

# Pension Scheme 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 our *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)).

Please complete all details in **CAPITALS**.

## PENSION SCHEME DETAILS

Full Pension Scheme Name \_\_\_\_\_ Pension Scheme Tax Reference Number \_\_\_\_\_

Country of Establishment \_\_\_\_\_ Legal Entity Identifier (LEI)\* \_\_\_\_\_

Type of Pension Scheme:  DB (Defined Benefit)  SSAS (Small Self-Administered Scheme)

QROPS (Qualifying Recognised Overseas Pension Scheme)

*\*If the Pension Scheme does not have an LEI please provide evidence that this has been applied for, or please contact us for further information. Please note that single-member QROPS do not require an LEI.*

## PENSION SCHEME DOCUMENTS

The following documents have been provided to Redmayne Bentley:

A certified\*\* copy of the Pension Scheme Trust Deed and Scheme Rules, as well as any Trustee appointments/removals.

A certified\*\* copy of letter/evidence of the relevant tax authority registration (in the UK, this is HMRC).

*\*\*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

## PROFESSIONAL TRUSTEE/SCHEME ADMINISTRATOR

Yes  No If yes, please complete below.

Professional Trustee  Scheme Administrator.

Company Name \_\_\_\_\_ Address \_\_\_\_\_

Tel \_\_\_\_\_

Corporate Registration Number \_\_\_\_\_

Country of Registration \_\_\_\_\_ Postcode \_\_\_\_\_

The Scheme Administrator will be entitled to request information about the pension scheme. All instructions must come from the trustee(s).

### Trustee Only

Is the Trustee a regulated entity?  Yes  No

If yes, please state their regulator \_\_\_\_\_ Tel \_\_\_\_\_ Email \_\_\_\_\_

and provide a certified copy of their authorised signatory list.

If no, we will require additional verification documents.

**TRUSTEE/MEMBER VERIFICATION**

In order to verify individuals linked to the Pension Scheme, please complete for all Trustees/Members who are authorised to give instructions on behalf of the Scheme.

**AUTHORISED INDIVIDUAL ONE**

TRUSTEE  MEMBER

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

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

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

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

\_\_\_\_\_

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

Country \_\_\_\_\_

Tel \_\_\_\_\_

Email \_\_\_\_\_

**AUTHORISED INDIVIDUAL TWO**

TRUSTEE  MEMBER

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

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

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

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

\_\_\_\_\_

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

Country \_\_\_\_\_

Tel \_\_\_\_\_

Email \_\_\_\_\_

**PRIMARY CONTACT**

Please confirm who you wish to be the primary contact for the Scheme:

Professional / Corporate Trustee  Authorised Individual One  Authorised Individual Two

If further Trustees/Members are authorised to give instructions on behalf of the Scheme, please copy this page, complete and attach to the form.

In order to identify all Trustees of the Scheme, please complete for all remaining Trustees.

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

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

Country of Residence \_\_\_\_\_

Address \_\_\_\_\_

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

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

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

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

Country of Residence \_\_\_\_\_

Address \_\_\_\_\_

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

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

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

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

Country of Residence \_\_\_\_\_

Address \_\_\_\_\_

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

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

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

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

Country of Residence \_\_\_\_\_

Address \_\_\_\_\_

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

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

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

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

Country of Residence \_\_\_\_\_

Address \_\_\_\_\_

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

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

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

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

Country of Residence \_\_\_\_\_

Address \_\_\_\_\_

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

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

## QROPS-ONLY INFORMATION

If your Pension Scheme is a single-member QROPS, please also complete these details as the Member:

Nationality(ies) \_\_\_\_\_

National Identifier† \_\_\_\_\_

† If your Nationality is British, this is your National Insurance Number; if you have a different Nationality, 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 to your Tax Identification Number.

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## ACCOUNT FUNDING

Please indicate the expected average monthly value of payments or funding into the account

£0 - £5,000 per month on average  £5,001 - £20,000 per month on average

£20,001 - £50,000 per month on average  >£50,000 per month on average

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  Sale of property/business

Sponsor contributions: Approx. value £\_\_\_\_\_  Other: \_\_\_\_\_ Approx. value £\_\_\_\_\_

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

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

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## 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](http://www.redmayne.co.uk/privacy) or in hard copy on request.

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## MARKETING COMMUNICATIONS

We would like permission to contact the Scheme by email with relevant marketing information about the Scheme'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 primary contact on page one of this form.

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

## SUBSCRIBE TO OUR INVESTMENT PUBLICATIONS

*Market Insight* is our monthly publication. It explores a current investment theme through the eyes of our investment research team, providing expert insight as well as ideas for gaining exposure. *Market Insight* is published on two months in each quarter and is only available by email.

By ticking this box I consent to being sent *Market Insight* by email from Redmayne Bentley

*1875* is our quarterly publication, also available by email, which uses a wider lens to tackle a topical investment theme while also exploring the macro-economic environment that shapes the stock market.

By ticking this box I consent to being sent *1875* by email from Redmayne Bentley

## 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 the Scheme's 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 authorise Redmayne Bentley to administer my/our account using the Redmayne Bentley Nominee and cash deposit facilities.
- 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.

## ALL AUTHORISED INDIVIDUALS TO SIGN



\_\_\_\_\_  
AUTHORISED INDIVIDUAL ONE PRINT NAME DATE



\_\_\_\_\_  
AUTHORISED INDIVIDUAL TWO PRINT NAME DATE

If further Trustees/Members are authorised to give instructions on behalf of the Scheme, please copy this page, complete and attach to the form.

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