

Nominee Agreement Form for a Stockbroking Portfolio

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 Stockbroking and Dealing with Advice Terms of Business* (available at 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 or in hard copy on request.

Please complete all details in **CAPITALS**.

Redmayne Bentley Portfolio ID (If known) _____

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*

PERSONAL DETAILS

FIRST PORTFOLIO HOLDER

Title _____ Surname _____

First Name(s) (In full) _____

Date of Birth ____/____/____

Country & Place of Birth _____/_____

Nationalities _____ National Identifier** _____

SECOND PORTFOLIO HOLDER (If applicable)

Title _____ Surname _____

First Name(s) (In full) _____

Date of Birth ____/____/____

Country & Place of Birth _____/_____

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 for further information on the details you need to provide for the National Identifier.*

Country(ies) where taxed _____

Tax Identification Number* _____

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

Residential Address _____

_____ Postcode _____

Tel _____

Tel (Mobile) _____

Email _____

Occupation (previous, if retired) _____

Employer (previous, if retired) _____

Country(ies) where taxed _____

Tax Identification Number* _____

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

Residential Address _____

_____ Postcode _____

Tel _____

Tel (Mobile) _____

Email _____

Occupation (previous, if retired) _____

Employer (previous, if retired) _____

FIRST PORTFOLIO HOLDER

Please select your source of funds (specific funds to be placed with us) from the below:

- Salary
- UK Business Income
- UK Business Sale
- UK Pension
- UK Property Sale
- Documented Inheritance
- Gift (Documented)
- Gift (Undocumented)
- Other (please specify) _____

Please select your source of wealth (overall wealth background) from the below:

- Salary
- UK Business Income
- UK Business Sale
- UK Pension
- UK Property Sale
- Documented Inheritance
- Gift (Documented)
- Gift (Undocumented)
- Other (please specify) _____

Expected average monthly value of payments or funding into the portfolio:

Do any of your funds, wealth, or financial connections come from outside the UK? If yes, please tell us which countries and the nature of the connection.

Average expected value of monthly trades _____

Average expected volume of monthly trades _____

Are you, or any close family member or associate, a Politically Exposed Person (PEP)?

- Yes No

If yes, please provide details:

Is there anything you want us to know about your health, or any other matter, which may impact the way we provide our service to you?

- Yes No

If yes, please provide details:

SECOND PORTFOLIO HOLDER (If applicable)

Please select your source of funds (specific funds to be placed with us) from the below:

- Salary
- UK Business Income
- UK Business Sale
- UK Pension
- UK Property Sale
- Documented Inheritance
- Gift (Documented)
- Gift (Undocumented)
- Other (please specify) _____

Please select your source of wealth (overall wealth background) from the below:

- Salary
- UK Business Income
- UK Business Sale
- UK Pension
- UK Property Sale
- Documented Inheritance
- Gift (Documented)
- Gift (Undocumented)
- Other (please specify) _____

Expected average monthly value of payments or funding into the portfolio:

Do any of your funds, wealth, or financial connections come from outside the UK? If yes, please tell us which countries and the nature of the connection.

Average expected value of monthly trades _____

Average expected volume of monthly trades _____

Are you, or any close family member or associate, a Politically Exposed Person (PEP)?

- Yes No

If yes, please provide details:

Is there anything you want us to know about your health, or any other matter, which may impact the way we provide our service to you?

- Yes No

If yes, please provide details:

Considering the above, please confirm if there are any helpful adjustments you would like us to make to our service.

Yes No

If yes, please provide details:

Please tick here to confirm that you consent to us processing the information provided above, or you provide in the future, that relates to your health for the purposes of providing a service to you and in accordance with our *Privacy Policy* (www.redmayne.co.uk/privacy). If you do not consent to us processing this information, please do not provide it to us.

Considering the above, please confirm if there are any helpful adjustments you would like us to make to our service.

Yes No

If yes, please provide details:

Please tick here to confirm that you consent to us processing the information provided above, or you provide in the future, that relates to your health for the purposes of providing a service to you and in accordance with our *Privacy Policy* (www.redmayne.co.uk/privacy). If you do not consent to us processing this information, please do not provide it to us.

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 an 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 Redmayne Bentley executive/office.
- View portfolio documents, for example Contract Notes and Statements.
- Make secure payments to your portfolio(s).

When registered for *myRB*, your reports, including Contract Notes and Custody Statements, will be delivered via the portal.

You will receive an email notification when a new report is available. You can request reports to be delivered via post by contacting your Redmayne Bentley executive/office. If you do not activate your *myRB* registration, we will revert your report delivery method to post.

CORPORATE ACTIONS

You will be notified of new events that have a material impact on your holdings by email or post. If you have been registered for our client portal you can visit the Corporate Actions page to access the details of the new event and you will be able to make an election (stockbroking portfolios only) within the portal. Elections can also be made by contacting your Redmayne Bentley executive or office.

MARKETING COMMUNICATIONS

We would like permission to contact you by email with relevant marketing information about 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: First Portfolio Holder Second Portfolio Holder

Stock market investment news and investment opportunities: First Portfolio Holder Second Portfolio Holder

Details of investment seminars and events: First Portfolio Holder Second Portfolio Holder

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

FOR OFFICE USE ONLY

Party ID(s) _____ Managing Team _____

Primary Executive (if applicable) _____ Role Communication Medium Paper Portal

Commission Code _____

Agent 1 _____ Commission split _____%

Agent 2 _____ Commission split _____%

Agent 3 _____ Commission split _____%