

# Nominee Agreement Form for a Stockbroking Account

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 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**.

Redmayne Bentley Account No. (If known) \_\_\_\_\_

If you would like your account 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 account will be held at our Leeds Head Office*

## PERSONAL DETAILS

FIRST ACCOUNT HOLDER

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

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

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

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

Country(ies) where taxed \_\_\_\_\_

Tax Identification Number\* \_\_\_\_\_

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

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

\_\_\_\_\_

\_\_\_\_\_

SECOND ACCOUNT HOLDER (If applicable)

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

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

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

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

Country(ies) where taxed \_\_\_\_\_

Tax Identification Number\* \_\_\_\_\_

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

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

\_\_\_\_\_

\_\_\_\_\_

*\*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.*

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

\_\_\_\_\_ Postcode \_\_\_\_\_

Tel \_\_\_\_\_ Tel \_\_\_\_\_

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

Email \_\_\_\_\_ Email \_\_\_\_\_

Occupation (previous, if retired) \_\_\_\_\_ Occupation (previous, if retired) \_\_\_\_\_

Employer (previous, if retired) \_\_\_\_\_ Employer (previous, if retired) \_\_\_\_\_

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

If you have provided an email address, we will register you for our Client Web Access (CWA), enabling you to view online your portfolio valuation, balances, contract notes, statements, make secure payments to your account(s) and also manage your communications preferences.

An email notification will be issued when a new document (e.g. Contract Note, Statement) is available for you to view in CWA, unless you have already advised us that you wish to receive documents by post. Certificated transactions are not detailed in CWA portfolio valuations or statements.

## CORPORATE ACTIONS

We will notify you of events that have a material impact on your holdings by issuing a 'Corporate Actions Notification' by post and email (if email address is provided). To receive Corporate Actions notifications by email only please tick this box:

## MARKETING COMMUNICATIONS

We would like your permission to contact you by email with relevant marketing information. 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 in this way and have provided an email address, please indicate which of the following you would like to receive:

- 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 interests 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, please contact your Redmayne Bentley office or executive. You can manage your marketing and other communications preference via CWA (see page 1).

## PAYMENTS

Unless advised otherwise, a deposit account will be opened for you with Redmayne Bentley and all monies credited to this.

- Please pay settlements to  deposit account  bank/building society
- Please pay dividends to  deposit account  bank/building society

We require details of your personal bank/building society so that we can make a BACS payment when a withdrawal is requested. If this information is not received within seven working days of your account opening, we will require proof of the account when you make your withdrawal request, which may lead to a delay in you receiving the funds.

Name of Bank or Building Society \_\_\_\_\_

Branch Address \_\_\_\_\_  
\_\_\_\_\_ Postcode \_\_\_\_\_

Bank Account Holder's Name(s) \_\_\_\_\_

Bank Sort Code \_\_\_\_ / \_\_\_\_ / \_\_\_\_ Bank Account Number \_\_\_\_\_ Roll Number \_\_\_\_\_

## 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 *Stockbroking Services Schedule of Charges*, constitute a legally binding agreement in English law.
- I/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)).
- I/We confirm that I am/we are not a United States 'person' as defined by FATCA, or a Canadian resident.
- I/We declare that this agreement form has been completed to the best of my/our knowledge.

## PLEASE SIGN HERE



\_\_\_\_\_  
FIRST ACCOUNT HOLDER

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



\_\_\_\_\_  
SECOND ACCOUNT HOLDER (If applicable)

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

Please ensure you have completed **ALL FIELDS** and return to: Data Management, Redmayne Bentley, 9 Bond Court, Leeds LS1 2JZ