

# Intermediary account opening form

Trusts



Brewin  
Dolphin

## Helping us deliver our services

Before providing this service for your client (or the “Investor”), 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 Investor.

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 Business Development Manager

Name of Investment Manager

## Section 1: Intermediary authorisation details

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

Country of Establishment

Purpose or Nature of Trust

Type of Trust (ie. Bare trust,  
accumulation and  
maintenance, discretionary, etc)

## Section 3: Trust's requirements

3.1. How much capital does the Trust wish to invest?

3.2. Type of Service

This is a Discretionary Service.

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

Yes No

If Yes, please state the gross amount the Trust requires.

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

3.4. Please provide your Statement of Investment Policy.

Yes

3.5. What is the Trust's investment time horizon?

1-3 years

3-5 years

5-10 years

10+ years

3.6. Does the Trust anticipate any changes to its circumstances?

If yes, please provide details.

## Section 3: Trust's requirements continued

**3.7. Are there any investment restrictions the Trustees want to specify? (Bespoke DFM only)** 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.

**3.8. Are there any other restrictions? e.g maximum holding size (instruments that are excluded from investments etc)** Yes No

If yes, please provide details.

**3.9. Please indicate below which Risk Category you have agreed to for the Trust's account.** Yes No

*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.*

### 3.10. Benchmarks

Please refer to our Risk Guide for Intermediaries for further information on the default benchmark that corresponds with the selection in section 3.9.

### 3.11. 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.

For the risks and benefits of this service please visit <https://www.rbcwealthmanagement.com/en-uk/csdr>

## Section 4: Additional Trust information

Please state your Accounting Year End.

### Income and Capital Gains Tax

What rate of Income Tax is payable?  % Exempt

Who is liable for Income Tax? Settlers Beneficiaries Trust Other *If Other, please provide details.*

What rate of Capital Gains Tax is payable?  % Exempt

Who is liable for Capital Gains Tax? Settlers Beneficiaries Trust Other *If Other, please provide details.*

Trusts normally receive 50% of the annual Capital Gains Tax allowance for individuals.

Does this apply to this account? Yes No

If not, what percentage of the annual CGT allowance is available to the Trust?  %

For non-UK taxpayers please inform us of their tax year end.

*Notices and communications will be sent to you.*

**How many Trustees are there?** *Please provide personal details for the Trustees below.*

**How many Beneficiaries are there?** *Please provide personal details for the Beneficiaries below.*

**How many Settlers are there?** *Please provide personal details for the Settlers below.*

**Are there any Other Controllers (e.g. Guardian, Protector, Appointer)?**

**If any Other Controllers exist, how many are there?** *Please provide details for up to two Other Controllers.*

### First Trustee

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

Other

First Name(s)

Surname

Date of Birth

Place of Birth

Nationality

Second Nationality

*If your client holds dual nationality please provide both*

Country of Birth

Residency for Tax Purposes

Domicile

National Insurance Number

### First Trustee's Current Residential Address

Address

City

County

## Section 4: Additional Trust information continued

Postcode

Country

### First Trustee's Contact Details

Home Telephone Number

Country if not UK

Other Telephone Number

Country if not UK

Email

### Second Trustee

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

Other

First Name(s)

Surname

Date of Birth

Place of Birth

Nationality

Second Nationality

*If your client holds dual nationality please provide both*

Country of Birth

Residency for Tax Purposes

Domicile

National Insurance Number

### Second Trustee's Current Residential Address

Address

City

County

Postcode

Country

### Second Trustee's Contact Details

Home Telephone Number

Country if not UK

Other Telephone Number

Country if not UK

Email

## Section 4: Additional Trust information continued

### Third Trustee

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

Other

First Name(s)

Surname

Date of Birth

Place of Birth

Nationality

Second Nationality

*If your client holds dual nationality please provide both*

Country of Birth

Residency for Tax Purposes

Domicile

National Insurance Number

### Third Trustee's Current Residential Address

Address

City

County

Postcode

Country

### Third Trustee's Contact Details

Home Telephone Number

Country if not UK

Other Telephone Number

Country if not UK

Email

### Fourth Trustee

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

Other

First Name(s)

Surname

Date of Birth

Place of Birth

Nationality

Second Nationality

*If your client holds dual nationality please provide both*

## Section 4: Additional Trust information continued

Country of Birth

Residency for Tax Purposes

Domicile

National Insurance Number

### Fourth Trustee's Current Residential Address

Address

City

County

Postcode

Country

### Fourth Trustee's Contact Details

Home\ Telephone Number

Country if not UK

Other Telephone Number

Country if not UK

Email

### First Beneficiary Details

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

Other

First Name(s)

Surname

Date of Birth

Place of Birth

Address

City

County

Postcode

Country

## Section 4: Additional Trust information continued

### Second Beneficiary Details

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

Other

First Name(s)

Surname

Date of Birth

Place of Birth

Address

City

County

Postcode

Country

### Third Beneficiary Details

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

Other

First Name(s)

Surname

Date of Birth

Place of Birth

Address

City

County

Postcode

Country

### Fourth Beneficiary Details

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

Other

First Name(s)

Surname

Date of Birth

Place of Birth

Address

## Section 4: Additional Trust information continued

City

County

Postcode

Country

### First Settlor Details

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

Other

First Name(s)

Surname

Date of Birth

Place of Birth

Address

City

County

Postcode

Country

### Second Settlor Details

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

Other

First Name(s)

Surname

Date of Birth

Place of Birth

Address

City

County

Postcode

Country

### Other Controller Details

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

Other

First Name(s)

Surname

Date of Birth

## Section 4: Additional Trust information continued

Place of Birth

Address

City

County

Postcode

Country

### Other Controller Details

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

Other

First Name(s)

Surname

Date of Birth

Place of Birth

Address

City

County

Postcode

Country

*If there are any more Trustees, Beneficiaries or Settlers please provide their personal details on a separate page.*

## Section 5: Correspondence and administration

### 5.1. Information for Intermediaries, Professional Advisers and Third Parties

If the Trustee 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

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

If yes, please indicate below:

Adviser Tax Adviser/  
Accountant Solicitor Other

General Correspondence

Valuation\*

Invoices

Contract Notes

Year End Tax Report (one copy only)

MiFID reporting

*\* maximum of 4*

## Section 5: Correspondence and administration continued

### Please provide contact details (if applicable)

Contact Name

Role

Name of Firm

Address

Postcode

Email

Telephone Number

Country if not UK

### 5.3. 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.

### 5.4. Would the Trustees like access to their account online via our MyBrewin web portal? Yes No

The Trustees can view up-to-date information about their investments through the MyBrewin portal at <http://www.rbcwm.com/mybrewin>. To enjoy the benefits of MyBrewin, we will simply need to confirm the Trustees mobile telephone number and the email address that they would like to use for their MyBrewin account. Please note that 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. For Trustees who would each like their own MyBrewin access, please provide mobile telephone numbers and corresponding email addresses below.

First Mobile Telephone Number for MyBrewin Account

First E-mail Address for MyBrewin Account

Second Mobile Telephone Number for MyBrewin Account

Second E-mail Address for MyBrewin Account

Third Mobile Telephone Number for MyBrewin Account

Third E-mail Address for MyBrewin Account

Fourth Mobile Telephone Number for MyBrewin Account

Fourth E-mail Address for MyBrewin Account

Fifth Mobile Telephone Number for MyBrewin Account

Fifth E-mail Address for MyBrewin Account

Sixth Mobile Telephone Number for MyBrewin Account

Sixth E-mail Address for MyBrewin Account

## Section 6: Bank details and asset transfers

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

### Trust 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

**6.2. Please confirm the origin of funds, 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

*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;



## AML Client Risk Factors

### Trust

**1. Is the client, or any party to the client a ‘Trust and Company Service Provider’?** Yes No

E.g. Trustee, Director.

**2. Is the client a Personal Asset Holding Vehicle?** Yes No

E.g. a shell company, a personal investment company (PIC) or an atypical trust (e.g. the settlor or trustee is also a beneficiary) established (usually offshore) to hold personal assets.

A shell company is a company which serves as a vehicle for business transactions without itself having any significant assets or operations. They may also be known as international business companies, personal investment companies, front companies or mailbox companies.

The use of such persons or arrangements may make identification of ultimate beneficial owners more difficult since layering of ownership may conceal the true source or controller of the investment.

**3. Does the ownership structure of the client entity appear complex given the nature of the client?** Yes No

E.g. a trust or corporate vehicle that is part of a multi-layered structure which seems excessively complex in relation to what you would expect for the size or purpose of the company.

**4. Is the client listed on a stock exchange with adequate disclosure requirements?** Yes No

The client is a company (or corporate vehicle) that is listed on:

- the London Stock Exchange or AIM, or
- a market that is on the EU Regulated Markets list  
[https://registers.esma.europa.eu/publication/searchRegister?core=esma\\_registers\\_mifid\\_rma](https://registers.esma.europa.eu/publication/searchRegister?core=esma_registers_mifid_rma) or
- another market with assessed adequate disclosure requirements.

## Section 7: Self-certification of status under 'FATCA' tax exchange agreements

### Part I: Trust Information

Trust name (full)

### Part II: Trust Tax Residency

Please indicate ALL countries in which the trust is resident for tax purposes and the relevant Tax Identification Number for that country. For example, for a UK Trust this would be an HMRC 'Unique Tax Reference (UTR)'

Country of Tax Residency

Tax Identification Number (TIN)

No TIN\*

2nd Country of Tax Residence  
(if applicable)

Tax Identification Number (TIN)

No TIN\*

3rd Country of Tax Residence  
(if applicable)

Tax Identification Number (TIN)

No TIN\*

\*If you ticked the "no TIN" box, please explain below why the Trust does not have a TIN:

### Part III: Trust Entity Classification Under Automatic Exchange of Information Regulations

#### Section 1. CRS Entity Classification

Under 'Foreign Account Tax Compliance Act (FATCA)' and 'Common Reporting Standard (CRS)' Regulations, the Trust will either be a Financial Institution (FI), a Managed Investment Entity (MIE) or a Non-Financial Foreign Entity (NFFE/NFE)\*.

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

**Please confirm below which category the Trust falls under:**

**Select one:**

**The Trust is a Financial Institution (FI)**

(The Trust offers Depository, Custodial, Insurance or Investment services on behalf of customers)

**Please skip to section 4**

**The Trust is a Managed Investment Entity (MIE)**

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

**Please skip to section 2**

**The Trust is a Non-Financial Entity (NFE)**

(The Trust is neither a Financial Institution nor a Managed Investment Entity)

**Please skip to section 5**

## Section 7: Self-certification of status under ‘FATCA’ tax exchange agreements continued

### Section 2. FATCA Classification for a Managed Investment Entity (MIE)

As a ‘Managed Investment Entity’ the Trust is deemed to be a Financial Institution for the purposes of FATCA and CRS Regulations, and as such the Trustees have the following obligations:

1. Identify any beneficiaries that are US citizens or foreign residents,
2. If there are any foreign resident beneficiaries, a disclosure must be made to the Trust’s tax authority under CRS,
3. If there are any beneficiaries that are US residents or US citizens, a disclosure must be made to the Trust’s tax authority under FATCA,
4. The Trust must register for a FATCA ‘Global Intermediary Identification Number (GIIN)’ to evidence that they are a compliant entity (this is required even if the Trust has no US beneficiaries).

Alternatively, if the Trust is resident for tax purposes only in the UK; the Trustees have the option of signing an ‘Owner-Documented Agreement’ with RBC Brewin Dolphin:

- Under an owner-documented agreement the Trustees agree to keep RBC Brewin Dolphin informed of who the beneficiaries are, and where they are resident for tax purposes.
- If any beneficiary is identified as a US citizen or US resident; RBC Brewin Dolphin will disclose this to HMRC within their FATCA disclosure.
- If all the Trust’s income is received via owner-documented accounts; then the Trust can be classified as a ‘Deemed-Compliant Financial Institution’ under FATCA; which means the Trustees are no longer required to meet the 3rd and 4th obligation shown above (i.e. they do not have to disclose US persons or register for a GIIN).
- To be clear however, the Trustees are still responsible for the 1st and 2nd obligation (i.e. Verifying the beneficiary’s residency and disclosing foreign residents under CRS).

**Would the trustees like to enter into an ‘Owner-Documented Agreement’ with RBC Brewin Dolphin for the purposes of US FATCA reporting?**

**No** – Please skip to **section 4** to confirm the Trust’s status under FATCA

**Yes** – Please continue to **section 3** below and complete the Owner-Documented Declaration

### Section 3. FATCA Owner-Documented Agreement

In order to qualify as an Owner-Documented FI, the Trust must meet ALL of the conditions described below.

To confirm that the Trust meets the requirements to enter an Owner-Documented Agreement; please confirm that the following four statements are true by indicating “TRUE” or “FALSE” in the column on the right.

**Only where ALL the below statements are “TRUE” will the Trust qualify for an Owner-Documented Agreement** **True/False**

1. The Trust is resident for tax purposes only in the United Kingdom  
(i.e. *The Trust does not have reporting obligations to a non-UK tax authority*)
2. The Trust does not maintain a financial account for any Non-Participating Financial Institution  
(i.e. *all beneficiaries of the Trust are individuals; rather than other trusts/companies*)
3. The Trust is not owned by, nor a member of, a group of Related Entities with any FI that is a depository, custodial or specified insurance company as defined in UK legislation.  
(i.e. *all Trustees are individuals, rather than other trusts/companies*)
4. The Trustees agree to provide RBC Brewin Dolphin (i.e. the reporting entity) information regarding all beneficiaries. And to inform RBC Brewin Dolphin in future if this information changes or if a new beneficiary is added

The information required to be provided to RBC Brewin Dolphin applies to:

- All beneficial owners of all or a portion in the Trust
- All beneficiaries that are entitled to receive directly or indirectly a mandatory distribution from the Trust
- All beneficiaries that received a discretionary distribution from the Trust in the calendar year
- All settlors, trustees and all persons exercising ultimate effective control over the Trust
- All persons that hold a direct or indirect debt interest in the Trust (including direct or indirect equity interests in a debt holder of the Trust)

**Please skip to Part IV and provide the details of the beneficiaries in the ‘Details of Beneficiaries and Controlling Persons’ table.**

## Section 7: Self-certification of status under ‘FATCA’ tax exchange agreements continued

### Section 4. FATCA Classification for a Financial Institution or Managed Investment Entity

When the Trust is an FI; you must provide a GIIN registration number or a valid reason why the Trust does not need one.

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

If the Trust has registered as an FI (or a 3rd party has registered on behalf of the trust as a ‘Sponsored Investment Entity’, Trustee Documented Trust or a ‘Sponsored closely held Investment Vehicle’) –

please provide the Trust’s GIIN: \_\_\_\_\_/\_\_\_\_\_/\_\_\_/\_\_\_\_

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

- i) The Trust is an ‘Exempt Beneficial Owner’ (e.g. the trust is an HMRC approved pension scheme)
- ii) The Trust is a ‘Certified or Otherwise Deemed Compliant FI’ (e.g. UK registered charity)
- iii) The Trust is a “Non-Participating FI” (*note: this option is only valid for non-UK Entities*)
- iv) Other reason (Please specify):

### Section 5. The Trust is a Non-Financial Entity

If the Trust is neither an FI nor an MIE, it will be a Non-Financial Entity (NFE) – Either ‘Active’ or ‘Passive’

**Please tick below to confirm which category applies:**

**Select one:**

**Active NFE**

Broadly speaking, an active entity is where 50% or more of the income is generated by an active business or trade; an entity that is publicly traded on a recognised exchange; or a non-profit organisation that is exempt from income tax.

**Please skip to Part V and sign the declaration**

**Passive NFE**

A passive entity is an entity that is neither an FI, an MIE nor an Active NFE. Typically, this will be where all the Trust’s assets are held on an execution-only basis; or where 50% or more of the Trust’s income is from non-financial sources (such as royalties or rent from property)

**Please continue to the table in Part IV**



## 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 8: Intermediary declaration and acceptance of terms

### 8.1. Data Protection

Your and your client's 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 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.

### 8.2. 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 section 8.4 below.

### 8.3. Checklist

**Please ensure you have the following with this application (where relevant):**

Statement of Investment Policy

Copy of the Trust Deed or sufficient information noted from the Trust Deed in relation to the country of establishment and the nature and purpose of the Trust

Names of all Trustees, Beneficiaries & Settlor's connected to this account

Copy of Will (where applicable)

If the Settlor is deceased, please provide a certified copy of their death certificate.

**Please contact us for advice on acceptable alternatives should you be unable to provide the specified documents.**

### 8.4. Intermediary Declaration and Acceptance

In relation to our Client, the Trust, I/We declare that:

- I/we have undertaken an assessment of the suitability of RBC Brewin Dolphin's services for the Trust.
- I/we consent to the Order Execution Policy on behalf of the Trust.
- 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 Trust in relation to their knowledge and experience in investments and confirm that the Trust has the necessary experience and knowledge in order to understand the risks involved in the management of the portfolio.
- I/we have obtained information from the Trust in relation to its financial situation including the source and extent of their regular income, assets (including liquid assets) investments and real property and its regular financial commitments. I/we confirm that the Trust has the capacity to bear investment risks arising from the management of the portfolio, including the potential of significant loss.
- I/we confirm that I/we have read RBC Brewin Dolphin's Risk Guide for Intermediaries and that the Category identified in Section 3.10 is suitable for the Trust.
- 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 the Trust, and I/we shall seek clarification

promptly if there is anything that I/we do not understand.

## Section 8: Intermediary declaration and acceptance of terms continued

- I/we have obtained information from the Trust 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 Intermediaries Terms of Business for Intermediaries.
- Where we supply RBC Brewin Dolphin with information about the Trustees 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.
- 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.

### First 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 (if appropriate)

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

Print Name

## Section 9: Trustee 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 <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.

### 9.2. 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:

#### First Trustee

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.

## Section 9: Trustee declaration and acceptance of terms continued

### Second Trustee

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.

### Third Trustee

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.

### Fourth Trustee

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.

### 9.3. Trustee Declaration and Acceptance

On behalf of the Trust I declare that:

- The information provided in this form relating to the Trust and me is correct, complete and up-to-date;
- I have received a copy of RBC Brewin Dolphin's 'Retail Client Terms & Conditions (for clients of financial advisers)' (the "Retail Terms").
- I understand that the Retail Terms set out the basis on which RBC Brewin Dolphin will provide its services in relation to this account;
- I acknowledge receipt of RBC Europe Limited's Financial Services Compensation Scheme (FSCS) information sheet and exclusions list;
- 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.

#### First Trustee's Signature

Signed (upload your electronic signature here

Alternatively type in your name to confirm your signature

Date

Print Name

#### Second Trustee's Signature

Signed (upload your electronic signature here

Alternatively type in your name to confirm your signature

Date

Print Name

#### Third Trustee's Signature

Signed (upload your electronic signature here

Alternatively type in your name to confirm your signature

Date

Print Name

## Section 9: Trustee declaration and acceptance of terms continued

### Fourth Trustee's 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**



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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