



Brewin  
Dolphin

# Intermediary Account Opening Form

Companies

## **HELPING US DELIVER OUR SERVICES**

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

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

Name of Investment Manager

Name of Business Development Manager

**SECTION 1: INTERMEDIARY AUTHORISATION DETAILS**

Please print in capitals throughout this form and tick or 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 Number  
.....VAT Registration number  
(if registered)**SECTION 2: ACCOUNT DETAILS**

Name of Company

Registered Office Address

Address Line 1

Address Line 2

City

County

Postcode

Country of Incorporation

Company Registration No.

UK Registered Charity

Yes

No

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

Address

City

County

Country

Postcode

**SECTION 3: COMPANY'S REQUIREMENTS**

3.1 How much capital does the Company have available for investment?

£ 

## 3.2 Type of Service

This is a Discretionary Service.

3.3 Is an income required from the Company's investments?

Yes

No

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

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

3.4 What is the Company investment time horizon?

1-3 years

3-5 years

5-10 years

10+ years

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

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

Intermediary 1

**Risk Category**

Intermediary 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.*

## 3.6 Benchmarks

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

3.7 Does the Company anticipate any changes to its circumstances?

Yes

No

If yes, please provide details.

## 3.8 Company details

Date of last submitted accounts

Annual income

£ 

Annual Surplus

£ 

Number of staff employed

*(rounded down to the nearest 10)*

## 3.9 How we hold your assets

Our default option is for our clients to use one of our pooled nominee facilities at no additional cost. In line with Central Securities Depositories Regulation (CSDR), we also offer designated nominee facilities at an additional charge (please refer to your rate card for more information).

Would you like to set up a separate designated nominee account?

Yes

No

If no selection is indicated the account will be set up in a pooled nominee.

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

**SECTION 4: DIRECTORS**

What rate of Corporation Tax is payable?

This Year  % Last Year  %**How many Directors are there?**

Tick box if the Company is registered for VAT

VAT number (including country prefix if not UK)

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

Other

First Name(s)

Surname

Date of Birth

Country of Birth

Nationality

Second Nationality

Domicile

Residency

National Insurance Number

Tax Identification Number

**First Director's Current Residential Address**

Address

City

County

Postcode

Country

**First Director's Contact Details**

Home Telephone Number

Country if not UK

Other Telephone Number

Country if not UK

Email

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

Other

First Name(s)

Surname

Date of Birth

Country of Birth

Nationality

Second Nationality

Domicile

Residency

National Insurance Number

Tax Identification Number

**SECTION 4: DIRECTORS (CONTINUED)****Second Director's Current Residential Address**

Address

City

County

Postcode

Country

**Second Director's Contact Details**

Home Telephone Number

Country if not UK

Other Telephone Number

Country if not UK

Email

**Third Director**

Mr

Mrs

Miss

Ms

Mx

Other

*If Other, please state below*

Other

First Name(s)

Surname

Date of Birth

Country of Birth

Nationality

Second Nationality

Domicile

Residency

National Insurance Number

Tax Identification Number

**Third Director's Current Residential Address**

Address

City

County

Postcode

Country

**Third Director's Contact Details**

Home Telephone Number

Country if not UK

Other Telephone Number

Country if not UK

Email

**SECTION 4: DIRECTORS (CONTINUED)****Fourth Director**

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

Other

First Name(s)

Surname

Date of Birth

Country of Birth

Nationality

Second Nationality

Domicile

Residency

National Insurance Number

Tax Identification Number

**Fourth Director's Current Residential Address**

Address

City

County

Postcode

Country

**Fourth Director's Contact Details**

Home Telephone Number

Country if not UK

Other Telephone Number

Country if not UK

Email

## SECTION 5: BENEFICIAL OWNERS

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

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

**Please provide details below of Beneficial Owners.**

### First Beneficial Owner

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

Other

First Name(s)

Surname

Date of Birth

Country of Birth

### First Beneficial Owner Current Residential Address

Address

City

County

Postcode

Country

### First Beneficial Owner Contact Details

Home Telephone Number

Country if not UK

Work Telephone number

Country if not UK

Mobile

Country if not UK

Email

### Second Beneficial Owner

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

Other

First Name(s)

Surname

Date of Birth

Country of Birth

### Second Beneficial Owner Current Residential Address

Address

City

County

Postcode

Country



**SECTION 5: BENEFICIAL OWNERS (CONTINUED)****Second Beneficial Owner Contact Details**

Home Telephone Number	Country if not UK
Work Telephone number	Country if not UK
Mobile	Country if not UK
Email	

**Third Beneficial Owner**

	Mr	Mrs	Miss	Ms	Mx	Other	<i>If Other, please state below</i>
Other							
First Name(s)							
Surname							
Date of Birth						Country of Birth	

**Third Beneficial Owner Current Residential Address**

Address

City

County

Postcode

Country

**Third Beneficial Owner Contact Details**

Home Telephone Number	Country if not UK
Work Telephone number	Country if not UK
Mobile	Country if not UK
Email	

**Fourth Beneficial Owner**

	Mr	Mrs	Miss	Ms	Mx	Other	<i>If Other, please state below</i>
Other							
First Name(s)							
Surname							
Date of Birth						Country of Birth	

## SECTION 5: BENEFICIAL OWNERS (CONTINUED)

### Fourth Beneficial Owner Current Residential Address

Address

City

County

Postcode

Country

### Fourth Beneficial Owner Contact Details

Home Telephone Number

Country if not UK

Work Telephone number

Country if not UK

Mobile

Country if not UK

Email

## SECTION 6: CORRESPONDENCE AND ADMINISTRATION

### 6.1 Information for Intermediaries, Professional Advisers and Third Parties

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

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

If yes, please indicate below:

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

\* maximum of 4

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

Contact Name

Role

Name of Firm

Address

Postcode

Email

Telephone Number

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

### 6.2 Tax Year End

Please confirm the Companies tax year end.

*Notice and communications will be sent to you.*

### 6.3 Periodic Statements

A regular valuation report is provided quarterly on the following dates

5<sup>th</sup> January, 5<sup>th</sup> April, 5<sup>th</sup> July, 5<sup>th</sup> October

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

**SECTION 6: CORRESPONDENCE AND ADMINISTRATION (CONTINUED)****6.4 Would you like to access the Company account online via our MyBrewin web portal?****Yes****No**

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

Individual 1 Mobile Telephone Number for MyBrewin Account

Individual 1 E-mail Address for MyBrewin Account

Individual 2 Mobile Telephone Number for MyBrewin Account

Individual 2 E-mail Address for MyBrewin Account

Individual 3 Mobile Telephone Number for MyBrewin Account

Individual 3 E-mail Address for MyBrewin Account

Individual 4 Mobile Telephone Number for MyBrewin Account

Individual 4 E-mail Address for MyBrewin Account

Individual 5 Mobile Telephone Number for MyBrewin Account

Individual 5 E-mail Address for MyBrewin Account

## SECTION 7: BANK DETAILS AND ASSET TRANSFERS

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

### Company Account

#### Bank/Building Society Details:

Account Holder Name

Name of Bank  
or Building Society

Branch

Building Society Roll No.

Bank Account Number

Sort Code

#### For Bank Accounts outside the UK please provide:

IBAN number

City

Country

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

Origin of Funds

*Detail where the funds coming into 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 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.*

### 7.3 Income Instructions

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

#### Dividend Income:

RBC Brewin Dolphin to hold as part of the portfolio

Pay to the Company account (as above)

#### Regular Income Payment:

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

Amount

£

Frequency

Date for first payment

Paid to the Company Account noted in section 7

**SECTION 8: SELF-CERTIFICATION OF STATUS UNDER 'FATCA' TAX EXCHANGE AGREEMENTS**

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

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

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

**The 'Common Reporting Standard (CRS)' Regulations:**

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

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

**Part A – FATCA Reporting Responsibility**

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

**(a) The Intermediary will report under FATCA with respect to this account:**

By checking this box we confirm that we as Intermediary (and not RBC Brewin Dolphin) will satisfy any FATCA reporting obligations over this account.

Please confirm the 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 and FATCA status.

Please complete Part B below to confirm the tax residency and status of the company.

**Part B - Self-Certification of Company Residency and Status**

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

**SECTION 8: SELF-CERTIFICATION OF STATUS UNDER 'FATCA' TAX EXCHANGE AGREEMENTS (CONTINUED)****Entity Self-Certification of Tax Status:**

Under UK or Jersey 'FATCA' & 'CRS' Tax Authority Exchange Agreements we are obliged to obtain a self-certification of the Entity's tax status. Please complete the following to confirm the status of the Entity under 'FATCA & CRS' tax authority exchange regulations:

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

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

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

**Section A: Entity Tax Residency**

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

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

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

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

**Section B: Company Classification for the purposes of FATCA**

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

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

**Section B1: The Entity is a Financial Institution****(a) The Entity is able to provide a Global Intermediary Identification Number (GIIN)**

- i) The Entity has registered as an FI (including 'Sponsored Investment Entity') – please provide the Entity's GIIN; or
- ii) The Entity is a 'Sponsored closely held Investment Vehicle' – please provide the GIIN of the sponsoring FI

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

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

- i) The Entity is an 'Exempt Beneficial Owner' (e.g. International Organisation)
- ii) The Entity is a 'Certified or otherwise Deemed Compliant FI' (e.g. UK registered charity)
- iii) The Entity is a Non-Participating FI
- iv) Other reason (Please specify below):

**SECTION 8: SELF-CERTIFICATION OF STATUS UNDER 'FATCA' TAX EXCHANGE AGREEMENTS (CONTINUED)****Section B2: The Entity is NOT a Financial Institution**

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

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

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

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

Please tick one of the boxes below:

(a) The Entity is a Managed Investment Entity

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

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

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

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

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

If you have ticked (a) or (b) above you may be responsible for reporting any reportable persons to your local tax authority that are tax resident in a Reportable Jurisdiction.

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

Please complete this section **only** if

- i. you have declared the Entity to be a 'Passive NFE' in Sections B or C, **or**
- ii. the Entity is a Managed Investment Entity tax resident in a jurisdiction that is not a Participating Jurisdiction (see glossary).

Please could you list in the table on Page 15 each Controlling Person, confirming ALL countries of tax residency and ALL Tax Identification Numbers for EACH Controlling Person. If a Controlling Person is a US citizen, US Green Card holder, or US resident, you must include United States in this table along with his/her US Tax Identification Number.



**SECTION D PASSIVE NFE TABLE**

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

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



**ADVISER CHARGING AGREEMENT** To be completed by the Investor(s)

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

**Initial Charge**

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

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

% or £  (excluding any additional VAT)

**Ongoing Charges**

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

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

% or £  (excluding any additional VAT)

**Investor Declaration**

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

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

**Individual/First Investor**

Title and Surname

First Name(s)

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

**Joint/Second Investor**

Title and Surname

First Name(s)

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

**Intermediary Declaration**

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

Should VAT be applied to the initial charge Yes No

Should VAT be applied to the ongoing charge Yes No

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 9: DECLARATION AND ACCEPTANCE OF TERMS

### 9.1 Data Protection

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

### 9.2 Order Execution and Conflicts Policies

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

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

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

### 9.3 Intermediary Declaration and Acceptance

I/We declare that:

- I/we have undertaken an assessment of the suitability of RBC Brewin Dolphin's services for the Company.
- I/we consent to the Order Execution Policy on behalf of the Company.
- The information provided in this form is correct and complete to the best of my/our knowledge and I/we will notify RBC Brewin Dolphin promptly of any changes.
- I/we have obtained information from the Company in relation to their knowledge and experience in investments and confirm that the Company has the necessary experience and knowledge in order to understand the risks involved in the management of the portfolio.
- I/we confirm that I/we have read RBC Brewin Dolphin's Risk Categories for Intermediaries and that the Category identified in Section 3.5 of this Account Opening Form is suitable for the Company.
- The tax residency/FATCA information provided in this form is, to the best of my/our knowledge and belief, accurate and complete.
- I/We undertake to advise RBC Brewin Dolphin promptly of any change in circumstances which causes the tax residency/FATCA information contained herein to become incorrect or incomplete and to provide RBC Brewin Dolphin with an updated declaration within 30 days of such a change in circumstances.
- I/We understand that in certain circumstances RBC Brewin Dolphin will be obliged to share this information with the UK or Jersey tax authorities, who may share this with other tax authorities.
- I/we have received RBC Brewin Dolphin's Account Opening Information Pack, which includes the standard terms and conditions governing the services to be provided to us as Intermediary for our Company, and I/we shall seek clarification promptly if there is anything that I/we do not understand.
- I/we have obtained information from the Company on their investment objectives, including the length of time they wish to hold investments, their preferences regarding risk taking, their risk profile and the purposes of investment.
- I/we confirm that I/we have verified and identified all parties to this agreement and all shareholders with 25% or more holding in accordance with the Intermediary Terms of Business for Intermediary.
- I/we confirm that where we supply RBC Brewin Dolphin with information we obtained about the Directors, we obtained their prior consent to provide this information to RBC Brewin Dolphin and for RBC Brewin Dolphin to process it in order to provide its services.

#### Intermediary Authorised Signature

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

Print Name

#### Second Intermediary Authorised Signature

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

## SECTION 9: DECLARATION AND ACCEPTANCE OF TERMS (CONTINUED)

### 9.4 Director Declaration and Acceptance

The Directors of the Company agree that:

- the information in this form is correct, complete and up-to-date, and they have received a copy of RBC Brewin Dolphin's Retail Client Terms and Conditions for the Clients of Financial Advisers.

#### First Director Signature

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

Print Name

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#### Second Director Signature

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

Print Name

---

#### Third Director Signature

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

Print Name

---

#### Fourth Director Signature

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

Print Name

**FOR BREWIN DOLPHIN USE ONLY**

Intermediary Firm Name

Intermediary Code

PRC

Branch Code:

A/C Exec  
responsible for A/C

Financial Services  
Register ref no.

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**

Rate Card Type

Power of Attorney

Parent Key

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**