



Brewin  
Dolphin

# Intermediary Account Opening Form:

General Investment Account & ISA

## 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 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 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 REGISTRATION DETAILS**

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

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 NumberVAT Registration number  
(if registered)**SECTION 2: WHO IS THIS ACCOUNT FOR?****2.1 Type of Account**

Individual

Joint Account

Joint Tenants

*If a Joint Account, please specify whether Joint Tenants or Tenants in Common.**For further information, please refer to the Retail Terms and Conditions for Clients of Financial Advisers.*

Tenants in Common

*Please specify percentage, if Tenants in Common.*

First Investor

%

Second Investor

%

**2.2 Individual/First Investor**

Mr

Mrs

Miss

Ms

Mx

Other

*If Other, please state below*

Other

First Name(s)

Surname

Date of Birth

**2.3 Individual/First Investor's Current Residential Address**

Address

City

County

Country

Postcode

**SECTION 2: WHO IS THIS ACCOUNT FOR? (CONTINUED)****2.4 Individual/First Investor Additional Details**

Marital Status

Nationality

Second Nationality

*If the investor holds dual nationality please provide both.*

Gender

Male

Female

Prefer not to say

Country of Birth

Place of Birth

Domicile

Residency

Income Tax Rate

National Insurance Number

If none, tick here

**2.5 Individual/First Investor's Contact Details**

Home Telephone Number

Country if not UK

Other Telephone Number

Country if not UK

Email

**2.6 Joint/Second Investor**

Mr

Mrs

Miss

Ms

Mx

Other

*If Other, please state below*

Other

First Name(s)

Surname

Date of Birth

Place of Birth

**2.7 Joint/Second Investor's Current Residential Address**

Address

City

County

Country

Postcode

**2.8 Joint/Second Investor's Additional Details**

Marital Status

Nationality

Second Nationality

*If the investor holds dual nationality please provide both.*

Gender

Male

Female

Prefer not to say

Country of Birth

Place of Birth

Domicile

Residency

Income Tax Rate

National Insurance Number

If none, tick here

**SECTION 2: WHO IS THIS ACCOUNT FOR? (CONTINUED)****2.9 Joint/Second Investor'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 INVESTOR?****3.1 How much capital does the Investor have available for investment?**

|                           | Cash                   | Stock                  | TOTAL                  |
|---------------------------|------------------------|------------------------|------------------------|
| Individual/First Investor | £ <input type="text"/> | £ <input type="text"/> | £ <input type="text"/> |
| Joint/Second Investor     | £ <input type="text"/> | £ <input type="text"/> | £ <input type="text"/> |
| Joint                     | £ <input type="text"/> | £ <input type="text"/> | £ <input type="text"/> |

**3.2 Type of Service**

This is a Discretionary Service.

**3.3 Is income required from the investments?**

Yes No

If yes, please state the gross amount the Investor(s) would like the portfolio to produce each year.

£

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

**3.4 What is your Investor'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.

**3.6 Please indicate below the Risk Category that has been agreed to by the Investor(s).**

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

**Risk Category**  
Intermediary 1

**Risk Category**  
Intermediary 6

**Risk Category**  
Intermediary 2

**Risk Category**  
Intermediary 7

**Risk Category**  
Intermediary 3

**Global Dollar**

**Risk Category**  
Intermediary 4

**Global Euro**

**Risk Category**  
Intermediary 5

**Global Sterling**

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

**SECTION 3: HOW CAN WE HELP THE INVESTOR? (CONTINUED)****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 3.7.

**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.

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

**SECTION 4: CORRESPONDENCE AND ADMINISTRATION****4.1 Information for Intermediaries, Professional Advisers and Third Parties**

If the Investor(s) 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 portfolio to third parties?**

Yes      No

If yes, please indicate below:

|  | Adviser | Investor | Tax Adviser/<br>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 Investor(s) 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.

**SECTION 4: CORRESPONDENCE AND ADMINISTRATION (CONTINUED)****4.3 Do you want us to accept instructions from a third party?**

Yes

No

Please note that anti-money laundering legislation requires us to obtain proof of identity/address documentation in respect of any third party that exercises control over the account. We may need to contact you for further information. We will not accept instructions from professional advisers or other third parties unless you instruct us below or separately in writing. We will only accept instructions from ONE third party.

If yes, please authorise ONE third party here:

Tax Adviser/  
Accountant

Solicitor

Other

**Please provide contact details (if applicable)**

Contact Name

Date of Birth

Relationship

Name of Firm

Address Line 1

Address Line 2

Address Line 3

City

County

Country

Post Code

E-mail

Telephone number

Signed (by the third-party,  
for the purpose of verification)  
(upload your electronic  
signature here)

Alternatively type in your name  
to confirm your signature

Date

Print Name

**4.4 Periodic Statements****RBC RBC Brewin Dolphin will provide a quarterly valuation report.**

If you wish to change currency, please contact your RBC Brewin Dolphin Investment Manager.

For non-UK tax payers, please provide your Tax Year End Date

**4.5 Would the Investor(s) like to access the account online via our MyBrewin web portal?**

Yes

No

Each Investor can view up-to-date information about their investments through our MyBrewin portal at [www.brewin.co.uk/mybrewin](http://www.brewin.co.uk/mybrewin). To enjoy the benefits of MyBrewin, we will simply need to confirm each Investor's 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 joint investors who would each like their own MyBrewin access, please provide two mobile telephone numbers and corresponding email addresses below

First Investor Mobile Number  
for MyBrewin Account

First Investor E-mail Address  
for MyBrewin Account

Second Investor Mobile Number  
for MyBrewin Account

Second Investor 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.

**Investor 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

**5.2 Please confirm the Origin of Funds, Source of Funds and 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;

Legalised Marijuana or related businesses;

Licensed 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 5: 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.*

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 Income Instructions**

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

**Dividend Income:**

RBC Brewin Dolphin to hold as part of the portfolio

Pay to the Investor bank account

**Regular Income Payment:**

If you would like a fixed sum paid to the Investor bank account please indicate:

Amount

£

Frequency

for first payment

**5.4 Settlement Instructions**

Please note, all settlement proceeds will be held on account for reinvestment. If you require the settlement proceeds to be paid to the Investor bank account, please speak to your Investment Manager.

**SECTION 6: 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>

**6.1 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 Intermediary's GIIN Number: \_\_\_\_\_ / \_\_\_\_\_ / \_\_\_\_ / \_\_\_\_

**(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.

Please complete Part B below to confirm the tax residency status of each account holder.

**6.2 Part B – Self-Certification of Investor's Tax Residency Status**

Where the Intermediary is not reporting under FATCA, please complete the declaration(s) below with respect to each Investor, to either confirm that they are resident for tax purposes only in the United Kingdom – or to confirm the detail of any other jurisdiction in which they are resident.

*\*Please note: US Citizens are considered to be tax residents of the United States regardless of where they currently live, and therefore should provide their US Tax Identification Number in the below declarations.*

**Individual/First Investor:**

Please tick the following box if the Individual/First Investor is resident for tax purposes only in the UK

(i.e. they are not tax resident in any country other than the UK) :

Alternatively, if the Individual/First Investor is also resident for tax purposes in a jurisdiction other than the United Kingdom, please list below each country in which they are resident for tax purposes, along with their Tax Identification Number for that country.

(If the country of tax residency does not issue Tax Identification Numbers, please state 'Not Applicable')

| Country of Residency For Tax Purposes | Tax Identification Number |
|---------------------------------------|---------------------------|
|---------------------------------------|---------------------------|

**Joint/Second Investor (if applicable):**

Please tick the following box if the Joint/Second Investor is resident for tax purposes only in the UK

(i.e. they are not tax resident in any country other than the UK):

Alternatively, if the Joint/Second Investor is also resident for tax purposes in any jurisdiction other than the United Kingdom, please provide a list below of each country in which they are resident for tax purposes, along with their Tax Identification Number for that country.

(If the country of tax residency does not issue Tax Identification Numbers, please state 'Not Applicable')

| Country of Residency For Tax Purposes | Tax Identification Number |
|---------------------------------------|---------------------------|
|---------------------------------------|---------------------------|



**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

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 .....

**SECTION 7: INTERMEDIARY DECLARATION AND ACCEPTANCE OF TERMS BY THE INTERMEDIARY****7.1 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 Terms & Conditions for Clients of Financial Advisers by signing the declaration in the section below.

**7.2 Data Protection**

Your and your clients' 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 and your clients' personal information and gives data subjects certain rights in respect of their data. For further details on our data processing, please refer to our Terms of Business for Intermediaries or read our privacy notice, which is available at [www.brewin.co.uk/privacynotice](http://www.brewin.co.uk/privacynotice). Our privacy notice includes information on how to contact us should you or your client(s) wish to exercise any data protection rights.

**7.3 Intermediary Declaration and Acceptance**

In relation to the Investor(s) named in section 2 above, I/We declare on behalf of the Intermediary firm named in Section 1 ("Intermediary") that:

- I/we consent to the Order Execution Policy on behalf of the Investor(s).
- The Intermediary has undertaken an assessment of the suitability of RBC Brewin Dolphin's services for the Investor(s);
- The information provided in this form (or otherwise during the account opening process) is correct and complete to the best of the Intermediary's knowledge and the Intermediary will notify RBC Brewin Dolphin promptly of any changes;
- The Intermediary has obtained information from the Investor(s) in relation to their knowledge and experience in investments and confirms that the Investor(s) has/have 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 Investor(s) 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 Investor(s) has/have 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 Investor(s);
- 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 have obtained information from the Investor(s) 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 in accordance with the Intermediary Terms of Business for Intermediaries;
- I/we have discussed and agreed with the Investor(s) the overall charging structure in relation to the services RBC Brewin Dolphin will provide;
- I/we will disclose to the Investor(s) all details of any subsequent fees between us in accordance with all applicable statutory, regulatory and professional requirements;
- I/we will advise RBC Brewin Dolphin if I/we are or become aware of anything unusual in the way the business of the Investor(s) is conducted;
- 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 such tax residency/FATCA information with the UK or Jersey tax authorities, who may share this with other tax authorities; and
- 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.

## SECTION 7: INTERMEDIARY DECLARATION AND ACCEPTANCE OF TERMS BY THE INTERMEDIARY (CONTINUED)

### 7.4 Intermediary Signature

#### Intermediary Authorised Signature(s)

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

Print Name(s)

## SECTION 8: DECLARATION AND ACCEPTANCE OF TERMS BY THE INVESTOR(S)

### 8.1 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 clients of financial advisers) or read our privacy notice, which is available at [www.brewin.co.uk/privacynotice](http://www.brewin.co.uk/privacynotice). Our privacy notice includes information on how to contact us should you wish to exercise your data protection rights.

### 8.2 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:

#### Individual/First Investor

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.

#### Joint/Second Investor

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.

### 8.3 Declaration by the Investor

I declare that:

- The information provided in this form relating to 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 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.

#### Individual/First Investor Signature

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

#### Joint/Second Investor Signature

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

**FOR RBC BREWIN DOLPHIN USE ONLY**

Intermediary Firm Name

Intermediary Code

PRC

Branch Code:

A/C Exec  
responsible for A/C

Financial Services Register  
reference number

Terms and Conditions  
BD Number:

**B D 1 1 2 1 / /**

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

**Set Up**

Joint A/C Consolidate  
valuations with

Rate Card Code

Power of Attorney

Parent Key

**ISA APPLICATION FORM FOR THE CLIENTS OF INTERMEDIARIES (DISCRETIONARY SERVICE)****Personal Details**

Title and Surname

First Name(s)

Permanent Residential  
Address

Postcode

Daytime Telephone

**HMRC Requirements**Tick here if you do **not** have a National Insurance (NI) number:

Date of Birth

National Insurance Number

You should be able to find your NI number on a payslip, form P45 or P60, a letter from HM Revenue & Customs (HMRC), a letter from the Department of Work and Pensions (DWP), or pension order book.

**Subscribing to your ISA****I wish to subscribe to a Stocks and Shares ISA:**

Discretionary

Tax Year

20 / 20

and for each subsequent tax year until I advise RBC Brewin Dolphin otherwise (i.e., a **'continuous'** application);

This does not oblige you to subscribe in every subsequent tax year. However, if you chose not to subscribe in a particular tax year we will require you to complete a new ISA Application Form for the next tax year in which you choose to subscribe again. If you are an existing client, would you like your ISA managed in conjunction with your main portfolio, with the same investment criteria as specified on your signed Intermediary Account Opening Form (GIA & ISA).

If you are an existing client, would you like your ISA managed in conjunction with your main portfolio, with the same investment criteria as specified on your signed Intermediary Account Opening Form (GIA & ISA).'

Yes No

If no, please complete the next section. If any other details or circumstances have changed, please notify your Adviser or RBC Brewin Dolphin Investment Manager.

**Funding your ISA****I wish to fund my ISA:**

Bank transfer

£

Amount

By cheque

£

Amount (made payable to "Brewin Dolphin Limited")

From my existing portfolio

£

Amount (note: raising money from an existing portfolio may incur a tax charge)

Please note that your total ISA subscription in any tax year must not exceed the statutory limit.

**Dividend Income****Would you like accumulated dividend income:**

Held on deposit, to be re-invested

Paid into your bank/building society: Monthly

Quarterly

(Any cash may only be held on deposit pending investment)

(Please provide bank details on the next page)

**Bank Details**

Name and Address of Bank/  
Building Society

Account Holder Name

Sort Code

Account No.

Building Society Roll No.

If you are an existing Investor, would you like your ISA managed in conjunction with your main portfolio, with the same investment criteria as specified on your signed Account Opening Form?

Yes      No

If no, please complete the next section. If any other details or circumstances have changed, please notify your Investment Manager.

**Please indicate below which Risk Category you have agreed to for your account.**

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

**Risk Category**

Intermediary 1

**Risk Category**

Intermediary 5

**Risk Category**

Intermediary 2

**Risk Category**

Intermediary 6

**Risk Category**

Intermediary 3

**Risk Category**

Intermediary 7

**Risk Category**

Intermediary 4

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

**Investment Restrictions**

Are there any restrictions on where the money is invested? Please choose from the industries shown:

Armaments    Alcohol    Gambling    Tobacco

Any investment restriction that you may impose on our 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.

**Declaration and Authority**

I declare that:

- 1) I am 18 years of age or over;
- 2) I consent to the Order Execution Policy;
- 3) I have not and will not subscribe to more than the overall subscription limit in total to any combination of permitted ISAs in the same tax year;
- 4) I am a resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of the Income Tax (Earnings and Pensions) Act 2003 (Crown employees serving overseas), are treated as being duties performed in the UK, or I am married to, or in a civil partnership, with a person who performs such duties. I will inform RBC Brewin Dolphin if I cease to be so resident or to perform such duties or be married to or in a civil partnership with a person who performs such duties;
- 5) All subscriptions made, and to be made, to the account are beneficially my own;
- 6) I have received RBC Brewin Dolphin's ISA documentation which includes the standard terms and conditions governing the ISA services to be provided to me (as set out in the Retail Terms and Conditions for the Clients of Financial Advisers (together with the applicable rate card)) and I agree to them;
- 7) The information that I have given on this form is complete and correct to the best of my knowledge, and I will inform RBC Brewin Dolphin without delay of any change in my circumstances affecting any of the said information; and
- 8) I will be the beneficial owner of the shares and units held in my ISA Account.

**I authorise RBC Brewin Dolphin:**

- 1) to hold my cash subscription, ISA investments, interest, dividends and any other rights to proceeds in respect of those investments and any other cash;
- 2) to make on my behalf any claims to relief from tax in respect of ISA investments; and
- 3) on my written request, to transfer or pay to me, as the case may be, ISA investments, interest, dividends, rights or other proceeds in respect of such investments or any cash.

**You should read carefully the above declaration and authority before you sign this form. If there is anything you do not understand, you should request further information. By signing on the next page, you confirm both the declaration and authority.**



**ISA APPLICATION FORM FOR THE CLIENTS OF INTERMEDIARIES (DISCRETIONARY SERVICE)  
(CONTINUED)**

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

**Use of Personal Information**

We will treat all personal information obtained from you in accordance with Data Protection Laws. For further information about the ways in which we may use your personal information, please refer to our Retail Terms and Conditions for Clients of Financial Advisers.

**For Office Use Only:**

|                   |                |                   |
|-------------------|----------------|-------------------|
| Parent Key        |                |                   |
| PRC               |                | Intermediary Code |
| Office Code       |                |                   |
| Subfund/Rate Card |                | ISA Code          |
| Address Codes     | Correspondence | Registration      |
| Name Codes        | Correspondence | Registration      |

**DISCRETIONARY ISA TRANSFER AUTHORITY FORM FOR THE CLIENTS OF INTERMEDIARIES****Personal Details**

Title and Surname

First Name(s)

Permanent Residential  
Address

Postcode

Daytime Telephone

**HMRC Requirements**Tick here if you do **not** have a National Insurance (NI) number:**This section must be completed before the transaction is enacted.**

Date of Birth

National Insurance Number

You should be able to find your NI number on a payslip, form P45 or P60, a letter from HM Revenue &amp; Customs (HMRC), a letter from the Department of Work and Pensions (DWP), or pension order book.

**Existing ISA Manager Details**Name and address of  
ISA Manager in full

Postcode

Telephone Number

**ISA Transfer Details**

I wish to apply to transfer my existing ISA(s) to RBC Brewin Dolphin. I request that you provide them with details of my ISA(s) and authorise you to transfer the securities within my ISA(s) in accordance with instructions given by RBC Brewin Dolphin:

**Type of ISA**    Cash ISA                      Stocks and Shares ISA                      (Please note that a Stocks and Shares ISA cannot be transferred to a Cash ISA)**Current Tax Year**                                      Reference Number**Previous Tax Year(s)**                                      Reference NumberPartial Transfer    Yes            No            If Yes, please state percentage or amount:                      % or    £ 

Please provide further instructions if necessary:

The transfer is to be made in the form of \*                      Cash Only                                      Cash &amp; Shares/Units\*\*

\* Please note that your existing ISA Manager may charge you to transfer. Your existing ISA Manager may require that your holdings are sold and the transfer is made in cash. If this is the case there may be a period of time when you are not invested. Should you wish to clarify either of these points, you should contact your existing ISA Manager.

**\*\* To the existing account manager: If the client has ticked the Cash & Shares/Units box and you do not transfer in specie then please transfer the account in cash.****Dividend Income****Would you like accumulated dividend income:**

Held on deposit, to be re-invested                                      Paid into your bank/building society:    Monthly            Quarterly

**Bank Details**Name and Address of Bank/  
Building Society

Account Holder Name

Sort Code

Account No.

Building Society Roll No.

**DISCRETIONARY ISA TRANSFER AUTHORITY FORM FOR THE CLIENTS OF INTERMEDIARIES (CONTINUED)**

If you are an existing Investor, would you like your ISA managed in conjunction with your main portfolio, with the same investment criteria as specified on your signed Account Opening Form?

Yes          No

If you are an existing Investor, please provide your Account Number:

If no, please complete the next section. If any other details or circumstances have changed, please notify your Investment Manager.

**Please indicate below which Risk Category you have agreed to for your account.**

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

**Risk Category**  
Intermediary 1

**Risk Category**  
Intermediary 6

**Risk Category**  
Intermediary 2

**Risk Category**  
Intermediary 7

**Risk Category**  
Intermediary 3

**Global Dollar**

**Risk Category**  
Intermediary 4

**Global Euro**

**Risk Category**  
Intermediary 5

**Global Sterling**

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

**Investment Restrictions**

Please state any restrictions you wish to place on your portfolio

**Declaration and Authority**

I declare that:

- 1) I am 18 years of age or over;
- 2) I consent to the Order Execution Policy;
- 3) I have not and will not subscribe more than the overall subscription limit in total to any combination of permitted ISAs in the same tax year;
- 4) Any subscriptions that I have previously made are beneficially my own and are delivered free of all liens, charges, encumbrances and third party interests of any kind;
- 5) I am a resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of the Income Tax (Earnings and Pensions) Act 2003 (Crown employees serving overseas), are treated as being duties performed in the UK, or I am married to, or in a civil partnership, with a person who performs such duties. I will inform RBC Brewin Dolphin if I cease to be so resident or to perform such duties or be married to or in a civil partnership with a person who performs such duties;
- 6) I have received RBC Brewin Dolphin's ISA documentation which includes the standard terms and conditions governing the ISA services to be provided to me (as set out in the Retail Terms and Conditions for the Clients of Financial Advisers (together with the applicable rate card)) and I agree to them;
- 7) The information that I have given on this form is complete and correct to the best of my knowledge, and I will inform RBC Brewin Dolphin without delay of any change in my circumstances affecting any of the said information;
- 8) I will be the beneficial owner of the shares and units held in my ISA Account; and
- 9) I understand that my existing ISA manager may charge me to transfer. My existing ISA manager may require that my holdings are sold and the transfer is made in cash. If this is the case there may be a period of time when I am not invested.

**I authorise RBC Brewin Dolphin:**

- 1) to hold my cash subscription, ISA investments, interest, dividends and any other rights to proceeds in respect of those investments and any other cash;
- 2) to make on my behalf any claims to relief from tax in respect of ISA investments; and
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**You should read carefully the above declaration and authority before you sign this form. If there is anything you do not understand, you should request further information. By signing below, you confirm both the declaration and authority.**

**DISCRETIONARY ISA TRANSFER AUTHORITY FORM FOR THE CLIENTS OF INTERMEDIARIES (CONTINUED)**

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Alternatively type in your name to confirm your signature

Date

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**For Office Use Only:**

|                   |                |                   |
|-------------------|----------------|-------------------|
| Parent Key        |                | Commission Rule   |
| PRC               |                | Intermediary Code |
| Office Code       |                |                   |
| Subfund/Rate Card |                | ISA Code          |
| Address Codes     | Correspondence | Registration      |
| Name Codes        | Correspondence | Registration      |

Account Title

For office use only

Client Code

PRC Code

CE Contact Code (iCode)

CE Organisation Code (O Code)

Classification

**R E T A I L C L I E N T**