

Brewin Portfolio Service

Bare Trust Account Opening Form



Brewin
Dolphin

Section 1: Trust details

A Bare Trust is created when an individual (the settlor) makes a gift to a person under the age of 18 (the beneficiary) and the trustee(s) are/is responsible for managing the trust. This application form lets you apply for a Brewin Portfolio Service Bare Trust Account. You can use it to apply for a UK Bare Trust only.

At the end of the application form you'll find a section titled "Confirmation of Bare Trust Status". **Please complete this also and return with the application form.**

PLEASE NOTE – We have responsibilities under UK anti-money laundering legislation and the Proceeds of Crime Act 2002 to confirm the identity and permanent address of our Clients. When you are resident in the United Kingdom, we will undertake an electronic anti-money laundering check of the personal data you have provided. The check will be undertaken via a reputable referencing agency, which will retain a record of this check. Where an electronic check of personal data is not appropriate or suitable you will be asked to provide documents to verify your personal details. These will generally be a certified copy of your passport and driving licence or other acceptable documents, details of which can be supplied on request.

We also have responsibilities under these laws to confirm the identity and permanent address of any third party or beneficial owner connected to the trust. You confirm that where requested this information will be provided promptly and will be accurate. We reserve the right not to make payments if they are to be made to third parties or to bank accounts not in your name(s) or the name of the trust, or held in a jurisdiction outside of the UK.

Requirements for electronic check - UK resident - Over 18 - Full name - Date of birth - Current residential address. Where we are unable to verify your identity electronically, we will contact you upon receipt of this completed Account Opening Form to advise the additional documents we require to comply with the UK anti-money laundering legislation and the Proceeds of Crime Act 2002.

1.1. Additional documentation

For the Beneficiary (child) we require a certified copy of a passport or birth certificate.

Birth certificates should be 'certified as a true copy of the original' and passports should be 'certified as true copy and true likeness of the applicant'. Documents must be certified or notarised by one of the following:-

- An official from an Financial Conduct Authority (FCA) (or equivalent) regulated firm
- A solicitor, lawyer or attorney
- A chartered or certified accountant
- Overseas documents can be certified by an embassy or consulate official

Please ensure you registered the trust at <https://www.gov.uk/guidance/register-a-trust-as-a-trustee> and please provide an extract of the HMRC registration along with this application.

Section 2: Investment style and risk level

Please select your investment style, this depends on what you value. Active solution is designed to outperform the markets where our Passive solution is designed to track the markets. (Please refer to the Brewin Portfolio Service Risk Guide for full details of each style):

Passive Active

Please select the Portfolio you would like your funds invested in (please refer to the Brewin Portfolio Service Risk Guide for full details of each portfolio strategy):

Portfolio 3 - Very Low Risk

Portfolio 4 - Low Risk

Portfolio 5 - Low to Moderate Risk

Portfolio 6 - Moderate Risk

Portfolio 7 - Moderate to High Risk

Portfolio 8 - High Risk

Section 3: Beneficiary details

Title

First Name(s)

Surname

Date of Birth

Gender Male Female

National Insurance Number (UK)

Permanent Residential Address

Postcode

Country

Nationality/Citizenship

2nd Nationality/Citizenship

Place of Birth

Country of Birth

Country of Domicile

Please note we require a certified copy of a passport or birth certificate of the beneficiary (see details in Section 1).

Section 4: Trustee details

Trustee 1

Please complete the following section for Trustee 1

Title

First Name(s)

Surname

Gender Male Female

National Insurance Number (UK)

Date of Birth

Place of Birth

Country of Birth

Permanent Residential Address

Country

Postcode

Home Telephone number

Work Telephone number

Mobile

E-mail

Section 4: Trustee details continued

Nationality/Citizenship

2nd Nationality/Citizenship

Country of Domicile

Please provide a list of each country in which the trustee(s) is/are resident for tax purposes, along with the trustees Tax Identification number for that country. If the trustee's country of residence does not issue tax identification numbers, please state 'Not Applicable' (Note: US Citizens are considered to be US Tax Residents regardless of where they currently live and should provide a Tax Identification number).

Country of Residency for Tax Purposes

Tax Identification Number

If a trustee is resident in more than two countries for tax purposes, please contact the BPS Customer Services Team.

Trustee 2

Please complete the following section for Trustee 2

Title

First Name(s)

Surname

Gender Male Female

National Insurance Number (UK)

Date of Birth

Place of Birth

Country of Birth

Permanent Residential Address

Country

Postcode

Home Telephone number

Work Telephone number

Mobile

E-mail

Nationality/Citizenship

2nd Nationality/Citizenship

Country of Domicile

Please provide a list of each country in which the trustee(s) is/are resident for tax purposes, along with the trustees Tax Identification number for that country. If the trustee's country of residence does not issue tax identification numbers, please state 'Not Applicable' (Note: US Citizens are considered to be US Tax Residents regardless of where they currently live and should provide a Tax Identification number).

Country of Residency for Tax Purposes

Tax Identification Number

If a trustee is resident in more than two countries for tax purposes, please contact the BPS Customer Services Team.

Section 4: Trustee details continued

Settlor 1 details

Please complete the following section for the settlor. The settlor is the person who is gifting the money e.g the grandparent. The settlor is not automatically a trustee. If the settlor is deceased please write “deceased” after their surname and detail their last known residential address. We will also require a certified copy of their death certificate.

Please tick if the settlor is also a named trustee as above. Trustee 1 Trustee 2

If you are a named trustee there is no need to complete the following section.

Title

First Name(s)

Surname

Gender Male Female

National Insurance Number (UK)

Date of Birth

Place of Birth

Country of Birth

Permanent Residential Address

Country

Postcode

Home Telephone number

Work Telephone number

Mobile

E-mail

If you are an existing account holder, please provide account number(s).

Settlor 2 details

Please complete the following section for the settlor. The settlor is the person who is gifting the money e.g the grandparent. The settlor is not automatically a trustee. If the settlor is deceased please write “deceased” after their surname and detail their last known residential address. We will also require a certified copy of their death certificate.

Please tick if the settlor is also a named trustee as above. Trustee 1 Trustee 2

If you are a named trustee there is no need to complete the following section.

Title

First Name(s)

Surname

Gender Male Female

National Insurance Number (UK)

Date of Birth

Place of Birth

Country of Birth

Permanent Residential Address

Section 4: Trustee details continued

Country

Postcode

Home Telephone number

Work Telephone number

Mobile

E-mail

If you are an existing account holder, please provide account number(s).

Section 5: Account funding

How much do you wish to invest:

(minimum initial investment is £500) £

How would you like to send the funds?

Bank Transfer Once the account is opened we will provide you with our bank details to arrange a transfer.

Cheque Payable to "SEI INV (EUR) LTD RE RBC BREWIN"

From my existing portfolio Portfolio number

Transfer from another Provider Provider

Direct Debit

If you wish to invest monthly, please complete the Direct Debit mandate at the end of the application form.

Monthly Amount £ Payment day 1st 8th 16th 22nd 28th

5.1. Please confirm the origin of funds, source of funds and source of wealth for this account

Origin of Funds

e.g. bank account in your own name, transfer of assets from an FCA authorised firm etc.

Source of Funds

e.g. Salary, Gift, Inheritance etc.

Source of Wealth

e.g. Salary, Sale of Main Residence, Inheritance etc.

5.2. Information for Professional Advisers and other parties

If you would like us to send copies of the Trust's 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 their details have been added to the Authorised Signatory section in this form.

5.3. Do you want us to provide information on the Trust's portfolio to third parties? Yes No

If copies of the Trust's account information should be sent to a professional advisers or other third parties, please provide the details below and indicate which documents should be sent.

Contact Name

Relationship

Section 5: Account funding continued

Name of Firm

Address Line 1

Address Line 2

Address Line 3

City

County

Country

Postcode

E-mail

Telephone number

General Correspondence

Statements

Year End Tax Report*

* Please note, if no other party selects to receive this, it will be sent to Trustee 1.

If you would like us to send copies of the account information to additional professional advisers or other third parties, please provide the details on a separate sheet.

Section 6: Bank details

6.1. Please provide us with details of the bank account to be used for income and withdrawals. This must be in the name of one of the trustees or a designated bank account in the name of the trust. Withdrawal must be for the benefit of the beneficiary (e.g educational costs).

Bank Account/Building Society Details

Account Name

Name of Bank

or Building Society

Branch

Building Society Roll No.

Bank Account Number

Sort Code

6.2. Income Instructions

Please indicate below income instructions

EITHER a) Reinvest income

OR b) Pay out 100% of income

| | | | |
|----------------------|---------|-----------|----------|
| Frequency of payment | Monthly | Quarterly | Annually |
|----------------------|---------|-----------|----------|

OR c) Pay out fixed amount Amount required £

| | | | |
|----------------------|---------|-----------|----------|
| Frequency of payment | Monthly | Quarterly | Annually |
|----------------------|---------|-----------|----------|

PLEASE NOTE – Taxes including Capital Gains Tax are potentially payable on income and/or gains made from the holding or sale of investments. We are not tax experts and you should consult your personal tax adviser if you have any questions in this respect as we do not accept liability for any adverse tax liability arising from the use of our services.

Section 6: Bank details continued

6.3. Data Protection

The information given in this form will be handled in accordance with the provisions of all applicable data protection laws and regulations from time to time in force (“Data Protection Laws”), relating to data protection, privacy and the processing of personal data, including the General Data Protection Regulation (Regulation (EU) 2016/679) (“GDPR”) which governs how we may use your personal information and provides you with certain rights in respect of your information. As a data controller, RBC Brewin Dolphin is registered with the Information Commissioners Office (“ICO”) and RBC Brewin Dolphin has the obligation to notify the ICO the purposes for which it processes personal information. You can access RBC Brewin Dolphin’s register entry via the ICO’s website: www.ico.org.uk. You can also refer to our Retail Client Terms & Conditions or read our privacy notice which is available at www.brewin.co.uk/privacynotice.

6.4. Declaration by Trustee(s)

Please read this section carefully before you sign and date the declaration.

Our BPS Terms apply to the provision of our BPS general investment (non-ISA) account services. Please read the BPS Terms contained in the ‘Our Agreement With You’ document carefully before signing the declaration below. You should also read the Key Investor Information Document (KIID) relating to each fund held in your selected portfolio, as set out in the BPS Risk Guide. The KIIDs are available free of charge from the **BPS Customer Services Team**, or from www.brewin.co.uk. If there is something that you do not understand, please contact the **BPS Customer Services Team** on 0333 207 9003 or via email at customer.services@brewin.co.uk.

I/we declare that:

1. This application is to open a BPS Bare Trust Account for the beneficiary named in Section 3.
2. The information provided in this form is accurate to the best of my knowledge and I will notify the BPS Customer Service Team promptly if there are any changes to the information provided in this form and of any other relevant information.
3. I have not been provided with any financial advice or a personal recommendation, and that I have chosen a portfolio based on my own attitude to risk. I am aware that my BPS portfolio is invested ultimately in equities, the value of which can fall as well as rise.
4. I have received copies of the BPS Brochure, “Our Agreement with You” document and our Fees & Charges document. I shall seek clarification promptly if there is anything that I do not understand.
5. All payments received, and withdrawn, to/from the BPS Bare Trust Account belong to the beneficiary and must be used for the benefit of the beneficiary, for example to help pay school fees.
6. I am aware that in certain circumstances RBC Brewin Dolphin will be obliged to share this information with UK tax authorities, who may pass it on to other tax authorities.
7. I confirm that where I have provided RBC Brewin Dolphin with information classed as “special category personal data” under Data Protection Laws on behalf of a beneficiary, that I have the consent of the beneficiary to share this information with RBC Brewin Dolphin.
8. I confirm that I understand the financial, legal and tax implications associated with creating this Bare Trust Account. RBC Brewin Dolphin shall not be responsible if the trust fails in its purposes or is not suitable for my circumstances.
9. I understand the beneficiary has the right to all of the capital and income of the Trust Account at any time after he/she attains age 18 and they can spend the money as they deem fit.

I authorise RBC Brewin Dolphin:

- To use the information contained in this Account Opening Form to construct a Bare Trust Account on behalf of the beneficiary in accordance with the BPS Terms which I have read and understood;
- to invest the monies that the settlor places in BPS in the specific portfolio of funds chosen by me and detailed in the BPS Risk Guide;
- to rebalance the portfolio on the basis set out in the BPS Terms; and
- to hold, or arrange a suitable third party to hold, the account funds, investments, interest, dividends and any other rights or proceeds in respect of those investments and cash.

Section 6: Bank details continued

Trustee 1

Signed

Date

Print Name

Trustee 2

Signed

Date

Print Name

Section 7: How did you hear about the Brewin Portfolio Service?

Where did you hear about the Brewin Portfolio Service?

Google / Other search engine Facebook Twitter LinkedIn Family / Friend Law Society of Scotland
Advert / Promotion Promotional Code:

I am an existing customer of RBC Brewin Dolphin Existing Account Number:

I am a RBC Brewin Dolphin employee or family member of an employee

I heard about BPS from a RBC Brewin Dolphin member of staff

Staff member name:

Use of Personal Information

We will treat all personal information obtained from you in accordance with applicable legislation governing the use of such information, including the General Data Protection Regulation (Regulation (EU) 2016/679) (as amended). For further information about the ways in which we may use your personal information, please refer to our BPS Terms.

Confirmation of bare trust status

This form establishes a BPS Bare Trust Account. However we do not know whether it will be suitable for your circumstances and you should seek advice from a suitably qualified professional adviser before creating the trust. We do not accept any responsibility if the trust fails in its purpose. This form should be completed and returned to us, please retain a copy for your own purposes.

Settlor 1 details

Name

Permanent Residential Address

Postcode

Amount Gifted to Bare Trust £

Trust Name

Today's Date

Settlor 1 details

Name

Permanent Residential Address

Postcode

Section 7: How did you hear about the Brewin Portfolio Service? continued

Beneficiary details

Name

Permanent Residential Address

Postcode

Date of Birth

As the Absolute Beneficiary

I/we confirm that this has been the case since the opening of the account. This trust is set up under English Law.

Trustee 1

Name

Permanent Residential Address

Postcode

Date of Birth

Trustee 2

Name

Permanent Residential Address

Postcode

Date of Birth

I/we confirm that this has been the case since the opening of the account. This trust is set up under English Law. If the settlor is deceased please write "deceased" after their surname and detail their last known residential address. We will also require a certified copy of their death certificate.

Signature of Settlor 1

Signature of Settlor 2



**Brewin
Dolphin**

Instruction to your bank or building society to pay by Direct Debit

Please fill in the whole form including official use box using a ball point pen and send it to:

SEI INV (EUR) LTD RE RBC BREWIN
Sixth Floor
Atria One
144 Morrison Street
Edinburgh
EH3 8BR

Service user number

| | | | | | |
|---|---|---|---|---|---|
| 5 | 0 | 8 | 3 | 6 | 3 |
|---|---|---|---|---|---|

Name(s) of account holder(s)

| |
|--|
| |
| |

Bank/building society account number

| | | | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|--|--|
| | | | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|--|--|

Branch sort code

| | | | | | |
|--|--|--|--|--|--|
| | | | | | |
|--|--|--|--|--|--|

Name and full postal address of your bank or building society

| | |
|-----------------|-----------------------|
| To: The Manager | Bank/building society |
| Address | |
| | |
| Postcode | |

FOR SEI INV (EUR) LTD RE RBC BREWIN OFFICIAL USE ONLY
This is not part of the instruction to your bank or building society.

Instruction to your bank or building society

Please pay SEI INV (EUR) LTD RE RBC BREWIN Direct Debits from the account detailed in this Instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this Instruction may remain with SEI INV (EUR) LTD RE RBC BREWIN and, if so, details will be passed electronically to my bank/building society.

| |
|--------------|
| Signature(s) |
| |
| Date |

Reference

| | | | | | | | | | | | | | | | | | | | | | |
|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|
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|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|--|

Banks and building societies may not accept Direct Debit Instructions for some types of account

DDI

This guarantee should be detached and retained by the payer.

The Direct Debit Guarantee



- This Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits
- If there are any changes to the amount, date or frequency of your Direct Debit, SEI INV (EUR) LTD RE RBC BREWIN will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request SEI INV (EUR) LTD RE RBC BREWIN to collect a payment, confirmation of the amount and date will be given to you at the time of the request.
- If an error is made in the payment of your Direct Debit by SEI INV (EUR) LTD RE RBC BREWIN or your bank or building you are entitled to a full and immediate refund of the amount paid from your bank or building society
 - If you receive a refund you are not entitled to, you must pay it back when SEI INV (EUR) LTD RE RBC BREWIN asks you to
- You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify us.

How would you like us to contact you?

We would like to keep you updated about the products and services we provide at RBC Brewin Dolphin and think will be of interest to you. From time to time we may also invite you to join us at events that we think you will enjoy. Using the form below, please select the communications you would like to receive from us.

First Applicant

I would like to receive communications regarding:

Products and Services

Information about RBC Brewin Dolphin and our products and services, including articles and publications which provide viewpoints on a wide range of thought-provoking topics.*

I agree to receive these communications by Email Post Telephone Text

Events

Invitations to RBC Brewin Dolphin's events, conferences, seminars and networking opportunities.

I agree to receive these invitations by Email Post Telephone Text

I do not wish to receive any of these communications or invitations from the RBC Brewin Dolphin

If you would like to receive communications as outlined above, please complete the relevant details in block capitals:

| | |
|---------------|----------------|
| Title | Address Line 1 |
| First Name | Address Line 2 |
| Last Name | Address Line 3 |
| Email Address | City |
| Phone No. | County |
| Mobile No. | Postcode |
| | Country |

* Please note that existing clients may already receive some of this material as part of our standard service offering.

How would you like us to contact you?

We would like to keep you updated about the products and services we provide at RBC Brewin Dolphin and think will be of interest to you. From time to time we may also invite you to join us at events that we think you will enjoy. Using the form below, please select the communications you would like to receive from us.

Second Applicant

I would like to receive communications regarding:

Products and Services

Information about RBC Brewin Dolphin and our products and services, including articles and publications which provide viewpoints on a wide range of thought-provoking topics.*

I agree to receive these communications by Email Post Telephone Text

Events

Invitations to RBC Brewin Dolphin's events, conferences, seminars and networking opportunities.

I agree to receive these invitations by Email Post Telephone Text

I do not wish to receive any of these communications or invitations from the RBC Brewin Dolphin

If you would like to receive communications as outlined above, please complete the relevant details in block capitals:

| | |
|---------------|----------------|
| Title | Address Line 1 |
| First Name | Address Line 2 |
| Last Name | Address Line 3 |
| Email Address | City |
| Phone No. | County |
| Mobile No. | Postcode |
| | Country |

* Please note that existing clients may already receive some of this material as part of our standard service offering.

We respect your privacy and take protecting it very seriously. We will only use your data in accordance with your preferences and as set out in our Privacy Notice, which can be found on our website www.brewin.co.uk.

You can change your preferences at any time by contacting your usual contact at RBC Brewin Dolphin by phone, post or email. Please allow 14 days from receipt of your information for any changes to be reflected across our systems.

Notes

Contact us

Monday – Friday 08:00-18:00 and Saturday 08:00-12:00

T: +44 (0) 333 207 9003

E: customer.services@brewin.co.uk

Brewin Portfolio Service

Sixth Floor, Atria One

144 Morrison Street

Edinburgh

EH3 8BR

brewin.co.uk/bps



RBC Brewin Dolphin is a trading name of RBC Europe Limited. RBC Europe Limited is registered in England and Wales No. 995939. Registered Address: 100 Bishopsgate, London EC2N 4AA. Authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority.

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