Intermediary Account Opening Form:

Companies

Brewin Dolphin

Helping us deliver our services

Before providing this service for your Company client we need to confirm your instructions as to the Risk Category of portfolio management that should be applied to this account and within which we will manage the associated investments. This form has also been designed to provide us with certain background information (such as any specific instructions as to moral or ethical investing) and, as a consequence, will help us deliver our services. Before completing this form, the Intermediary should undertake an assessment of the suitability of RBC Brewin Dolphin's services for the Company.

Thank you for taking the time to complete and return this form to us. If you have any questions while completing the form your RBC Brewin Dolphin Business Development Manager will be pleased to help. If you would prefer to complete the form in large print please ask your Business Development Manager for a copy.

Name of Investment Manager

Name of Business Development Manager

Section 1: Intermediary Authorisation details

Please print in capitals throughout this form and mark boxes with a tick.

Intermediary Firm's Name

Intermediary Firm's Address

Firm's FCA Number

Adviser Name

Adviser's Contact Number

Adviser's Email Address

Adviser's Individual FCA Number

VAT Registration number (if registered)

Section 2: Account details

Name of Company

Registered Office Address

Address Line 1

Address Line 2

City

County

Postcode

Country of Incorporation

Company Registration No.

UK Registered Charity Yes ☐ No ☐

Business Address

We will send all correspondence to the Intermediary unless otherwise notified.

Address

City

County

Country

Postcode

Section 3: Company's requirements

3.1. How much Capital does the Company Investor have available for investment? £

3.2. Type of Service

This is a Discretionary Service.

3.3. Is an income required from the Company's investments? Yes ☐ No ☐

If yes, please state the gross amount the Company would like them to produce each year. £

This is an indication of what the Company would like the portfolio to achieve. This is not a guarantee of what the portfolio can or will achieve.

3.4. What is the Company investment time horizon? 1-3 years ☐ 3-5 years ☐ 5-10 years ☐ 10+ years ☐

3.5. Please indicate below which Risk Category you have agreed to for your client.

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 Strategy Dollar Intermediary 3-7 ☐

Global Strategy Euro Intermediary 3-7 ☐

Global Strategy Sterling Intermediary 3-7 ☐

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

3.6. Benchmarks

Please refer to our Risk Guide for Intermediaries for further information on the default benchmark that corresponds with the selection in section 3.5.

3.7. Does the Company anticipate any changes to its circumstances? Yes ☐ No ☐

If yes, please provide details:

3.8. Company details

Date of last submitted accounts

Annual income £ Annual Surplus £

Number of staff employed *(rounded down to the nearest 10)*

3.9. 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 account? 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 4: Directors

What rate of Corporation Tax is payable? This Year ☐ % Last Year ☐ %

How many Directors are there? ☐

Tick box if the Company is registered for VAT ☐

VAT number (including country prefix if not UK) ☐

First Director

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Mx ☐ Other ☐ *If Other, please state below.*

Other ☐

First Name(s) ☐

Surname ☐

Date of Birth ☐

Country of Birth ☐

Nationality ☐

Second Nationality ☐

Domicile ☐

Residency ☐

National Insurance Number ☐

Tax Identification Number ☐

First Director's Current Residential Address

Address ☐

☐

☐

City ☐

County ☐

Postcode ☐

Country ☐

First Director's Contact Details

Home Telephone Number ☐

Country if not UK ☐

Other Telephone Number ☐

Country if not UK ☐

Email ☐

Section 4: Directors continued

Second Director

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Mx ☐ Other ☐ *If Other, please state below.*

Other	
First Name(s)	
Surname	
Date of Birth	
Country of Birth	
Nationality	
Second Nationality	
Domicile	
Residency	
National Insurance Number	
Tax Identification Number	

Second Director's Current Residential Address

Address	
City	
County	
Postcode	
Country	

Second Director's Contact Details

Home Telephone Number	
Country if not UK	
Other Telephone Number	
Country if not UK	
Email	

Third Director

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Mx ☐ Other ☐ *If Other, please state below.*

Other	
First Name(s)	
Surname	
Date of Birth	
Country of Birth	
Nationality	
Second Nationality	

Section 4: Directors continued

Domicile

Residency

National Insurance Number

Tax Identification Number

Third Director's Current Residential Address

Address

City

County

Postcode

Country

Third Director's Contact Details

Home Telephone Number

Country if not UK

Other Telephone Number

Country if not UK

Email

Fourth Director

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Mx ☐ Other ☐ *If Other, please state below.*

Other

First Name(s)

Surname

Date of Birth

Country of Birth

Nationality

Second Nationality

Domicile

Residency

National Insurance Number

Tax Identification Number

Fourth Director's Current Residential Address

Address

City

Section 4: Directors continued

County

Postcode

Country

Fourth Director's Contact Details

Home Telephone Number

Country if not UK

Other Telephone Number

Country if not UK

Email

Section 5: Beneficial Owners

The Beneficial Owners of Incorporated Companies, Limited Liability Partnerships (LLP's) and Scottish Partnerships are any individual:

- who exercises ultimate control over the management of the body corporate; e.g. has the power to appoint or remove directors
- who ultimately owns or controls more than 25% of the shares or voting rights in the body corporate, or
- who otherwise controls the body corporate

Please provide details below of Beneficial Owners.

First Beneficial Owner

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Mx ☐ Other ☐ *If Other, please state below.*

Other

First Name(s)

Surname

Date of Birth

Country of Birth

First Beneficial Owner Current Residential Address

Address

City

County

Postcode

Country

First Beneficial Owner Contact Details

Home Telephone Number

Country if not UK

Work Telephone number

Section 5: Beneficial Owners continued

Country if not UK

Mobile

Country if not UK

Email

Second Beneficial Owner

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Mx ☐ Other ☐ *If Other, please state below.*

Other

First Name(s)

Surname

Date of Birth

Country of Birth

Second Beneficial Owner Current Residential Address

Address

City

County

Postcode

Country

Second Beneficial Owner Contact Details

Home Telephone Number

Country if not UK

Work Telephone number

Country if not UK

Mobile

Country if not UK

Email

Third Beneficial Owner

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Mx ☐ Other ☐ *If Other, please state below.*

Other

First Name(s)

Surname

Date of Birth

Country of Birth

Section 5: Beneficial Owners continued

Third Beneficial Owner Current Residential Address

Address

City

County

Postcode

Country

Third Beneficial Owner Contact Details

Home Telephone Number

Country if not UK

Work Telephone number

Country if not UK

Mobile

Country if not UK

Email

Fourth Beneficial Owner

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Mx ☐ Other ☐ *If Other, please state below.*

Other

First Name(s)

Surname

Date of Birth

Country of Birth

Fourth Beneficial Owner Current Residential Address

Address

City

County

Postcode

Country

Fourth Beneficial Owner Contact Details

Home Telephone Number

Country if not UK

Work Telephone number

Section 5: Beneficial Owners continued

Country if not UK	
Mobile	
Country if not UK	
Email	

Section 6: Correspondence and Administration

6.1. Information for Intermediaries, Professional Advisers and Third Parties

If your Company would like us to send copies of periodic account information to their other professional advisers or other third parties, please provide the details below and indicate which documents they would like us to send.

Do you want us to provide information on your Company's portfolio to third parties? Yes ☐ No ☐

If yes, please indicate below:

	Adviser	Company	Tax Adviser/ Accountant	Solicitor	Other
General Correspondence	☐	☐	☐	☐	☐
Valuation*	☐	☐	☐	☐	☐
Invoices	☐	☐	☐	☐	☐
Contract Notes	☐	☐	☐	☐	☐
Year End Tax Report (one copy only)	☐	☐	☐	☐	☐
MiFID reporting	☐	☐	☐	☐	☐

** maximum of 4*

Please provide contact details (if applicable)

Contact Name	
Role	
Name of Firm	
Address	
Postcode	
Email	
Telephone Number	

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

6.2. Tax Year End

Please confirm the Companies tax year end. ☐

Notice and communications will be sent to you.

6.3. Periodic Statements

A regular valuation report is provided quarterly on the following dates.

5th January 5th April, 5th July, 5th October.

Portfolios will be valued in sterling. If you wish to change the currency, please contact your RBC Brewin Dolphin Investment Manager.

Section 6: Correspondence and Administration continued

Would you like to access the Company account online via our MyBrewin web portal? Yes ☐ No ☐

MyBrewin enables you to view up-to-date information about their investments through our MyBrewin portal at www.brewin.co.uk/mybrewin. To enjoy the benefits of MyBrewin, we will simply need to confirm the Company officials mobile telephone number and the email address they would like to use for their MyBrewin account. Please note, for data security reasons and to reduce the risk of fraud, we will not create more than one MyBrewin account with the same email address.

Individual 1 Mobile Telephone Number for MyBrewin Account	
Individual 1 E-mail Address for MyBrewin Account	
Individual 2 Mobile Telephone Number for MyBrewin Account	
Individual 2 E-mail Address for MyBrewin Account	
Individual 3 Mobile Telephone Number for MyBrewin Account	
Individual 3 E-mail Address for MyBrewin Account	
Individual 4 Mobile Telephone Number for MyBrewin Account	
Individual 4 E-mail Address for MyBrewin Account	
Individual 5 Mobile Telephone Number for MyBrewin Account	
Individual 5 E-mail Address for MyBrewin Account	

Section 7: Bank Details and Asset Transfers

7.1. If funds are being transferred to us when this account is being opened, please provide the following information on the source of these funds.

Company Account

Bank/Building Society Details:

Account Holder Name	
Name of Bank or Building Society	
Branch	
Building Society Roll No.	
Bank Account Number	
Sort Code	

For Bank Accounts outside the UK please provide:

IBAN number	
City	
Country	

Section 7: Bank Details and Asset Transfers continued

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

Origin of Funds

Detail where the funds coming into RBC Brewin Dolphin will be coming from e.g. which financial institution.

Source of Funds

The Source of Funds refers to the activity that generated the cash / investments to be held by RBC Brewin Dolphin.

Source of Wealth

The Source of Wealth refers to the activity that generated the total worth of the individual or entity.

Does the Source of Wealth derive from one of the following industries?

Guidance: Individual applicant(s)/settlor/beneficial owner (as applicable) - is the owner/shareholder/controller/director of a business, directly or through inheritance. Does not apply to salaried employees.

Select from list:

- ☐ No – SoW/SoF not from a listed industry;
- ☐ Cash intensive business, e.g., nail bars/pubs/fish & chips/hair & beauty salons/takeaway outlets;
- ☐ Construction;
- ☐ Dealing in cultural/historical artefacts;
- ☐ Dealing in ivory or protected species;
- ☐ Extraction of natural resources (oil, gas, gems, etc.);
- ☐ Government / state owned entities within the last five years;
- ☐ Illegal activities;
- ☐ Internet / Online gambling;
- ☐ Jeweller / Dealers in precious metals;
- ☐ Legalised adult entertainment;
- ☐ Legalised Marijuana or related businesses;
- ☐ Licenced Casinos and gambling;
- ☐ Licensed / registered money service businesses (MSBs) / Casa de Cambios;
- ☐ Military and Arms;
- ☐ Non-governmental organisations, non-profit organisations;
- ☐ Pawnbroker;
- ☐ Pharmaceuticals / Healthcare;
- ☐ Public administration;
- ☐ Shell banks and shell corporations;
- ☐ Shipping and haulage;
- ☐ Tobacco / medicinal and / recreational cannabis;
- ☐ Unlicensed money exchanges (e.g. Hawalas), unregistered or underground money transfer systems or MSBs;
- ☐ Virtual currency (e.g. cryptocurrency) exchanger or administrator

Section 7: Bank Details and Asset Transfers continued

Country of Source of Funds

List of all countries that apply for funds invested with RBC Brewin Dolphin

Country of Source of Wealth

List all countries that apply for overall wealth

Please indicate if there are any other high-risk indicators present? Yes ☐ No ☐

Example, awareness of adverse media, Charity/Trust/Company operating in a high-risk country.

Please confirm that the business is not being conducted under any unusual circumstances.

Example, the introduction or communication is from an unusual channel.

☐ No – confirmed no unusual circumstances, or ☐ Yes – unusual circumstances.

7.3. Income Instructions

Please complete this section to tell us how you would like us to handle the Company's dividends and interest, and regular income payments.

Dividend Income:

RBC Brewin Dolphin to hold as part of the portfolio ☐ Pay to the Company account ☐

Regular Income Payment:

If you would like a fixed sum paid to the Company, please indicate:

Amount £

Frequency Date for first payment £

Paid to the Company Account noted in section 7 ☐

Section 8: Self-Certification of Status under 'FATCA' Tax Exchange Agreements

Note: The term 'FATCA' is used below to refer collectively to all Automatic Exchange of Information agreements currently in effect in the UK:

Automatic Exchange of Information agreements primarily include (but are not limited to) the following regulations:

The United States 'Foreign Account Tax Compliance Act (FATCA)' Regulations':

The 'Common Reporting Standard (CRS)' Regulations:

These regulations require RBC Brewin Dolphin to obtain a 'self-certification' from all account holders to explicitly confirm their residency for tax purposes. RBC Brewin Dolphin may also be required to disclose accounts to HMRC that are held by, or for the benefit of, a US citizen or a person resident outside the UK.

Further detail of these regulations can be found on the HMRC website here: https://www.gov.uk/government/collections/automatic-exchange-of-information-agreements

Part A – FATCA Reporting Responsibility

Please complete either option (a) or (b) below to confirm if the Intermediary will be responsible for any FATCA reporting obligations over this Account:

(a) The Intermediary will report under FATCA with respect to this account: ☐
By checking this box we confirm that we as Intermediary (and not RBC Brewin Dolphin) will satisfy any FATCA reporting obligations over this account.
Please confirm the Intermediaries GIIN Number: _ _ _ _ _ _ / _ _ _ _ _ / _ _ / _ _ _

Section 8: Self-Certification of Status under 'FATCA' Tax Exchange Agreements continued

(b) The Intermediary will NOT report under FATCA for this account: ☐
By checking this box we confirm that we will provide RBC Brewin Dolphin with any relevant information to allow it to report, and will promptly inform RBC Brewin Dolphin of any future changes in circumstances affecting the account-holder's tax residency and FATCA status.
Please complete Part B below to confirm the tax residency and status of the company.

Part B – Self-Certification of Account Holder Tax Residency and Status

If the Intermediary will not be reporting under FATCA, please complete the declaration(s) below with respect to the company to confirm their tax residency and FATCA status.

Entity Self-Certification of Tax Status:

Under UK 'FATCA' & 'CRS' Tax Authority Exchange Agreements we are obliged to obtain a self-certification of the Entity's tax status.

Please complete the following to confirm the status of the Entity under 'FATCA & CRS' tax authority exchange regulations:

All entities must complete sections A, B, & C and may also need to complete section D.

Financial Institutions are required under UK law to review and collect details of accounts held by all account holders and to report details about US persons and those who are tax resident outside the UK.

We, RBC Brewin Dolphin, have to ascertain whether there are any reportable US persons (Section B) or other reportable non-UK tax residents (Section C).

Section A: Entity Tax Residency

Please indicate any country that the Entity is organised or registered in for the purposes of that country's income tax, along with the tax identification number for each country.

(If the Entity does not have a tax identification number for any country, please state the reason why)

If the Entity is resident for tax purposes in the US, please also complete and return an IRS W-9 form (http://www.irs.gov/pub/irs-pdf/fw9.pdf) and include United States in this table along with the Tax Identification Number

Country of Residency for Tax Purposes	
Tax Identification Number	
Country of Residency for Tax Purposes	
Tax Identification Number	
Country of Residency for Tax Purposes	
Tax Identification Number	

Section B: Company Classification for the purposes of FATCA

Under FATCA, any non-US Company will either be a Financial Institution (FI) or a Non-Financial Foreign Entity (NFFE/NFE)*. If you are an FI please complete Section B1 below and if you are an NFE please complete Section B2 below to determine the status of the Trust. You will also need to complete Section C.

**For the rest of this form "NFFE" will be referred to as "NFE" (Non-Financial Entity), the term used in the CRS (see Section C below).*

Section B1: The Entity is a Financial Institution

(a) The Entity is able to provide a Global Intermediary Identification Number (GIIN)

i. The Entity has registered as an FI (including 'Sponsored Investment Entity') – please provide the Entity's GIIN; or

ii. The Entity is a 'Sponsored closely held Investment Vehicle' – please provide the GIIN of the sponsoring FI

Please provide your GIIN Number: _ _ _ _ _ _ / _ _ _ _ _ / _ _ / _ _ _

Section 8: Self-Certification of Status under 'FATCA' Tax Exchange Agreements continued

(b) If unable to provide a GIIN, please give a reason by ticking one of the boxes below:

i. The Entity is an 'Exempt Beneficial Owner' (e.g. International Organisation) ☐

ii. The Entity is a 'Certified or otherwise Deemed Compliant FI' (e.g. UK registered charity) ☐

iii. The Entity is a Non-Participating FI ☐

iv. Other reason (Please specify below):

Section B2: The Entity is NOT a Financial Institution

If the Entity is not an FI, it will be considered to be an NFE. It can be an Active or Passive NFE. Under FATCA, Passive NFEs also have the option of being a Direct Reporting or Sponsored Direct Reporting NFE.

Please note that the concepts of a "Direct Reporting NFE" and a "Sponsored Direct Reporting NFE" are only applicable to FATCA and do not apply to the CRS.

Active NFFE	☐	Please complete Sections C	
Passive NFFE	☐	Please complete Sections C and D	
Direct Reporting NFFE	☐	Please provide the NFE's GIIN	_ _ _ _ _ _ / _ _ _ _ _ / _ _ / _ _ _
Sponsored Direct Reporting NFFE	☐	Please provide the GIIN of the NFE's Sponsoring Entity	_ _ _ _ _ _ / _ _ _ _ _ / _ _ / _ _ _

Section C: Entity classification for the purposes of the Common Reporting

Please tick one of the boxes below:

(a) The Entity is a Managed Investment Entity ☐

(More than 50% of the Entity's gross income is attributable to investment activities AND the Entity has appointed a Financial Institution to manage its assets (in part or in whole) on a discretionary basis)

(b) The Entity is a Financial Institution (other than a Managed Investment Entity) ☐

(c) The Entity is a Non-Reporting Financial Institution (i.e Governmental Entity) ☐

(d) The Entity is an Active Non-Financial Entities (NFE) ☐

(e) The Entity is a Passive Non-Financial Entities (NFE) – if you tick this box please complete Section D below ☐

If you have ticked (a) or (b) above you may be responsible for reporting any reportable persons to your local tax authority that are tax resident in a Reportable Jurisdiction. Section D: 'Passive NFE' Controlling Persons Self-Declaration of Tax Residency

Section D: 'Passive NFE' Controlling Persons Self-Declaration of Tax Residency

Please complete this section **only** if

i. you have declared the Entity to be a 'Passive NFE' in Sections B or C, **or**

ii. the Entity is a Managed Investment Entity tax resident in a jurisdiction that is not a Participating Jurisdiction (see glossary).

Please could you list in the table on Page 17 each Controlling Person, confirming ALL countries of tax residency and ALL Tax Identification Numbers for EACH Controlling Person. If a Controlling Person is a US citizen, US Green Card holder, or US resident, you must include United States in this table along with his/her US Tax Identification Number.

Section D Passive NFE table

Please could you list in this table each Controlling Person, confirming ALL countries of tax residency and ALL Tax Identification Numbers for EACH Controlling Person. If a Controlling Person is a US citizen, US Green Card holder, or US resident, you must include United States in this table along with his/her US Tax Identification Number.

Full Name	Type of Controlling Person	Country of Tax Residency	Permanent Residence/ Registered Address (including postcode and country)	Tax Identification Number Or Functional Equivalent	Country of birth/ incorporation	Place of birth (individuals only)	Date of birth/ incorporation (DD-MM-YY)

Adviser Charging Agreement To be completed by the Investor(s)

This form should be completed if you wish your Intermediary to take their adviser charges from your RBC Brewin Dolphin portfolio.

Initial Charge

Please complete this section if you wish an initial amount of adviser charges to be paid to your Intermediary in respect of establishing your RBC Brewin Dolphin portfolio.

Please confirm below the percentage of portfolio value or monetary amount you wish to authorise.

% or £ (excluding any additional VAT)

Ongoing Charges

Please complete this section if you wish an ongoing amount of adviser charges to be paid to your Intermediary in respect of services being provided in relation to your RBC Brewin Dolphin portfolio.

Please confirm the percentage of portfolio value or monetary amount you wish to authorise to be paid per annum. This will be paid on a pro-rata basis quarterly in arrears.

% or £ (excluding any additional VAT)

Investor Declaration

I confirm my agreement to the charges detailed above and hereby authorise and request that RBC Brewin Dolphin undertake the payment of these to my Intermediary on my behalf, from my RBC Brewin Dolphin deposit account, for the provision of professional services provided to me in connection with my RBC Brewin Dolphin investment portfolio. I understand that any future monies added to the portfolio will be subject to this agreement unless I specify otherwise.

These instructions should replace any existing Intermediary remuneration arrangements on my portfolio(s).

Individual/First Investor

Title and Surname	
First Name(s)	
Signed (upload your electronic signature here	
Alternatively type in your name to confirm your signature	
Date	

Joint/Second Investor

Title and Surname	
First Name(s)	
Signed (upload your electronic signature here	
Alternatively type in your name to confirm your signature	
Date	

Intermediary Declaration

I understand that the charges facilitated by RBC Brewin Dolphin will be paid by BACS (unless otherwise agreed) to the bank account information held on record and that it is the responsibility of the Intermediary to determine whether VAT is payable on such charges. RBC Brewin Dolphin cannot accept any responsibility for this or give any advice.

Should VAT be applied to the initial charge Yes ☐ No ☐

Should VAT be applied to the ongoing charge Yes ☐ No ☐

Adviser Charging Agreement continued

Intermediary Firm Name	
Adviser's Name	
Adviser's signature (upload your electronic signature here	
Alternatively type in your name to confirm your signature	
Date	

For Office Use Only:

Client Code | PRC | Intermediary Code

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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Section 9: Declaration and Acceptance of Terms

9.1. Data Protection

Your personal data will be handled by RBC Brewin Dolphin in accordance with the provisions of all applicable data protection laws and regulations from time to time in force relating to data protection, privacy and the processing of personal data ("Data Protection Laws"), including the General Data Protection Regulation (Regulation (EU) 2016/679) ("GDPR") and the Data Protection Act 2018. The Data Protection Laws govern how we may use your personal information and give you certain rights in respect of your data. For further details on our data processing, please refer to our Retail Client Terms & Conditions (for the clients of financial advisers) or read our privacy notice, which is available at www.brewin.co.uk/privacynotice. Our privacy notice includes information on how to contact us should you wish to exercise your data protection rights.

9.2. Order Execution and Conflicts Policies

You will have received our Retail Client Terms & Conditions which detail our:
- Order Execution Policy
- Conflicts of Interest Policy

Our Order Execution Policy specifies that we may execute transactions outside regulated markets and multilateral trading facilities and that we may exercise our discretion as to whether or not to publish limit orders.

We strongly believe that it is in your interests that you accept our Order Execution Policy as it enables us to get the best outcome for you and we may be unable to open an account if you do not consent to the Order Execution Policy. **We would ask that you provide express consent to the Order Execution Policy as set out in the Retail Terms & Conditions by signing the declaration in the section below**.

9.3. Intermediary Declaration and Acceptance

I/We declare that:

- I/we have undertaken an assessment of the suitability of RBC Brewin Dolphin's services for the Company.
- I/we consent to the Order Execution Policy on behalf of the Company.
- The information provided in this form is correct and complete to the best of my/our knowledge and I/we will notify RBC Brewin Dolphin promptly of any changes.
- I/we have obtained information from the Company in relation to their knowledge and experience in investments and confirm that the Company has the neccessary experience and knowledge in order to understand the risks involved in the management of the portfolio.
- I/we confirm that I/we have read RBC Brewin Dolphin's Risk Categories for Intermediaries and that the Category identified in Section 3.5 of this Account Opening Form is suitable for the Company.
- The tax residency/FATCA information provided in this form is, to the best of my/our knowledge and belief, accurate and complete.
- I/We undertake to advise RBC Brewin Dolphin promptly of any change in circumstances which causes the tax residency/FATCA 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 understand that in certain circumstances RBC Brewin Dolphin will be obliged to share this information with the UK tax authorities, who may share this with other tax authorities.
- I/we have received RBC Brewin Dolphin's Account Opening Information Pack, which includes the standard terms and conditions governing the services to be provided to us as Intermediary for our Company, and I/we shall seek clarification promptly if there is anything that I/we do not understand.
- I/we have obtained information from the Company on their investment objectives, including the length of time they wish to hold investments, their preferences regarding risk taking, their risk profile and the purposes of investment.
- I/we confirm that I/we have verified and identified all parties to this agreement and all shareholders with 25% or more holding in accordance with the Intermediary Terms of Business for Intermediary.
- I/we confirm that where we supply RBC Brewin Dolphin with information we obtained about the Directors, we obtained their prior consent to provide this information to RBC Brewin Dolphin and for RBC Brewin Dolphin to process it in order to provide its services.

Section 9: Declaration and Acceptance of Terms continued

Intermediary Authorised Signature

Signed (upload your electronic signature here	
Alternatively type in your name to confirm your signature	
Date	
Print Name	

Second Intermediary Authorised Signature

Signed (upload your electronic signature here	
Alternatively type in your name to confirm your signature	
Date	
Print Name	

9.4. Director Declaration and Acceptance

The Directors of the Company agree that:

- The information in this form is correct, complete and up-to-date, and they have received a copy of RBC Brewin Dolphin's Retail Client Terms and Conditions for the Clients of Financial Advisers; and
- We acknowledge receipt of RBC Europe Limited's Financial Services Compensation Scheme (FSCS) information sheet and exclusions list.

First Director Signature

Signed (upload your electronic signature here	
Alternatively type in your name to confirm your signature	
Date	
Print Name	

Second Director Signature

Signed (upload your electronic signature here	
Alternatively type in your name to confirm your signature	
Date	
Print Name	

Third Director Signature

Signed (upload your electronic signature here	
Alternatively type in your name to confirm your signature	
Date	
Print Name	

Section 9: Declaration and Acceptance of Terms continued

Fourth Director Signature

Signed (upload your electronic signature here

Alternatively type in your name to confirm your signature

Date

Print Name

For RBC Brewin Dolphin use only

Intermediary Firm Name

PRC

Branch Code:

A/C Exec responsible for A/C

Financial Services Register ref no.

Terms and Conditions BD Number:

Please record the reference number from the back of the Terms and Conditions document.

Set Up

Rate Card Type

Power of Attorney ☐

Parent Key

Account Title

Client Code

PRC Code

CE Contact Code (iCode)

CE Organisation Code (O Code)

Classification

Retail client

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