

# Nominee Agreement Form for an Investment Club

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 the *Stockbroking and Dealing with Advice Terms of Business* (available at [www.redmayne.co.uk/terms](http://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](http://www.redmayne.co.uk/privacy) or in hard copy on request. Please complete all details in **CAPITALS**.

Name of Investment Club: \_\_\_\_\_

Legal Entity Identifier (LEI) No\*: \_\_\_\_\_

*\*If the Club does not have an LEI please provide evidence that this has been applied for, or contact your local office for further information.*

Date and Country of Establishment: \_\_\_\_\_

Country of Tax Residence: \_\_\_\_\_

Two members of the Investment Club must be elected as authorised to give dealing instructions to Redmayne Bentley on behalf of the Investment Club. The first elected member will receive all main correspondence. The second elected member will receive details of all transactions which are undertaken on behalf of the Investment Club in the form of a copy contract.

I have provided Redmayne Bentley with a †certified copy of the Investment Club's Constitution and Rules

I have provided Redmayne Bentley with a †certified copy of a bank statement to evidence the bank account in the name of the Investment Club

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*

†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

## PERSONAL DETAILS

### FIRST ELECTED MEMBER

Title \_\_\_\_\_ Surname \_\_\_\_\_

First Name(s) (In full) \_\_\_\_\_

Date of Birth \_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_

Residential Address \_\_\_\_\_  
\_\_\_\_\_

Tel \_\_\_\_\_

Tel (Mobile) \_\_\_\_\_

Email \_\_\_\_\_

Country & Place of Birth \_\_\_\_\_/\_\_\_\_\_

Nationalities \_\_\_\_\_ National Identifier\*\* \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### SECOND ELECTED MEMBER

Title \_\_\_\_\_ Surname \_\_\_\_\_

First Name(s) (In full) \_\_\_\_\_

Date of Birth \_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_

Residential Address \_\_\_\_\_  
\_\_\_\_\_

Tel \_\_\_\_\_

Tel (Mobile) \_\_\_\_\_

Email \_\_\_\_\_

Country & Place of Birth \_\_\_\_\_/\_\_\_\_\_

Nationalities \_\_\_\_\_ National Identifier\*\* \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Please complete the details and sign below for each individual member of the Investment Club. This page can be photocopied for additional member details. (ALL FIELDS are mandatory and are to be completed in CAPITALS).

Title _____ Surname _____	Title _____ Surname _____
First Name(s) (In full) _____	First Name(s) (In full) _____
Country of Residence _____	Country of Residence _____
Country & Place of Birth _____/_____	Country & Place of Birth _____/_____
Nationalities _____ National Identifier** _____	Nationalities _____ National Identifier** _____
_____	_____
_____	_____



MEMBER \_\_\_\_\_ DATE \_\_\_\_/\_\_\_\_/\_\_\_\_



MEMBER \_\_\_\_\_ DATE \_\_\_\_/\_\_\_\_/\_\_\_\_

Title _____ Surname _____	Title _____ Surname _____
First Name(s) (In full) _____	First Name(s) (In full) _____
Country of Residence _____	Country of Residence _____
Country & Place of Birth _____/_____	Country & Place of Birth _____/_____
Nationalities _____ National Identifier** _____	Nationalities _____ National Identifier** _____
_____	_____
_____	_____



MEMBER \_\_\_\_\_ DATE \_\_\_\_/\_\_\_\_/\_\_\_\_



MEMBER \_\_\_\_\_ DATE \_\_\_\_/\_\_\_\_/\_\_\_\_

Title _____ Surname _____	Title _____ Surname _____
First Name(s) (In full) _____	First Name(s) (In full) _____
Country of Residence _____	Country of Residence _____
Country & Place of Birth _____/_____	Country & Place of Birth _____/_____
Nationalities _____ National Identifier** _____	Nationalities _____ National Identifier** _____
_____	_____
_____	_____



MEMBER \_\_\_\_\_ DATE \_\_\_\_/\_\_\_\_/\_\_\_\_



MEMBER \_\_\_\_\_ DATE \_\_\_\_/\_\_\_\_/\_\_\_\_

**\*\*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](http://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.**

## ACCOUNT FUNDING

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

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

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

- Accumulated investments                       Member contributions: Approx. value £ \_\_\_\_\_  
 Other: \_\_\_\_\_ Approx. value £ \_\_\_\_\_
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## CLIENT PORTAL: myRB

If you have provided an email address, we will register you for myRB our online client portal. You will be issued with 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 investment manager.
  - View portfolio documents, for example Investment Reports.
  - Make secure payments to your portfolio(s).
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## MARKETING COMMUNICATIONS

We would like your permission to contact you by email with relevant marketing information about your account and 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                        
Stock market investment news and investment opportunities             
Details of investment seminars and events

We may use your 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 to you. If you do not wish to receive such messages by post, please contact your Redmayne Bentley office or executive.

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## 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

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## 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 the investment club's bank or building society account: please provide a current hard copy document sent from the investment club's bank or building society detailing its 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.

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## 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 \_\_\_\_\_

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## DECLARATION

- We give Redmayne Bentley the authorisation to administer our account using the Redmayne Bentley Nominee and cash deposit facilities.
- We confirm that the investment club is not a collective investment scheme under section 235 of the Financial Services and Markets Act 2000.
- 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 understand that Redmayne Bentley will execute orders in line with the *Order Execution Policy* (available at [www.redmayne.co.uk/orderexecution](http://www.redmayne.co.uk/orderexecution)).
- We confirm that none of the aforementioned individuals are 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.

## PLEASE SIGN HERE



\_\_\_\_\_/\_\_\_\_/\_\_\_\_

FIRST ELECTED MEMBER

DATE



SECOND ELECTED MEMBER

DATE

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