unless you inform us that you wish to withdraw your consent. If you have not already provided your consent for us to contact you with relevant marketing information, and have provided an email address, please indicate which type of communications you would be happy to receive from us by ticking the boxes below.

Services and products that may be of interest to you:	Main Contact (correspondence) <input type="checkbox"/>
Stock market investment news and investment opportunities:	Main Contact (correspondence) <input type="checkbox"/>
Details of investment seminars and events:	Main Contact (correspondence) <input type="checkbox"/>

Other individuals can also give consent for relevant email marketing via your usual Redmayne Bentley office, detailing the request and providing an email address. We may use personal data based on legitimate interest to contact you occasionally for marketing purposes by post. If we do so we will aim to ensure the content is relevant. If you do not wish to receive such messages by post, please contact us.

SUBSCRIBE TO OUR INVESTMENT PUBLICATIONS

Market Insight is our monthly publication. It is published on two months in each quarter. The aim of *Market Insight* is to explore a current investment theme by looking at the UK and global backdrop, to provide insight as well as give ideas for gaining exposure. *Market Insight* is available only by email.

By ticking this box I (the main contact for correspondence) consent to being sent *Market Insight* by email from Redmayne Bentley:

1875 is published in the remaining month of each quarter. It includes *Market Insight*, but with additional articles covering topical features and the macro-economic environment. *1875* is available by email by default. However, if you require a printed copy, please contact us and we will be able to arrange this.

By ticking this box I (the main contact for correspondence) consent to being sent *1875* by email from Redmayne Bentley:

Other individuals can also subscribe to the above publications via your usual Redmayne Bentley office, detailing the request and providing an email address.

NEW ISSUES AND INITIAL PUBLIC OFFERINGS (IPOS)

Sign up for email alerts regarding new issues and initial public offerings (IPOs) available through Redmayne Bentley.

Main Contact (correspondence)

We cannot guarantee that you will be notified about all new issues and IPOs and the email alerts are dependent on eligibility and Redmayne Bentley's participation.

DECLARATION

- We authorise Redmayne Bentley to administer the Charity’s portfolio using the Redmayne Bentley Nominee and cash deposit facilities.
- We understand that this is Redmayne Bentley’s standard agreement for stockbroking services and this agreement form, along with the *Stockbroking and Dealing with Advice Terms of Business* and *Schedule of Charges*, constitute a legally binding agreement in English law.
- We understand that Redmayne Bentley will execute orders in line with their *Order Execution Policy* (available at www.redmayne.co.uk/orderexecution).
- We agree that if there are any changes to the terms of this agreement, for example the fees payable to Redmayne Bentley, this will be agreed and confirmed in writing to us.
- We understand that if our agreement with you is cancelled for any reason, Redmayne Bentley reserves the right to retain any of the charges incurred.
- We declare that this agreement form has been completed to the best of our knowledge.

FIRST TRUSTEE SIGNATORY

 _____ / _____ / _____
SIGNATURE PRINT NAME DATE

SECOND TRUSTEE SIGNATORY

 _____ / _____ / _____
SIGNATURE PRINT NAME DATE