



SIPP Portfolio Form

This form is required to open a SIPP Portfolio, 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*, *Ancillary 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 a portfolio 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 Portfolio ID (if known) _____

Existing SIPP Portfolio/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 in hard copy on request.

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 portfolio 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 portfolios 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 _____

SIPP Name _____

Address _____

Postcode _____

Contact Name _____

Email _____ Tel _____

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 the Bank or Building Society detailing 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 _____

Additional requirements for Non-UK Bank Accounts:

IBAN _____ SWIFT/BIC Code _____

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) _____

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.

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 portfolio with Redmayne Bentley you will need to complete further paperwork to open your SIPP Portfolio. Please contact us for further details.*

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.
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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: ☐

Stock market investment news and investment opportunities: ☐

Details of investment seminars and events: ☐

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 information by post, please contact us.

SUBSCRIBE TO OUR INVESTMENT PUBLICATIONS

Market Insight is our monthly publication. It is published on two months in each quarter. The aim of *Market Insight* is to explore a current investment theme by looking at the UK and global backdrop, to provide insight as well as give ideas for gaining exposure. *Market Insight* is available only by email.

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

1875 is published in the remaining month of each quarter. It includes *Market Insight*, but with additional articles covering topical features and the macro-economic environment. *1875* is available by email by default. However, if you require a printed copy, please contact your usual Redmayne Bentley office and they will be able to arrange this.

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

INVESTMENT PATHWAYS

Please only complete this section if you are transferring a pension that is already in drawdown or moving your pension into drawdown. If this does not apply to you, please continue to the next section.

Have you received advice from a financial or pension adviser?

☐ Yes ☐ No*

*If no, please complete the section below. If yes, the below section can be left blank.

If you haven't previously been advised by a financial or pension adviser, your pension provider should have provided information regarding the Investment Pathways. Please confirm this is the case and you understood your options.

☐ Yes ☐ No

Please note that if you have not received this information from your pension provider, we will not be able to progress with your application.

TRANSFERRING A SIPP PORTFOLIO

Please complete this section to transfer a SIPP Portfolio 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 _____ Portfolio/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 portfolio ID (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 custody management team, whom I have already informed of my transfer request.

DECLARATION

- We understand that this is Redmayne Bentley's standard agreement for SIPP services, and this agreement form, along with the appropriate *Terms of Business*, *Ancillary Charges* and *Schedule of Charges*, constitute a legally binding agreement in English law.
- We give Redmayne Bentley the authorisation to administer my portfolio 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: ISA & Pensions Team, Redmayne Bentley, 3 Wellington Place, Leeds LS1 4AP