



SIPP Account Form

This form is required to open a SIPP Dealing Account, where a SIPP is already in place. For details on opening a SIPP, please visit www.redmayne.co.uk/sipp. Please ensure you have read the appropriate *Schedule of Charges* and *Terms of Business* (available at www.redmayne.co.uk/terms). If you are an existing client or are in the process of opening an account with us and have completed an *Agreement Form*, please use our *Ancillary SIPP Account Form*.

If you are in the process of opening a SIPP, please ensure you contact your current SIPP Provider to confirm your application process is complete before completing this form.

Please complete all details in **CAPITALS**.

Redmayne Bentley Account Number (if known) _____

Existing SIPP Account Number _____

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 our full privacy policy online at www.redmayne.co.uk/privacy or ask us for a hard copy.

IMPORTANT INFORMATION

SIPP Member

Redmayne Bentley does not offer pension advice. Redmayne Bentley recommends that you speak to an independent financial adviser before undertaking any pension transfers or if you are unsure whether a SIPP is the right type of pension for you. Any transfers from other pension schemes within your SIPP must be arranged directly with your SIPP Provider.

Redmayne Bentley will only open a SIPP dealing account with SIPP providers for which our required due diligence has been conducted. Redmayne Bentley will liaise directly with your SIPP provider regarding this.

Government legislation requires that individual scheme members take advice from an adviser authorised by the FCA before any defined benefit transfer is allowed to proceed where the defined benefits are valued at £30,000 or over.

Please tick here to confirm your understanding of the above.

SIPP Provider

Redmayne Bentley requires a completed Due Diligence Questionnaire from your firm before any accounts are opened.

Please tick here to confirm the information provided in the Due Diligence Questionnaire is correct and up to date.

SIPP PROVIDER

Provider's Name _____

Address _____

Postcode _____

Contact Name _____

Email _____ Tel _____

COPY CONTRACT NOTES

Title _____ Surname _____ First Name(s) (In full) _____

Company Name _____ Email _____

Address _____

Postcode _____

PLAN/POLICY NUMBER

PRIMARY CONTACT

Please confirm who you wish to be the primary contact: SIPP Member SIPP Provider

CUSTODY AND PAYMENTS

All stock will be administered using the Redmayne Bentley Nominee and cash deposit facilities. If you wish to appoint your own custodian, please tick this box and indicate the custodian's CREST participant ID _____

All interest, dividends, sale and corporate action proceeds will accrue to a designated deposit account held by Redmayne Bentley. If you wish to hold all funds yourself and remit funds to us on receipt of a contract note, please tick this box

Please provide details of the Trustee Bank account to which funds should be transferred for payment of fees, income withdrawal etc. We require evidence of the Bank or Building Society account, including hard copy documents sent from your Bank or Building Society detailing your name, account number and sort code, such as a statement with full headers, recent correspondence or a spoiled cheque.

Name of Bank or Building Society _____

Branch Address _____

_____ Postcode _____ Bank Account Holder's Name(s) _____

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

SIPP MEMBER DETAILS

Title _____ Surname _____ First Name(s) (In full) _____

Country & Place of Birth _____/_____ Date of Birth _____/_____/_____

Tax Identification Number* _____ Country(ies) where taxed _____

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

Nationalities _____ National Identifier** _____

***If your Nationality is British, this is your National Insurance Number; 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.*

Residential Address _____

_____ Postcode _____

Tel _____ Tel (Mobile) _____

Email _____

Occupation (previous, if retired) _____ Employer (previous, if retired) _____

SERVICE LEVEL

Please indicate the service level for your SIPP:

Discretionary* Advisory* Dealing with Advice* Execution-Only

**Please note, if you do not have an existing Investment Management or Dealing with Advice account with Redmayne Bentley you will need to complete further paperwork to open your SIPP Dealing Account. Please contact us for further details.*

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 and statements and also make payments to your 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. If you would like to opt-out of receiving electronic documents and therefore receive these as hard copy documents in the post, please complete the below.

I would like to opt-out of electronic: Statements Contract Notes

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.

TRANSFERRING A SIPP ACCOUNT

Please complete this section to transfer a SIPP Account to Redmayne Bentley from your existing investment manager/stockbroker. To transfer from more than one provider, please copy and complete this page for each.

EXISTING INVESTMENT MANAGER/STOCKBROKER DETAILS

Provider's Name _____ Contact Name _____
Address _____ Email _____

Tel _____

Postcode _____ Account No _____

Please remember to consult with your existing provider with regard to their terms and conditions of transfer.

TRANSFER INSTRUCTIONS FOR EXISTING INVESTMENT MANAGER/STOCKBROKER

With immediate effect, please arrange the transfer of my investments to Redmayne Bentley in the form of:

Please tick one option: Stock Stock and Cash

Please:

- Quote my name and Redmayne Bentley account number (detailed overleaf) as a reference when transferring cash and/or stock.
- Acknowledge receipt of these instructions to both Redmayne Bentley and me.
- Supply Redmayne Bentley with any information they require about my assets.
- Liaise with Redmayne Bentley's Transfers Department, whom I have already informed of my transfer request.

DECLARATION

- We understand that this is Redmayne Bentley's standard agreement for SIPP dealing services, and this agreement form, along with the appropriate *Terms of Business* and *Schedule of Charges*, constitute a legally binding agreement in English law.
- We give Redmayne Bentley the authorisation to administer my account using the Redmayne Bentley Nominee and cash deposit facilities.
- We understand that Redmayne Bentley will execute orders in line with the *Order Execution Policy* (available at www.redmayne.co.uk/orderexecution).
- This is Redmayne Bentley's standard agreement, upon which we intend to rely, for allowing the member and Trustee to undertake transactions on behalf of a pension scheme.
- We declare that this agreement form has been completed to the best of our knowledge and we agree to all of the answers provided on this agreement form.
- We understand that Redmayne Bentley does not accept responsibility for any transfers from defined benefit or defined contribution schemes into the SIPP.

SIPP Provider

- If I am named as the Primary Contact, I agree to pass on details of all corporate actions to the member in a timely manner.
- I confirm the information provided in the Due Diligence Questionnaire is correct and up to date. If any of the information provided in the Questionnaire changes, I understand it is my responsibility to inform Redmayne Bentley.

SIPP Member

- I am a member of an authorised SIPP.
- I confirm that I am not a United States 'person' as defined by FATCA, or Canadian resident.
- I agree that, in certain circumstances, investment restrictions may be placed upon Redmayne Bentley by professional Trustees which may restrict any trading I may undertake.

PLEASE SIGN HERE



MEMBER SIGNATURE

DATE



PROVIDER SIGNATURE

DATE

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