

Nominee Agreement Form for an Investment Club



This form is required to complete the opening of your execution-only stockbroking account. For further details please contact your local office. Please ensure you have read the *Stockbroking Services: Schedule of Charges* and the *Stockbroking and Dealing with Advice Terms of Business* (available at www.redmayne.co.uk/terms).

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.*

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

PERSONAL DETAILS

FIRST ELECTED MEMBER

Title _____ Surname _____

First Name(s) (In full) _____

Date of Birth _____ / _____ / _____

Residential Address _____

Tel _____

Tel (Mobile) _____

Email _____

SECOND ELECTED MEMBER

Title _____ Surname _____

First Name(s) (In full) _____

Date of Birth _____ / _____ / _____

Residential Address _____

Tel _____

Tel (Mobile) _____


Email _____



†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


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 _____
 _____ / ____ / ____	 _____ / ____ / ____
MEMBER	MEMBER
DATE	DATE

Title _____ Surname _____	Title _____ Surname _____
First Name(s) (In full) _____	First Name(s) (In full) _____
Country of Residence _____	Country of Residence _____
 _____ / ____ / ____	 _____ / ____ / ____
MEMBER	MEMBER
DATE	DATE

Title _____ Surname _____	Title _____ Surname _____
First Name(s) (In full) _____	First Name(s) (In full) _____
Country of Residence _____	Country of Residence _____
 _____ / ____ / ____	 _____ / ____ / ____
MEMBER	MEMBER
DATE	DATE

Title _____ Surname _____	Title _____ Surname _____
First Name(s) (In full) _____	First Name(s) (In full) _____
Country of Residence _____	Country of Residence _____
 _____ / ____ / ____	 _____ / ____ / ____
MEMBER	MEMBER
DATE	DATE

Title _____ Surname _____	Title _____ Surname _____
First Name(s) (In full) _____	First Name(s) (In full) _____
Country of Residence _____	Country of Residence _____
 _____ / ____ / ____	 _____ / ____ / ____
MEMBER	MEMBER
DATE	DATE

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 £_____
-

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

If you have provided an email address, we will register the Investment Club for our Client Web Access (CWA) service, enabling the Members to view online the Investment Club's portfolio valuation, balances, contract notes and statements. The Investment Club 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 Investment Club 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.

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 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.

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 bank/building society being used for the purpose of administering this club. If this information is not received within seven working days of the account being opened, we will require proof of the account when a withdrawal request is made, which may lead to a delay in funds being received.

Name of Bank or Building Society _____

Branch Address _____

_____ Postcode _____

Bank Account Holder's Name(s) _____

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

DECLARATION

- We give Redmayne Bentley the authorisation to administer our account using the Redmayne Bentley Nominee and cash deposit facilities.
- 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).
- 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 your local Redmayne Bentley office or to:
AML Department, Redmayne Bentley, 9 Bond Court, Leeds LS1 2JZ