Nominee Agreement Form for a Stockbroking Portfolio

Redmayne Bentley

This form is required to complete the opening of your execution-only stockbroking portfolio. For further details please contact your local office. Please ensure you have read the *Stockbroking Services Schedule of Charges, Ancillary Charges* and *Stockbroking and Dealing with Advice Terms of Business* (available at **www.redmayne.co.uk/terms**). Our *Privacy Policy* contains information on how we will store and use your personal information and your rights in relation to this. You can view the full policy online at **www.redmayne.co.uk/privacy** or in hard copy on request.

Please complete all details in **CAPITALS**.

Redmayne Bentley Portfolio ID (If known) ____________________

If you would like your portfolio to be held at a specific office location, please give the name of that office here*: ____________________

**Please note that if you do not specify an office, your portfolio will be held at our Head Office*

PERSONAL DETAILS

FIRST PORTFOLIO HOLDER

Title ________ Surname ____________________

First Name(s) (In full) ____________________

Date of Birth _____/_____/_____

Country & Place of Birth ____________________/____________________

Country(ies) where taxed ____________________

Tax Identification Number* ____________________

** In the UK, this is your National Insurance Number.*

Nationalities ____________________ National Identifier** ____________________

____________________ ____________________

SECOND PORTFOLIO HOLDER (If applicable)

Title ________ Surname ____________________

First Name(s) (In full) ____________________

Date of Birth _____/_____/_____

Country & Place of Birth ____________________/____________________

Country(ies) where taxed ____________________

Tax Identification Number* ____________________

** In the UK, this is your National Insurance Number.*

Nationalities ____________________ National Identifier** ____________________

____________________ ____________________

If your Nationality is British, this is your National Insurance Number; if not, or if you have dual Nationality, please see* ***www.redmayne.co.uk/NID *for further information on the details you need to provide for the National Identifier, which may be different from your Tax Identification Number.*

FIRST PORTFOLIO HOLDER

Residential Address ____________________

____________________ Postcode ____________________

Tel ____________________

Tel (Mobile) ____________________

Email ____________________

Occupation (previous, if retired) ____________________

Employer (previous, if retired) ____________________

Expected average monthly value of payments or funding into the portfolio:

____

Main origin of the initial and ongoing funds:

____

SECOND PORTFOLIO HOLDER

Residential Address ____________________

____________________ Postcode ____________________

Tel ____________________

Tel (Mobile) ____________________

Email ____________________

Occupation (previous, if retired) ____________________

Employer (previous, if retired) ____________________

Expected average monthly value of payments or funding into the portfolio:

____

Main origin of the initial and ongoing funds:

____

CLIENT PORTAL: *my*RB

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

*my*RB 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, for example Contract Notes and Statements.
- Make secure payments to your portfolio(s).

CORPORATE ACTIONS

You will be notified of new events that have a material impact on your holdings by email or post. If you have been registered for our client portal you can visit the Corporate Actions page to access the details of the new event and you will be able to make an election (stockbroking portfolios only) within the portal. Elections can also be made by contacting your Redmayne Bentley executive or office.

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:

First Portfolio Holder ☐ Second Portfolio Holder ☐

Stock market investment news and investment opportunities:

First Portfolio Holder ☐ Second Portfolio Holder ☐

Details of investment seminars and events:

First Portfolio Holder ☐ Second Portfolio Holder ☐

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 your Redmayne Bentley executive or office.

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 consent to being sent *Market Insight* by email from Redmayne Bentley:

First Portfolio Holder ☐ Second Portfolio Holder ☐

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 your Redmayne Bentley executive or office and they will be able to arrange this.

By ticking this box I consent to being sent *1875* by email from Redmayne Bentley:

First Portfolio Holder ☐ Second Portfolio Holder ☐

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 evidence of your bank or building society account: please provide a current hard copy document sent from your bank or building society detailing your 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.

BANK/BUILDING SOCIETY DETAILS

Name of Bank or Building Society ______________________________

Branch Address ______________________________

______________________________ Postcode ______________

Bank Account Holder's Name(s) ______________________________ Currency ______________

Bank Sort Code ____/____/____ Bank Account Number ______________________ Roll Number ______________

Additional requirements for Non-UK Bank Accounts:

IBAN ______________________________ SWIFT/BIC Code ______________________

DECLARATION

- I/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 *Stockbroking Services Schedule of Charges,* constitute a legally binding agreement in English law.
- I/We understand that Redmayne Bentley will execute orders in line with the *Order Execution Policy* (available at **www.redmayne.co.uk/orderexecution).**
- I/We confirm that I am/we are not a United States 'person' as defined by FATCA, or a Canadian resident.
- I/We declare that this agreement form has been completed to the best of my/our knowledge.

PLEASE SIGN HERE

______________________________ ____/____/____ ______________________________ ____/____/____

FIRST PORTFOLIO HOLDER | DATE | SECOND PORTFOLIO HOLDER (If applicable) | DATE

Please ensure you have completed **ALL FIELDS** and return to: Onboarding, Redmayne Bentley, 3 Wellington Place, Leeds LS1 4AP