

Company Agreement Form for a Stockbroking Account



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

Please complete all details in **CAPITALS**.

COMPANY DETAILS

Full Company Name _____

Place of Registration _____

Principal Activities _____

Registered Address* _____

_____ Postcode _____

Country _____

Registered Number _____

Legal Entity Identifier (LEI)** _____

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

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

MAIN CONTACT FOR CORRESPONDENCE

Full Name _____ Telephone _____

Email† _____ Role in Company _____

†Please note, this will be the email used to access Client Web Access. For further information please see page 4.

US CONNECTIONS

Are any of the Directors/Controlling Shareholders a US 'person' or 'citizen'?

Yes (please detail) No

Details _____

COMPANY DOCUMENTS

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

- I/We have provided Redmayne Bentley with a Certified* copy of the Certificate of Incorporation.
- I/We have provided Redmayne Bentley with a Certified* copy of Memorandum and Articles of Association.
- I/We have provided Redmayne Bentley with an original/Certified* copy of a bank statement, evidencing that the bank details are in the company's name.

Is the company regulated and/or listed on a stock exchange?

- Yes No

If 'yes', please provide an original or certified* copy of the Authorised Signatory List.

*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

If the Company is based outside the UK we require further documentation. Please speak to your usual Redmayne Bentley office for more information.

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 £ _____
- Shareholder funding Approx value £ _____
- Profits 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

DIRECTOR / CONTROLLING SHAREHOLDER (+25%) / AUTHORISED INDIVIDUAL VERIFICATION

In order to verify individuals linked to the Company, please complete for two directors (if a sole director complete for one director and the Company Secretary), all controlling shareholders (+25%), and any individuals that are authorised to give instructions on this account on behalf of the Company.

DIRECTOR/CONTROLLING SHAREHOLDER DETAILS

Director Controlling Shareholder (+25%)
 Authorised Individual

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

The following are only required for 'controlling shareholders'.

Country of birth _____
Place of birth _____
Countries where taxed _____
Tax Identification Number* _____
Nationality _____

Director Controlling Shareholder (+25%)
 Authorised Individual

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

The following are only required for 'controlling shareholders'.

Country of birth _____
Place of birth _____
Countries where taxed _____
Tax Identification Number* _____
Nationality _____

Director Controlling Shareholder (+25%)
 Authorised Individual

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

The following are only required for 'controlling shareholders'.

Country of birth _____
Place of birth _____
Countries where taxed _____
Tax Identification Number* _____
Nationality _____

Director Controlling Shareholder (+25%)
 Authorised Individual

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

The following are only required for 'controlling shareholders'.

Country of birth _____
Place of birth _____
Countries where taxed _____
Tax Identification Number* _____
Nationality _____

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

If further Directors, Controlling Shareholders or Authorised Individuals are required, please photocopy this page, complete and attach to the form. 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, utility bill).

DIRECTOR IDENTIFICATION

In order to identify all individuals linked to the Company, please complete for all remaining Directors (who did not complete the 'Director/Controlling Shareholder (+25%) 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 Directors are required, please photocopy this page, complete and attach to the form.

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

If the Company has provided an email address, we will register it for our Client Web Access (CWA), allowing portfolio valuations, balances, contract notes and statements to be viewed online. The Company 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 Company wishes to receive documents by post. Please note, certificated transactions are not detailed in CWA portfolio valuations or statements. Please note also 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 Company'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 Company by email with relevant marketing information about the Company'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 for correspondence on page 1.





- Services and products that may be of interest to the Company
- 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 Company occasionally for marketing purposes by post. If we do so we will aim to ensure the content is relevant to the Company. If the Company 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 confirm that I am/we are not a United States 'person' as defined by FATCA.
- 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.

DIRECTORS'/CONTROLLING SHAREHOLDERS' SIGNATURES

	_____	_____ / _____ / _____
SIGNATURE	PRINT NAME	DATE
	_____	_____ / _____ / _____
SIGNATURE	PRINT NAME	DATE
	_____	_____ / _____ / _____
SIGNATURE	PRINT NAME	DATE
	_____	_____ / _____ / _____
SIGNATURE	PRINT NAME	DATE

If further Directors, Controlling Shareholders or Authorised Individuals are required, please photocopy this page, complete and attach to the form.

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