Pension Scheme Agreement Form for a Stockbroking Portfolio

Redmayne Bentley

Please complete this form to apply for an execution-only stockbroking portfolio for a pension scheme. Please complete all details in **CAPITALS.**

PENSION SCHEME DETAILS

Full Pension Scheme Name ______________________________

Pension Scheme Tax Reference Number ____________________

Country of Establishment ______________________________

Legal Entity Identifier (LEI)* ____________________

Date of Establishment ______________________________

Country of Tax Residence ____________________

Type of Pension Scheme: ☐ DB (Defined Benefit) ☐ SSAS (Small Self-Administered Scheme)

☐ QROPS (Qualifying Recognised Overseas Pension Scheme)

**If the pension scheme does not have an LEI please provide evidence that this has been applied for, or please contact us for further information. Please note that single-member QROPS do not require an LEI, we will require evidence of the scheme's single member status.*

PENSION SCHEME DOCUMENTS

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

☐ I/We have provided Redmayne Bentley with a certified* copy of the Pension Scheme Trust Deed and Scheme Rules, as well as any Trustee appointments/removals.

☐ I/We have provided Redmayne Bentley with a certified* copy of letter/evidence of the relevant tax authority registration (in the UK, this is HMRC).

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

PROFESSIONAL TRUSTEE/SCHEME ADMINISTRATOR

☐ Yes ☐ No If there is a Professional Trustee or Scheme Administrator, please complete the below.

☐ Professional Trustee ☐ Scheme Administrator

Company Name ______________________________

Tel ______________________________

Corporate Registration Number ______________________________

Country of Registration ______________________________

Country and Date of Establishment ______________________________

____

Address ______________________________

____

____

Postcode ______________________________

Country of Tax Residence ______________________________

The Scheme Administrator will be entitled to request information about the pension scheme. All instructions must come from the trustee(s).

Trustee Only

Is the Trustee a regulated entity? ☐ Yes ☐ No

If yes, please state their regulator ____________________ Tel ____________________ Email ____________________

and provide a certified copy of their authorised signatory list. If no, we will require additional verification documents.

TRUSTEE/MEMBER VERIFICATION

In order to verify individuals linked to the pension scheme, please complete for all Trustees/Members who are authorised to give instructions on behalf of the scheme.

AUTHORISED INDIVIDUAL ONE

☐ Trustee ☐ Member

Title ________ Surname ______________________________

First Name(s) (In full) ______________________________

Date of Birth _____/_____/_____

Residential Address ______________________________

____

______________________ Postcode ______________

Nationality ______________________________

Place and Country of Birth ______________________________

Tel ______________ Email ______________________

AUTHORISED INDIVIDUAL TWO

☐ Trustee ☐ Member

Title ________ Surname ______________________________

First Name(s) (In full) ______________________________

Date of Birth _____/_____/_____

Residential Address ______________________________

____

______________________ Postcode ______________

Nationality ______________________________

Place and Country of Birth ______________________________

Tel ______________ Email ______________________

PRIMARY CONTACT

Please confirm who you wish to be the primary contact for the scheme:

☐ Professional / Corporate Trustee ☐ Authorised Individual One ☐ Authorised Individual Two

If further trustees/members are authorised to give instructions on behalf of the scheme, please copy this page, complete and attach to the form. Please note, this will be the email used to access *my*RB. For further information please see page 3.

In order to identify all trustees of the scheme, please complete for all remaining trustees.

Title ________ Surname ______________________________

First Name(s) (In full) ______________________________

Country of Residence ______________________________

Address ______________________________

______________________ Postcode ______________

Date of Birth _____/_____/_______

Title ________ Surname ______________________________

First Name(s) (In full) ______________________________

Country of Residence ______________________________

Address ______________________________

______________________ Postcode ______________

Date of Birth _____/_____/_______

Title ________ Surname ______________________________

First Name(s) (In full) ______________________________

Country of Residence ______________________________

Address ______________________________

______________________ Postcode ______________

Date of Birth _____/_____/_______

Title ________ Surname ______________________________

First Name(s) (In full) ______________________________

Country of Residence ______________________________

Address ______________________________

______________________ Postcode ______________

Date of Birth _____/_____/_______

Title ________ Surname ______________________________

First Name(s) (In full) ______________________________

Country of Residence ______________________________

Address ______________________________

______________________ Postcode ______________

Date of Birth _____/_____/_______

Title ________ Surname ______________________________

First Name(s) (In full) ______________________________

Country of Residence ______________________________

Address ______________________________

______________________ Postcode ______________

Date of Birth _____/_____/_______

QROPS-ONLY INFORMATION

If your Pension Scheme is a single-member QROPS, please also complete these details as the member:

Nationality(ies) ____________________

National Identifier† ____________________

† If your Nationality is British, this is your National Insurance Number; if you have a different Nationality, 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 to your Tax Identification Number.*

PORTFOLIO FUNDING

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

☐ £0 - £5,000 per month on average

☐ £5,001 - £20,000 per month on average

☐ £20,001 - £50,000 per month on average

☐ >£50,000 per month on average

☐ Sale of shares only

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

☐ Sale of property/business

☐ Sponsor contributions: Approx. value £____________

☐ Other:____________________ Approx. value £__________

CLIENT PORTAL: *my*RB

If you have provided an email address, we will register you for our online client portal *my*RB. 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, such as Contract Notes and Statements; make secure payments to the scheme's portfolio(s).

PRIVACY POLICY

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.

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:	Primary Contact ☐
Stock market investment news and investment opportunities:	Primary Contact ☐
Details of investment seminars and events:	Primary Contact ☐

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.

NEW ISSUES AND INITIAL PUBLIC OFFERINGS (IPOS)

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

Primary Contact ☐

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.

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 primary contact) 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 primary contact) 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.

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 Scheme's bank/building society so that we can make a BACS payment when a withdrawal is requested. We require evidence of the Scheme's bank or building society account: please provide a current hard copy document sent from the Scheme's bank or building society detailing the Scheme'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 ______________________

DECLARATION

- 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.
- We authorise Redmayne Bentley to administer the pension scheme's portfolio using the Redmayne Bentley Nominee and cash deposit facilities.
- We understand that Redmayne Bentley will execute orders in line with the *Order Execution Policy* (available at **www.redmayne.co.uk/orderexecution).**
- We confirm that we are not a United States 'person' as defined by FATCA, or a Canadian resident.
- We declare that this agreement form has been completed to the best of our knowledge.

ALL AUTHORISED INDIVIDUALS TO SIGN

______________________ ______________________ ____/____/____

AUTHORISED INDIVIDUAL ONE PRINT NAME DATE

______________________ ______________________ ____/____/____

AUTHORISED INDIVIDUAL TWO PRINT NAME DATE

If further trustees/members are authorised to give instructions on behalf of the scheme, please copy this page, complete and attach to the form.

Please return this form along with the required supporting documentation to your usual Redmayne Bentley office.

FOR OFFICE USE ONLY

Party ID(s) ______________________________

Managing Team ______________________________

Primary Executive (if applicable) ______________________________

Role Communication Medium Paper ☐ Portal ☐

Commission Code ______________________________

Agent 1 ______________________________ Commission split __________%

Agent 2 ______________________________ Commission split __________%

Agent 3 ______________________________ Commission split __________%

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For individual office details, visit redmayne.co.uk

PENSION SB CAF 09/24/004 RB0905