Intermediary Account Opening Form:

Offshore Bond

Brewin Dolphin

Helping us deliver our services

Before providing this service for your investor(s), 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 Offshore Bond Investor(s).

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 or Investment Manager will be pleased to help.

If you would prefer to complete the form in large print please ask your usual RBC Brewin Dolphin contact for a copy.

Name of Investment Manager

Name of Business Development Manager

Section 1: Offshore Bond Provider and Intermediary Registration Details

Please print in capitals throughout this form and mark boxes with an ✔.

Offshore Bond Policy Number	
Account Title	

Open Architecture (with Selection Rights), is where the Offshore Bond Investor (the Policyholder) is restricted at all times to investing only in collective investments, as set out in the Income Tax (Trading and Other Income) Act 2005 and the Offshore Bond Provider's approved asset list.

Offshore Bond Provider's Address

Company Name	
Address	
City	
County	
Postcode	
Country	
Which jurisdiction is the bond to be issued from?	
Regulatory Authorisation Number	
VAT Registration Number	
Email	

Intermediary Firm Details

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: Who will be the Offshore Bond investor under this account?

First Policyholder

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

Other	
First Name(s)	
Surname	
Date of Birth	
Place of Birth	

What is the Policyholder's Residential Address?

Address Line 1	
Address Line 2	
Address Line 3	
City	
County	
Country	
Postcode	

Additional details

Nationality	
Country of Birth	
Residency for Tax Purposes	
Domicile	
National Insurance Number	
Tax Reference	

What are the Policyholder's Contact Details?

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

Second Policyholder (if applicable)

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

Other	
First Name(s)	
Surname	
Date of Birth	
Place of Birth	

Section 2: Who will be the Offshore Bond investor under this account? cont

What is the Second Policyholder's Residential Address?

Address Line 1

Address Line 2

Address Line 3

City

County

Country

Postcode

Additional details

Nationality

Country of Birth

Residency for Tax Purposes

Domicile

National Insurance Number

Tax Reference

What are the Second Policyholder's Contact Details?

Home Telephone Number

Country if not UK

Other Telephone Number

Country if not UK

Email

Third Policyholder (if applicable)

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

Other

First Name(s)

Surname

Date of Birth

Place of Birth

What is the Third Policyholder's Residential Address?

Address Line 1

Address Line 2

Address Line 3

City

County

Country

Postcode

Section 2: Who will be the Offshore Bond investor under this account? cont

Additional details

Nationality

Country of Birth

Residency for Tax Purposes

Domicile

National Insurance Number

Tax Reference

What are the Third Policyholder's Contact Details?

Home Telephone Number

Country if not UK

Other Telephone Number

Country if not UK

Email

Fourth Policyholder (if applicable)

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

Other

First Name(s)

Surname

Date of Birth

Place of Birth

What is the Fourth Policyholder's Residential Address?

Address Line 1

Address Line 2

Address Line 3

City

County

Country

Postcode

Additional details

Nationality

Country of Birth

Residency for Tax Purposes

Domicile

National Insurance Number

Tax Reference

Section 2: Who will be the Offshore Bond investor under this account? cont

What are the Fourth Policyholder's Contact Details?

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

Section 3: How can we help the Policyholder?

3.1. How much capital does the Investor have available for investment?

	Cash	Stock	Total
First Policyholder	£	£	£
Second Policyholder	£	£	£
Third Policyholder	£	£	£
Fourth Policyholder	£	£	£

3.2. Type of Service

This is a Discretionary Service.

3.3. Is an income required from the Policyholder's investments?

Yes ☐ No ☐

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

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

3.4. What is the Policyholder's investment time horizon?

1-3 years ☐ 3-5 years ☐ 5-10 years ☐ 10+ years ☐

3.5. Are there any investment restrictions the client wants to specify?

Yes ☐ No ☐

If yes, please provide details:

Note: Restrictions can only be applied within our Bespoke Discretionary Fund Management (DFM) service. RBCBD can consider ethical restrictions defined by the Ethical Investment Research Service (Moody's), Industrial Classification Benchmarks (ICB) & Company Restrictions. Your adviser will review your requirements against these to ensure we can support them.

Any investment restriction that you may impose to the management of the portfolio will only apply to direct investments because of the difficulty and cost of keeping permanently up to date with the underlying holdings in collective investment schemes or other packaged retail investment products. You further understand that any such restriction set by you may affect the performance of the portfolio.

Section 3: How can we help the Policyholder? continued

3.6. Please indicate below which Risk Category the Policyholder has agreed to for this account.

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.

3.7. Benchmarks

Please refer to our Risk Guide for Intermediaries for further information on the default benchmark that corresponds with the selection in section 3.6.

3.8. 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.rbcwealthmanagement.com/en-uk/csdr

Section 4: Correspondence and Administration

4.1. Information for Intermediaries, Professional Advisers and Third Parties

If the Policyholder 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.

4.2. Do you want us to provide information on the Policyholder's portfolio to third parties? Yes ☐ No ☐

If yes, please indicate below:

	Advisor	Investor	Tax Adviser/ Accountant	Solicitor
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 Line 1	
Address Line 2	
Address Line 3	
Postcode	
Email	
Telephone Number	
Country if not UK	

4.3. Would your Policyholder(s) like access to their account online via our MyBrewin web portal Yes ☐ No ☐

The Policyholder(s) can view up-to-date information about their investments through our MyBrewin portal at http://www.rbcwm.com/mybrewin. To enjoy the benefits of MyBrewin, we will simply need to confirm the Policyholder(s) 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.

First Policyholder Mobile Number for MyBrewin Account	
First Policyholder E-mail Address for MyBrewin Account	
Second Policyholder Mobile Number for MyBrewin Account	
Second Policyholder E-mail Address for MyBrewin Account	
Third Policyholder Mobile Number for MyBrewin Account	
Third E-mail Address for MyBrewin Account	
Fourth Mobile Number for MyBrewin Account	
Fourth E-mail Address for MyBrewin Account	

Section 5: Bank details and asset transfers

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

Provider Client Account

Please do not insert Policyholder bank details here

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	

5.2. Please confirm the source of funds and the source of wealth in relation to 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 (total net worth)

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;

Section 5: Bank details and asset transfers continued

- ☐ 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

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.

Tier 1 Investor Visa holder(s)?

Applicant(s) obtained UK residency via a Tier 1 Investor Visa.

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.

5.3. Third party instructions

Any third parties instructions should be sent to and agreed with your Offshore Provider outlined in Section 1.

Section 6: Intermediary Declaration and Acceptance of Terms by the Intermediary

6.1. 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 https://www.rbcwealthmanagement.com/en-uk/privacy-notice. Our privacy notice includes information on how to contact us should you wish to exercise your data protection rights.

6.2. Intermediary Declaration and Acceptance

In relation to your Client, the Offshore Bond Investor(s) (or "Policyholder(s)"), I/We declare on behalf of the Intermediary firm named in Section 1 ("Intermediary") that:

- The Intermediary has undertaken an assessment of the suitability of RBC Brewin Dolphin's services for the Policyholder;
- The information provided in this form is correct and complete to the best of the Intermediary's knowledge and the Intermediary will notify RBC Brewin Dolphin and Provider promptly of any changes;
- The Intermediary has obtained information from the Policyholder in relation to their knowledge and experience in investments and confirms that the Policyholder has the necessary experience and knowledge in order to understand the risks involved in the management of the portfolio;
- The Intermediary has obtained information from the Policyholder in relation to their financial situation including the source and extent of their regular income, assets (including liquid assets), investments and real property and their regular financial commitments. The Intermediary also confirms that the Policyholder has the capacity to bear investment risks arising from the management of the portfolio, including the potential of significant loss;
- I/we have read RBC Brewin Dolphin's Risk Guide for Intermediaries and that the Category identified in Section 3 of this Account Opening Form is suitable for the Policyholder;
- I/we have received RBC Brewin Dolphin's Account Opening Information Pack, and the Intermediary agrees to be bound by the Terms of Business for Intermediaries in relation to the services RBC Brewin Dolphin will provide (via the Intermediary) in relation to this account. I/we shall seek clarification promptly if there is anything in the Account Opening Pack that I/we do not understand;
- I/we acknowledge that RBC Brewin Dolphin has been appointed to act as discretionary portfolio manager on this account by the selected Offshore Bond Provider and will accordingly hold and provide its services in relation to the account under the terms of its appointment by the Offshore Bond Provider;
- I/we have obtained information from the Policyholder 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 in accordance with the Intermediary Terms of Business;
- I/we have discussed and agreed with the Policyholder the overall charging structure in relation to this service;
- Where the Intermediary supplies RBC Brewin Dolphin with information and personal data in relation to this account (including information classed as "special category personal data" under Data Protection Laws), the Intermediary has obtained the relevant data subject's prior consent to provide this information or personal data to RBC Brewin Dolphin and for RBC Brewin Dolphin to process it in order to provide its services;
- I/We acknowledge receipt of RBC Europe Limited's Financial Services Compensation Scheme (FSCS) information sheet and exclusions list.

Intermediary Authorised Signature

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

Section 7: Declaration and acceptance of terms by the Policyholder

7.1. Declaration by the Policyholder

I declare that:

- The information provided in this form relating to me is correct, complete and up-to-date;
- I understand that RBC Brewin Dolphin has been appointed to act as discretionary portfolio manager on this account by my selected Offshore Bond Provider and will hold and provide its services in relation to the account under the terms of its appointment.
- I have received a copy of RBC Brewin Dolphin's `Retail Client Terms & Conditions (for the clients of financial advisers)' (the "Retail Terms"). I understand that, subject to the terms of RBC Brewin Dolphin's appointment by my selected Offshore Bond Provider, the Retail Terms set out the basis on which RBC Brewin Dolphin will engage with me;
- I acknowledge and agree that RBC Brewin Dolphin's receipt and acceptance of this Account Opening Form shall act as its appointment to provide its services in relation to this account; and
- I will notify my Intermediary promptly of any changes to the information provided in this form and of any other relevant information.

7.2. Sensitive Personal Data

From time to time, we may collect certain sensitive personal data (including data about your health) which you provide to us over the course of our relationship. We collect and process this sensitive personal data (defined as "special categories of personal data" under the GDPR) so that we can tailor our services to your individual needs. However, we may only do so where we have your consent, which you can provide to us by ticking the box below:

☐ I consent to RBC Brewin Dolphin collecting and processing my sensitive personal data, including information about my health, to the extent necessary in connection with the provision of its services to me.

First Policyholder

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

Second Policyholder

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

Third Policyholder

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

Section 7: Declaration and acceptance of terms by the Policyholder continued

Fourth Policyholder

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

Section 8: Declaration and Acceptance of Terms by the Offshore Bond Provider

8.1. 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 Client Terms and Conditions for the Clients of Financial Advisers by signing the declaration in section 8.4 below**.

8.2. Self-Certification Of Status Under 'FATCA' Tax Exchange Agreements

Self-Certification of Status Under Automatic Exchange of Information Regulations (FATCA and CRS)

Please confirm the offshore bond provider's classification for the purposes of FATCA and CRS regulations:

Please confirm the provider's country of residence for tax purposes:	
Please confirm the provider's tax identification number (if applicable)	

Has the Bond Provider registered under FATCA regulations? Yes ☐ No ☐

If yes, please provide your GIIN registration number: _ _ _ _ _ _ / _ _ _ _ _ / _ _ / _ _ _

If No, Please speak to your investment manager and attach a separate FATCA/CRS Self Certification form (BD1906).

Further detail of Automatic Exchange of Information Regulations can be found on HMRC's website here: https://www.gov.uk/government/collections/automatic-exchange-of-information-agreements

8.3. Declaration

On behalf of the Offshore Bond Provider of the Policy, we declare that:

- We consent to RBC Brewin Dolphin's Order Execution Policy (and where applicable, we also provide such consent on behalf of the Account holder);
- The information provided in this form regarding the Offshore Bond Provider is complete and correct to the best of our knowledge and we shall notify RBC Brewin Dolphin promptly of any changes in the details, status or circumstances of the Offshore Bond Provider;
- We expressly consent to the Intermediary (authorised to act on behalf of the Policyholder in Section 1 of this form) to communicate with, give instructions to, and otherwise deal with RBC Brewin Dolphin in respect of the Policyholder's Account unless or until such authority is withdrawn by the Offshore Bond Provider, by notice in writing, to RBC Brewin Dolphin;
- Where we supply RBC Brewin Dolphin with information about the Policyholder we have 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 8: Declaration and Acceptance of Terms by the Offshore Bond Provider continued

- The tax residency / FATCA information provided in this form is, to the best of our knowledge and belief, accurate and complete;
- 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;
- 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.

At least two Authorised Signatories must sign on behalf of the Offshore Bond Provider.

First Authorised Signatory

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

Second Authorised Signatory

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

Third Authorised Signatory

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

Fourth Authorised Signatory

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

IMPORTANT NOTE
IF THE PROVIDER HAS A GLOBAL AGREEMENT IN PLACE WITH RBC BREWIN DOLPHIN THEIR SIGNATURE IS NOT REQUIRED.

For RBC Brewin Dolphin use only

Intermediary Firm Name	
Intermediary Code	
PRC	
Branch Code:	
A/C Exec responsible for account	
FCA Number	
Terms and Conditions BD Number:	BD1121/ /

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

For office use only

Client Code

PRC Code

CE (iCode)

CE (O Code)

Classification

RETAIL CLIENT

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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RBCBD1459b_2605_15
Issue date: June 2026