



Brewin
Dolphin

Intermediary Account Opening Form:

Offshore Bond

HELPING US DELIVER OUR SERVICES

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

Thank you for taking the time to complete and return this form to us. If you have any questions while completing the form your RBC Brewin Dolphin Business Development Manager or Investment Manager will be pleased to help.

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

Name of Investment Manager

Name of Business Development Manager

SECTION 1: OFFSHORE BOND PROVIDER AND INTERMEDIARY REGISTRATION DETAILS

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

Offshore Bond
Policy Number

Account Title

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

Offshore Bond Provider's Address

Company Name

Address

City

County

Postcode

Country

Which jurisdiction is the
bond to be issued from?Regulatory Authorisation
Number

VAT Registration Number

Email

Intermediary Firm Details

Intermediary Firm's Name

Intermediary Firm's Address

Firm's FCA Number

Adviser Name

Adviser's Contact Number

Adviser's Email Address

Adviser's Individual
FCA NumberVAT Registration number
(if registered)

SECTION 2: WHO WILL BE THE OFFSHORE BOND INVESTOR UNDER THIS ACCOUNT?**First Policyholder***The First Policyholder (if applicable) will be the main correspondent for all Policyholders.*Mr Mrs Miss Ms Mx Other *If Other, please state below*

Other

First Name(s)

Surname

Date of Birth

Place of Birth

What is the Policyholder's Residential Address?

Address Line 1

Address Line 2

Address Line 3

City

County

Country

Postcode

Additional Details

Nationality

Country of Birth

Residency for Tax Purposes

Domicile

National Insurance Number

Tax Reference

What are the Policyholder's Contact Details?

Home Telephone Number

Country if not UK

Other Telephone Number

Country if not UK

Email

Second Policyholder (if applicable)Mr Mrs Miss Ms Mx Other *If Other, please state below*

Other

First Name(s)

Surname

Date of Birth

Place of Birth

What is the Second Policyholder's Residential Address?

Address Line 1

Address Line 2

Address Line 3

City

County

Country

Postcode

SECTION 2: WHO IS THIS ACCOUNT FOR? (CONTINUED)**Additional Details**

Nationality

Country of Birth

Residency for Tax Purposes

Domicile

National Insurance Number

Tax Reference

What are the Second Policyholder's Contact Details?

Home Telephone Number

Country if not UK

Other Telephone Number

Country if not UK

Email

Third Policyholder (if applicable)

Mr

Mrs

Miss

Ms

Mx

Other

If Other, please state below

Other

First Name(s)

Surname

Date of Birth

Place of Birth

What is the Third Policyholder's Residential Address?

Address Line 1

Address Line 2

Address Line 3

City

County

Country

Postcode

Additional Details

Nationality

Country of Birth

Residency for Tax Purposes

Domicile

National Insurance Number

Tax Reference

What are the Third Policyholder's Contact Details?

Home Telephone Number

Country if not UK

Other Telephone Number

Country if not UK

Email

SECTION 2: WHO IS THIS ACCOUNT FOR? (CONTINUED)

Fourth Policyholder (if applicable)

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

Other

First Name(s)

Surname

Date of Birth

Place of Birth

What is the Fourth Policyholder's Residential Address?

Address Line 1

Address Line 2

Address Line 3

City

County

Country

Postcode

Additional Details

Nationality

Country of Birth

Residency for Tax Purposes

Domicile

National Insurance Number

Tax Reference

What are the Fourth Policyholder's Contact Details?

Home Telephone Number

Country if not UK

Other Telephone Number

Country if not UK

Email

SECTION 3: HOW CAN WE HELP THE POLICYHOLDER?**3.1 How much capital does the Investor have available for investment?**

	Cash	Stock	TOTAL
First Policyholder	£ <input type="text"/>	£ <input type="text"/>	£ <input type="text"/>
Second Policyholder	£ <input type="text"/>	£ <input type="text"/>	£ <input type="text"/>
Third Policyholder	£ <input type="text"/>	£ <input type="text"/>	£ <input type="text"/>
Fourth Policyholder	£ <input type="text"/>	£ <input type="text"/>	£ <input type="text"/>

3.2 Type of Service

This is a Discretionary Service.

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

Yes No

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

£

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

3.4 What is your Policyholder's investment time horizon?

1-3 years

3-5 years

5-10 years

10+ years

3.5 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.

3.6 Are there any other restrictions?

e.g maximum holding size (instruments that are excluded from investments etc)

Yes No

If yes, please provide details:

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

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

Risk Category

Intermediary 1

Risk Category

Intermediary 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.***3.8 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.

3.9 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 account.

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

4.2 Do you want us to provide information on the Policyholder's portfolio to third parties?

Yes

No

If yes, please indicate below:

Adviser

Investor

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 line 1

Address line 2

Address line 3

Postcode

Email

Telephone number

Country if not UK

If you require additional space please use Notes section at the back of the form.

4.3 Instructions from Third Parties

If you or the Policyholder wish to authorise a third party to provide instructions to us, please provide the details below. Consent from the Provider will be required.

4.4 Would your Policyholder(s) like access to their account online via our MyBrewin web portal?

Yes

No

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

First Policyholder Mobile Number for MyBrewin Account

First Policyholder E-mail Address for MyBrewin Account

Second Policyholder Mobile Number for MyBrewin Account

Second Policyholder E-mail Address for MyBrewin Account

Third Policyholder Mobile Number for MyBrewin Account

Third Policyholder E-mail Address for MyBrewin Account

Fourth Policyholder Mobile Number for MyBrewin Account

Fourth Policyholder E-mail Address for MyBrewin Account

I would like access to the online valuation system.

Yes No

SECTION 5: BANK DETAILS AND ASSET TRANSFERS

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

Provider Client Account

Please do not insert Policyholder bank details here.

Account Holder Name

Name of Bank
or Building Society

Branch

Building Society Roll No.

Bank Account Number

Sort Code

For Bank Accounts outside the UK please provide:

IBAN number

City

Country

5.2 Please confirm the source of funds and the source of wealth in relation to this account.

Origin of Funds

Detail where the funds coming into RBC Brewin Dolphin will be coming from e.g. which financial institution.

Source of Funds

The Source of Funds refers to the activity that generated the cash / investments to be held by RBC Brewin Dolphin.

Source of Wealth
(total net worth)

The Source of Wealth refers to the activity that generated the total worth of the individual or entity.

5.3 Third party instructions

All instructions should be routed via your Provider outlined in Section 1.

SECTION 6: INTERMEDIARY DECLARATION AND ACCEPTANCE OF TERMS BY THE INTERMEDIARY**6.1 Data Protection**

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

6.2 Intermediary Declaration and Acceptance

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

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

Intermediary Authorised Signature

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

Print Name

SECTION 7: DECLARATION AND ACCEPTANCE OF TERMS BY THE POLICYHOLDER

7.1 Declaration by the Policyholder

I declare that:

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

7.2 Sensitive Personal Data

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

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

First Policyholder

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

Print Name

Second Policyholder

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

Print Name

Third Policyholder

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

Print Name

Fourth Policyholder

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

Print Name

SECTION 8: DECLARATION AND ACCEPTANCE OF TERMS BY THE OFFSHORE BOND PROVIDER**8.1 Order Execution and Conflicts Policies**

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

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

We strongly believe that it is in your interests that you accept our Order Execution Policy as it enables us to get the best outcome for you and we may be unable to open an account if you do not consent to the Order Execution Policy. **We would ask that you provide express consent to the Order Execution Policy as set out in the Retail Client Terms and Conditions for the Client of Financial Advisers by signing the declaration in section 8.4 below.**

8.2 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>

Offshore Bond Provider Self-Certification:

Please complete the following to confirm the status of the Offshore Bond Provider under 'FATCA' tax authority exchange regulations:

Section 1 to confirm the Offshore Bond Provider's country of residence for tax purposes, and

Section 2 to confirm the Offshore Bond Provider's classification for the purposes of FATCA, and,

Section 3 to confirm the Offshore Bond Provider's classification for the purposes of the Common Reporting Standard.

Section 1. Offshore Bond Provider Tax Residency:

Please indicate the country in which the Offshore Bond Provider is incorporated/organised for the purposes of that country's income tax. (If you do not have a Tax Identification Number in your country of residence, please state the reason why)

Country of Residency for Tax Purposes Tax Identification Number

Section 2. Offshore Bond Provider FATCA Entity classification:

(a) We confirm that the Offshore Bond Provider meets the definition of an 'Exempt Beneficial Owner' for FATCA purposes.

(Either under the IRS regulations, or under the legislation issued by the country stated in Section 1)

(b) We confirm that the Offshore Bond Provider is a compliant Financial Institution

Please complete section (i), (ii), (iii) or (iv) to confirm the FI category

Offshore Bond Provider Financial Institution (FI) Status

i) If the entity is registered as an FI or as a Sponsored Entity please provide the Global Intermediary Identification Number (GIIN)

ii) If the entity is a Sponsored closely held Investment Vehicle please provide the GIIN of the sponsoring FI

Please confirm whether it is the GIIN of the Entity or the Sponsoring FI GIIN:

Own Sponsoring Name of Sponsor

If unable to provide a GIIN, please tick reason why your organisation does not have a GIIN:

iii) The Entity has applied, or is going to apply, for a GIIN (but has not yet received it)

iv) The Entity is a Certified or otherwise Deemed Compliant FI

SECTION 8: DECLARATION AND ACCEPTANCE OF TERMS BY THE OFFSHORE BOND PROVIDER (CONTINUED)

State reason for Deemed Compliant Status:

(c) We confirm that the Offshore Bond Provider is not exempt from FATCA reporting, does not intend to register with the IRS (or otherwise be deemed compliant), and does not intend to report the underlying beneficiary(s) under FATCA Regulations

By checking this box we acknowledge and accept the following:

- RBC Brewin Dolphin will classify this account as being held by a 'non-Participating Foreign Financial Institution'
- RBC Brewin Dolphin may be required to disclose certain details of the account to the IRS (via HMRC) under FATCA tax authority exchange agreements
- RBC Brewin Dolphin may be obliged to deduct withholding tax from income paid to this account.

8.3 Declaration

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

- We consent to the Order Execution Policy on behalf of the Policyholder;
- The information provided in this form regarding the Offshore Bond Provider is complete and correct to the best of our knowledge and we shall notify RBC Brewin Dolphin promptly of any changes in the details, status or circumstances of the Offshore Bond Provider;
- We expressly consent to the Intermediary (authorised to act on behalf of the Policyholder in Section 1 of this form) to communicate with, give instructions to, and otherwise deal with RBC Brewin Dolphin in respect of the Policyholder's Account unless or until such authority is withdrawn
by the Offshore Bond Provider, by notice in writing, to RBC Brewin Dolphin;
- Where we supply RBC Brewin Dolphin with information about the Policyholder we have obtained their prior consent to provide this information
to RBC Brewin Dolphin and for RBC Brewin Dolphin to process it in order to provide its services.
- The tax residency / FATCA information provided in this form is, to the best of our knowledge and belief, accurate and complete.
- We undertake to advise RBC Brewin Dolphin promptly of any change in circumstances which causes the tax residency / FATCA information contained herein to become incorrect or incomplete and to provide RBC Brewin Dolphin with an updated declaration within 30 days of such a change in circumstances
- We understand that in certain circumstances RBC Brewin Dolphin will be obliged to share this information with the UK or Jersey tax authorities, who may share this with other tax authorities.

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

First Authorised Signatory

Signed (upload your
electronic signature here)

Alternatively type in your name
to confirm your signature

Date

Print Name

SECTION 8: DECLARATION AND ACCEPTANCE OF TERMS BY THE OFFSHORE BOND PROVIDER (CONTINUED)

Second Authorised Signatory

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

Print Name

Third Authorised Signatory

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

Print Name

Fourth Authorised Signatory

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

Print Name

IMPORTANT NOTE

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

FOR RBC BREWIN DOLPHIN USE ONLY

Intermediary Firm Name

Intermediary Code

PRC

Branch Code

A/C Exec Responsible
for account

FCA Number

Terms and Conditions
BD Number:

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 (iCode)

CE (O Code)

Classification

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