



BREWIN
DOLPHIN

Brewin Portfolio Service
Account Opening Form

SECTION 1: APPLICANT(S) DETAILS

INSTRUCTIONS FOR COMPLETION:

- If you are applying for a **General Investment Account ONLY** – please complete all sections **EXCLUDING** sections 2.4 and 4.3
- If you are applying for an **ISA ONLY** – please complete all sections **EXCLUDING** section 4.2
- If you are applying for both a **General Investment Account and one or more ISA** – please complete **ALL** sections
- Please complete **ALL** fields in all relevant sections

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

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

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

1.1 First Account Holder

Title

First Name(s)

Surname

Date of Birth

National Insurance No

If none, please tick

Gender

Male

Female

Permanent Residential
Address

Postcode

Country

Please tick if the address above is a C/O or Hold Mail Address

Home Telephone Number

Work Telephone Number

Mobile Telephone Number

Email Address

Marital Status

Single

Widowed

Married

Divorced

Civil Partnership

Separated

Other

Nationality/Citizenship

2nd Nationality/Citizenship

Place of Birth

SECTION 1: APPLICANTS DETAILS CONTINUED

Country of Birth

Country of Domicile

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

Country of Residency for
Tax Purposes

Tax Identification Number

If any account holders are resident in more than two countries for tax purposes, please contact the BPS Customer Services Team.

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

Please complete the following section with your bank account details even if you are not transferring the initial funds to us from this account.
This bank account will be used for income and withdrawals.

Bank/Building Society Details

Account Holder

Bank/Building Society

Address

Postcode

Account Number

Sort Code

1.2 Second Account Holder (IF NONE, GO TO SECTION 2)

Title

First Name(s)

Surname

Date of Birth

National Insurance No

If none, please tick

Gender

Male

Female

Permanent Residential
Address

Postcode

Country

Please tick if the address above is a C/O or Hold Mail Address

Home Telephone Number

SECTION 1: APPLICANTS DETAILS CONTINUED

Work Telephone Number

Mobile Telephone Number

Email Address

Marital Status Single Widowed
 Married Divorced
 Civil Partnership Separated
 Other

Nationality/Citizenship

2nd Nationality/Citizenship

Place of Birth

Country of Birth

Country of Domicile

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

Country of Residency for
Tax Purposes

Tax Identification Number

If any account holders are resident in more than two countries for tax purposes, please contact the BPS Customer Services Team.

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

Please complete the following section with your bank account details even if you are not transferring the initial funds to us from this account. This bank account will be used for income and withdrawals.

Bank/Building Society Details

Account Holder

Bank/Building Society

Address

Postcode

Account Number

Sort Code

SECTION 2: YOUR REQUIREMENTS

2.1 What type of account do you require?

Type of account(s) required:	General Investment Account	ISA Account *	Both
ISA accounts only available as individual accounts		Individual	Joint Account
*Please specify whether you require Joint Tenants (on the death of one, the Joint Tenants total portfolio passes to the survivor) or, Tenants In Common (on the death of one, their portion goes to their estate and not the survivor).		Joint Tenants	Tenants in Common
If Tenants in Common, please specify percentage split:	First Account Holder	%	Second Account Holder %

Account Name Required*

*If you wish to designate the account to an individual (e.g. child), please enter the initials of an individual into this section. If you wish to designate this account for a specific purpose (e.g. retirement fund) only complete this section if you wish the designation to appear in the account title. A designation will not change the beneficial ownership of an account or change the responsibility for any resulting potential income tax or capital gains tax arising from the investment.

2.2 Account Details

How much do you wish to invest:		How would you like to send the funds?	
First Account Holder	£ <input type="text"/>	Bank Transfer	
Second Account Holder	£ <input type="text"/>	Cheque	Payable to Brewin Dolphin
Joint	£ <input type="text"/>	From my existing portfolio	Portfolio number
Do you wish to invest by regular Direct Debit? If you tick yes Direct Debit instructions will be sent to you. Yes No			
If yes, please state the amount you would like to invest		£ <input type="text"/>	Start date
Frequency of income payments out required		Monthly	Quarterly
			Annually
(Minimum Direct Debit amount is £50 and the maximum Direct Debit amount is £2,000)			
Please confirm the source of funds and the source of wealth in relation to this account			

First Account Holder

Source of Funds

e.g. Salary, Inheritance, Gift, Sale of Main Residence, Pension Income, Other

Source of Wealth

e.g. Salary, Inheritance, Gift, Sale of Main Residence, Pension Income, Other

Second Account Holder

Source of Funds

e.g. Salary, Inheritance, Gift, Sale of Main Residence, Pension Income, Other

Source of Wealth

e.g. Salary, Inheritance, Gift, Sale of Main Residence, Pension Income, Other

2.3 Income Instructions

Please indicate below how you would like us to handle your income

EITHER a) I/We would like any income generated by my/our portfolio to be reinvested

OR b) I/We would like my/our investment income to be retained & paid out on a regular basis

Frequency of income payments out required	Monthly	Quarterly	Annually
---	---------	-----------	----------

OR c) I/We would like to receive a regular fixed withdrawal from my/our portfolio

Frequency of fixed regular withdrawal	Monthly	Quarterly	Annually
Amount required	£ <input type="text"/>		
Month for first payment	<input type="text"/>		

Payments are sent on the 23rd of the month, or the next business day where the 23rd falls on a weekend or bank holiday.

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

SECTION 2: YOUR REQUIREMENTS CONTINUED

2.4 Supplementary Questions For ISA Applications – ONLY COMPLETE IF APPLYING FOR AN ISA

First Account Holder

I wish to subscribe to a Stocks and Shares ISA for Tax Year / and for each subsequent tax year until I advise Brewin Portfolio Service otherwise (i.e. a 'continuous' application).

I wish to subscribe for an amount of

Your confirmation above enables you to subscribe in every subsequent tax year without the need to complete another ISA Application Form. It does not oblige you to subscribe in every subsequent tax year. However, if you chose not to subscribe in a particular tax year you should notify us of this, and 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 wish to fund your ISA from your existing portfolio, please tick here

NOTE – raising money from an existing portfolio may incur a tax charge

Amount from existing portfolio

NOTE – your total ISA subscription in any tax year must not exceed the statutory limit

Second Account Holder

I wish to subscribe to a Stocks and Shares ISA for Tax Year / and for each subsequent tax year until I advise Brewin Portfolio Service otherwise (i.e. a 'continuous' application).

I wish to subscribe for an amount of

Your confirmation above enables you to subscribe in every subsequent tax year without the need to complete another ISA Application Form. It does not oblige you to subscribe in every subsequent tax year. However, if you chose not to subscribe in a particular tax year you should notify us of this, and 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 wish to fund your ISA from your existing portfolio, please tick here

NOTE – raising money from an existing portfolio may incur a tax charge

Amount from existing portfolio

NOTE – your total ISA subscription in any tax year must not exceed the statutory limit

SECTION 3: CORRESPONDENCE AND ADMINISTRATION

3.1 Investment Strategy

General Investment Account

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

Portfolio 3 - Very Low Risk

Portfolio 4 - Low Risk

Portfolio 5 - Low to Moderate Risk

Portfolio 6 - Moderate Risk

Portfolio 7 - Moderate to High Risk

Portfolio 8 - High Risk

ISA Account

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

Portfolio 3 - Very Low Risk

Portfolio 4 - Low Risk

Portfolio 5 - Low to Moderate Risk

Portfolio 6 - Moderate Risk

Portfolio 7 - Moderate to High Risk

Portfolio 8 - High Risk

3.2 Periodic Statements

For all your individual accounts, you may elect to amalgamate your ISA with your individual account on the valuation report. For joint accounts, however, ISAs will only be amalgamated for valuation purposes with the specific consent of both parties to the joint account.

Individual/First Account Holder

Do you wish to receive a consolidated valuation for both your general investment account and ISA accounts: Yes No

All valuations are produced electronically and can be viewed via the online system. Should you wish to elect to receive additional paper copies of these valuation, please indicate here Yes No

SECTION 3: CORRESPONDENCE AND ADMINISTRATION CONTINUED

Second Account Holder

Do you wish to receive a consolidated valuation for both your general investment account and ISA accounts: Yes No

All valuations are produced electronically and can be viewed via the online system. Should you wish to elect to receive additional paper copies of these valuation, please indicate here Yes No

Section 4: Declaration and Acceptance of Terms

4.1 Data Protection

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

4.2 Declaration By Client(s) – ONLY COMPLETE IF APPLYING FOR A GENERAL INVESTMENT ACCOUNT

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

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

I DECLARE THAT:

1. This application is to open a BPS General Investment (non-ISA) Account for the applicant(s) named in Section 1.
2. The information provided in this form is true to the best of my knowledge and I will notify Brewin Portfolio Service promptly in writing of any changes to the information provided in this form and of any other relevant information.
3. I understand that the BPS portfolios are invested in collective funds which invest in equities, the value of which can fall as well as rise.
4. I have received the BPS Account Opening Information Pack (comprising the BPS Brochure and the 'Our Agreement With You' booklet), and I shall seek clarification promptly if there is anything that I do not understand.
5. I acknowledge that under the BPS Terms I am authorising Brewin Portfolio Service as my agent to appoint the External Service Provider, currently SEI Investments (Europe) Limited, to provide custody services and to hold my money and investments in relation to the Brewin Portfolio Service.
6. I undertake to advise Brewin Portfolio Service promptly of any change in circumstances which causes the tax residency information contained herein to become incorrect or incomplete and to provide Brewin Portfolio Service with an updated declaration within 30 days of such a change in circumstances. I understand that in certain circumstances Brewin Portfolio Service will be obliged to share this information with the UK tax authorities, who may share this with other tax authorities.
7. I have read and agree to the BPS Terms contained in the 'Our Agreement With You' booklet.

I AUTHORISE BREWIN PORTFOLIO SERVICE:

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

SECTION 4: DECLARATION AND ACCEPTANCE OF TERMS CONTINUED**INDIVIDUAL/FIRST ACCOUNT HOLDER**

Signed

Date

Print Name

INDIVIDUAL/SECOND ACCOUNT HOLDER

Signed

Date

Print Name

Where did you hear about the Brewin Portfolio Service?

Internet Search

Press

Referral/Word of Mouth

Employer

Other

4.3 Declaration By Client(s) – ONLY COMPLETE IF APPLYING FOR ONE OR MORE ISA ACCOUNTS

Please read this section carefully before you sign and date the declaration, and make sure that the total amount you want to invest over the whole tax year (as shown in Section 2.4) is not more than the Stocks and Shares ISA limit.

ISAs can only be opened and held by individuals, not jointly. Where both applicants are applying for individual ISAs, this section should be read and signed by both applicants and will be treated by Brewin Portfolio Service as two separate ISA applications.

Our Brewin Portfolio Services Terms ("BPS Terms") and BPS ISA Supplementary Terms and Conditions ("ISA Terms") apply to the provision of our ISA services. Please read the BPS Terms and the ISA Terms contained in the 'Our Agreement With You' booklet carefully before signing the declaration below. If you have any queries about the BPS Terms and/or the ISA Terms, please contact a member of the BPS Customer Services Team. You should also read the Key Investor Information Document (KIID) relating to each fund held in your selected portfolio, as set out in the BPS Brochure. The KIIDs are available free of charge from the BPS Team, or from www.brewin.co.uk. If there is something that you do not understand, please contact the **BPS Customer Services Team on 0333 207 9003** or via email at customer.services@brewin.co.uk.

I DECLARE THAT

1. This application is to open an Individual Savings Account(s) within the Brewin Portfolio Service for the applicant(s) named in Section 1 and as indicated as in Section 2.4.
2. The information provided in this form is true to the best of my knowledge and I will notify Brewin Portfolio Service promptly in writing of any changes to the information provided in this form and of any other relevant information.
3. I understand that the portfolios are invested in collective funds which invest in equities, the value of which can fall as well as rise.
4. I have received the BPS Account Opening Information Pack (comprising of the BPS Brochure, and the 'Our Agreement With You' booklet), and I shall seek clarification promptly if there is anything that I do not understand.
5. I acknowledge that under the BPS Terms and ISA Terms I am authorising Brewin Portfolio Service as my agent to appoint the External Service Provider, currently SEI Investments (Europe) Limited, to provide custody services and to hold my money and investments in relation to the Brewin Portfolio Service.
6. I undertake to advise Brewin Portfolio Service promptly of any change in circumstances which causes the tax residency information contained herein to become incorrect or incomplete and to provide Brewin Portfolio Service with an updated declaration within 30 days of such a change in circumstances. I understand that in certain circumstances Brewin Portfolio Service will be obliged to share this information with the UK tax authorities, who may share this with other tax authorities.
7. I am 18 years of age or over and I have read and agree to the BPS Terms and the ISA Terms contained in the 'Our Agreement With You' booklet.
8. 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;
9. 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 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.
10. The subscription which accompanies this application is beneficially my own and is delivered free of all liens, charges, encumbrances and third party interests of any kind.
11. I will be the beneficial owner of the units held in my BPS ISA Account.

SECTION 4: DECLARATION AND ACCEPTANCE OF TERMS CONTINUED**I AUTHORISE Brewin Portfolio Service:**

- To use the information contained in this Account Opening Form to construct a portfolio on my behalf in accordance with the BPS Terms and ISA Terms which I confirm I have read.
- To invest the monies that I place in the BPS in the specific portfolio of funds chosen by me and detailed in the BPS Brochure
- To rebalance the portfolio on the basis set out in the BPS Terms
- To hold, or arrange a suitable third party to hold, the account funds, investments, interest, dividends and any other rights or proceeds in respect of those investments and cash
- To make on my behalf any claims to relief from tax in respect of ISA investments
- 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.

INDIVIDUAL/FIRST ACCOUNT HOLDER

Signed

Date

Print Name

INDIVIDUAL/SECOND ACCOUNT HOLDER

Signed

Date

Print Name

Use of Personal Information

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

NOTES



BREWIN DOLPHIN

Your communication preferences

We would like to keep you updated with news and views from Brewin Dolphin and from time to time we may invite you to join us at events. Using the form below, please select which type of communications you're happy to receive from us.

You're in control...

First Applicant

I would like to receive:

Events

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

I agree to receive these invitations by Post Email Telephone

Newsletters and Insights

Brewin Dolphin's email newsletters, which contain news and viewpoints.

Email

Printed Publications

Brewin Dolphin's printed publications which cover a wide range of thought provoking topics.

Post

Products and Services

Information about Brewin Dolphin's products and services.

I agree to receive these details by Post Email Telephone

I do not wish to receive any marketing communication from the Brewin Dolphin Group

Please complete in block capitals

Title	Address Line 1
First Name	Address Line 2
Last Name	Address Line 3
Contact No.	City
Email Address	Postcode
	County
	Country

Second Applicant

I would like to receive:

Events

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

I agree to receive these invitations by Post Email Telephone

Newsletters and Insights

Brewin Dolphin's email newsletters, which contain news and viewpoints. Email

Printed Publications

Brewin Dolphin's printed publications which cover a wide range of thought provoking topics. Post

Products and Services

Information about Brewin Dolphin's products and services.

I agree to receive these details by Post Email Telephone

I do not wish to receive any marketing communication from the Brewin Dolphin Group

Second Applicant Email Address

Please tick box if the postal address is the same as first applicant

If address is different please complete in block capitals

Title	Address Line 1
First Name	Address Line 2
Last Name	Address Line 3
Contact No.	City
	Postcode
	County
	Country

Brewin Dolphin will use the data that it holds about you for the purposes of providing information about products and services we offer and marketing communications.

We respect your privacy and take protecting it very seriously. We will only use your data in accordance with your preferences and as set out in our Privacy Notice, which can be found on our website www.brewin.co.uk. In keeping with our existing practice, we will never sell your personal data to any third parties.

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

Brewin Dolphin Limited is a member of the London Stock Exchange. Brewin Dolphin Limited is authorised and regulated by the Financial Conduct Authority (Financial Services Register reference number: 124444) and regulated in Jersey by the Jersey Financial Services Commission. Registered Office: 12 Smithfield Street, London, EC1A 9BD. Registered in England and Wales – company number: 2135876. VAT Number: GB 690 8994 69. Brewin Dolphin Limited GIIN: 6J5L79. 00000.LE.826.

NOTES

NOTES

NOTES

Blank area for notes.

W brewin.co.uk
E customer.services@brewin.co.uk
T 0333 207 9003