

Change of Investor Details:

Intermediary Clients



Brewin
Dolphin

Current Details of Intermediary Client

Please complete the below section in full. Once you have completed this section progress to the relevant sections of the form that require your Client's details to be updated. Please leave sections blank where no updates are required.

Name of Client

RBC Brewin Dolphin Client Code

Name of Intermediary Firm

Intermediary Firm FCA Number

Name of Adviser

Name of RBC Brewin Dolphin
Investment Manager

Name of RBC Brewin Dolphin
Business Development Manager

Change of Intermediary Client Details

Please complete the form below for any amendments you wish to make to your Client's Portfolio(s).

Please state to which account(s) the changes apply:

Account Type (i.e. ISA)

Client code. (if known)

Account Type (i.e. ISA)

Client code. (if known)

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Account Type (i.e. ISA)

Client code. (if known)

Section 1: Change of Name, Address and Contact Details

First name(s)

Surname

Reason for change of name: Change of name following marriage or civil partnership

(Please provide certified copy of the marriage or civil partnership certificate)

Change of name following separation, divorce or dissolution of a civil partnership

(Please provide certified copy of the Deed Poll document showing the name has reverted to the name before marriage or civil partnership)

Change of name by Deed Poll

(Please provide a certified copy of the Deed Poll document)

Address verification may be requested where we are notified of an address change. Please provide details below if applicable.

New Residential Address

House name

House number

Street

City

County

Postcode

Country

Please tick if the address above is a Care Of/Hold Mail Address

New Contact Details

Home telephone number

Country if not UK

Work telephone number

Country if not UK

Mobile

Country if not UK

Email*

* Mandatory if your client wishes to view their portfolio online via the MyBrewin portal.

If your Client has changed their country of residency, or gained additional tax residencies, please provide their Tax Identification Number for all countries in which they are tax resident:

Country(s) of Residency for Tax Purposes

Tax Identification Number

Country(s) of Residency for Tax Purposes

Tax Identification Number

Country(s) of Residency for Tax Purposes

Tax Identification Number

Tax including Capital Gains Tax

Taxes including Capital Gains Tax are potentially payable on income and/or gains made from the holding or sale of investments. **Please note we are not tax experts and cannot provide tax advice, your Client should consult their personal tax adviser if they have any doubts in this area. We do not accept liability for any adverse tax liability arising from the use of our services.** Your Client should consult their personal tax adviser if they have any doubts in this area. We do not accept liability for any adverse tax liability arising from the use of our services.

Section 2: Change of Investment Mandate

Type of Service

Bespoke Discretionary Fund Management (DFM)

Bespoke Retirement Solution

Please indicate below which Risk Category your Client wishes to change to

Please complete this section if you are a new Investor, or wish to amend any details.

Risk Category Intermediary 1

Risk Category Intermediary 2

Risk Category Intermediary 3

Risk Category Intermediary 4

Risk Category Intermediary 5

Risk Category Intermediary 6

Risk Category Intermediary 7

Global Dollar

Global Euro

Global Sterling

Please refer to our Retail Terms and Conditions for Clients of Financial Advisers and the associated Risk Guide for further information.

How we hold your assets

Our default option is for our clients to use one of our pooled nominee facilities at no additional cost. In line with Central Securities Depositories Regulation (CSDR), we also offer designated nominee facilities at an additional charge (please refer to your rate card for more information).

Would you like to set up a separate designated nominee? Yes No

If no selection is indicated the account will be set up in a pooled nominee account.

For the risks and benefits of this service please visit <https://www.brewin.co.uk/csdr>

Section 3: Change of Bank Details

Bank Details

Please provide bank details if you wish to change the registered bank account with us, or if you wish to have funds paid to you by adding a new bank account.

Account Holder Name

Bank Account Number

Sort Code

Name of Bank
or Building Society

Branch

Country

Building Society Roll No.

For Bank Accounts outside the UK please provide:

IBAN Number, BIC/SWIFT Code, etc.

Income Instructions

Please complete this section on how you would like us to handle your Client’s dividends and interest, and regular income payments.

Dividend Income:

RBC Brewin Dolphin to hold on deposit and reinvest

Pay to my Client’s bank account

Frequency (excluding weekly and forthrightly)

Regular Income:

If you would like a fixed sum paid to your Client’s bank account please indicate:

Amount £

Frequency (excluding weekly and forthrightly)

Date for first payment

Section 4: Correspondence and Administration

If your Client is registered for VAT and requires a VAT invoice or would like one, please tick here

VAT registration number (including country prefix if not UK):

Information for Professional Advisers and other parties

If you would like us to send copies of your periodic account information to your professional advisers or other third parties, please provide the details below and indicate which documents you would like us to send. We will not accept instructions from professional advisers or other third parties unless you instruct us below or separately in writing. We will only accept instructions from ONE third party.

Do you want us to provide information on your Client’s portfolio to third parties?

Yes No

If yes, please indicate below:

Client

Tax Adviser/
Accountant

Solicitor

Other

General Correspondence

Valuation Report*

Invoices

Contract Notes

Year End Tax Report (one copy only)

MiFID reporting

** maximum of 4*

Please provide contact details (if applicable)

Name

Surname

Role

Name of Firm

Legal Entity Identifier

Address

Country

Postcode

Email

Telephone number

Country if not UK

National Insurance Number

Nationality (if 3rd party is not a company)

Name

Surname

Role

Name of Firm

Legal Entity Identifier

Address

Country

Postcode

Email

Telephone number

Country if not UK

National Insurance Number

Nationality (if 3rd party is not a company)

Section 5: Declaration

- I/We declare that the information provided in this form is correct, complete and up-to-date, and I/we will notify RBC Brewin Dolphin promptly of any changes to the information provided in this form and of any other relevant information.
- I/We undertake to advise RBC Brewin Dolphin promptly of any change in circumstances which causes the information contained herein to become incorrect or incomplete and to provide RBC Brewin Dolphin with an updated declaration within 30 days of such a change in circumstances.
- I/we are aware that in certain circumstances RBC Brewin Dolphin will be obliged to share this information with UK or Jersey tax authorities, who may pass it on to other tax authorities.
- I/we declare that the information provided in this form is, to the best of my/our knowledge and belief, accurate and complete:

Intermediary Authorised Signature

Signed (upload your
electronic signature here

Alternatively type in your name
to confirm your signature

Date

Print Name



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