

Charity Agreement Form for a Stockbroking Account

Please complete this form to open a nominee stockbroking account for a Charity.

Please complete all details in **CAPITALS**.

CHARITY DETAILS

Full Charity Name _____

Country of Establishment _____

Address* _____

_____ Postcode _____

Country _____

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 Client Web Access. For further information please see page 3.

CHARITY DOCUMENTS

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

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

ACCOUNT FUNDING

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 Approx value £ _____
- Sale of property/business Approx value £ _____
- Fund Raising Activity Approx value £ _____
- Bequests Approx value £ _____
- Other (please specify) _____ Approx value £ _____

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

- Yes (please detail) No

Details _____

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
- 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 account on behalf of the Charity.

FIRST TRUSTEE DETAILS

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

SECOND TRUSTEE DETAILS

Title _____ Surname _____
 First Name(s) (In full) _____
 Date 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, for example, 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 _____ / _____ / _____
 Residential Address _____
 _____ Postcode _____
 Country _____

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

Title _____ Surname _____
 First Name(s) (In full) _____
 Date 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.

CLIENT WEB ACCESS (CWA) INCLUDING ELECTRONIC CONTRACT NOTES AND STATEMENTS

If the Charity has provided an email address, we will register it for our Client Web Access (CWA), enabling the Trustees to view online the Charity's portfolio valuation, balances, contract notes and statements. The Charity can also make secure payments to its account(s) and set or change its communication preferences. We will issue an email notification when a new document is available to view in CWA, unless we have already been advised that the Trustees wish to receive documents by post. Please note, certificated transactions are not detailed in CWA portfolio valuations or statements. Please note that there can be only one set of login credentials per account.

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 bank account
- Option 3 – Pay dividends to bank 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.

Name of Bank or Building Society _____

Branch Address _____ Postcode _____

Bank Account Holder's Name(s) _____

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

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 the Charity by email with relevant marketing information about the Charity's 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. Please note that if you tick any of the boxes below, email communications will be sent to the person named as the main contact on page 1.

- Services and products that may be of interest to the Charity
- Stock market investment news and investment opportunities
- Details of investment seminars and events

We may use personal data based on legitimate interest to contact the Charity occasionally for marketing purposes by post. If we do so we will aim to ensure the content is relevant to the Charity. If the Charity does not wish to receive such messages by post, please contact your usual Redmayne Bentley office.

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 *Schedule of Charges*, constitute a legally binding agreement in English law.
- I/We understand that Redmayne Bentley will execute orders in line with their *Order Execution Policy* (available at www.redmayne.co.uk/orderexecution).
- I/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 me/us.
- I/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.
- I/We declare that this agreement form has been completed to the best of my/our knowledge.

FIRST TRUSTEE SIGNATORY

 _____ /_____/_____
SIGNATURE PRINT NAME DATE

SECOND TRUSTEE SIGNATORY

 _____ /_____/_____
SIGNATURE PRINT NAME DATE

Please return this form along with supporting documentation to your usual Redmayne Bentley contact.