



Brewin
Dolphin

Intermediary Account Opening Form

Trusts

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 AUTHORISATION DETAILS

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 Number

.....

VAT Registration number
(if registered)

SECTION 2: ACCOUNT DETAILS

Name of Trust

Country of Establishment

Purpose or Nature of Trust

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

SECTION 3: TRUST'S REQUIREMENTS

3.1 How much capital does the Trust wish to invest?

£

3.2 Type of Service

This is a Discretionary Service.

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

Yes

No

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

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

3.4 Please provide your Statement of Investment Policy.

Yes

3.5 What is the Trust's investment time horizon?

1-3 years

3-5 years

5-10 years

10+ years

3.6 Does the Trust anticipate any changes to its circumstances?

If yes, please provide details.

3.7 Does the Trust have any restrictions on where its money is invested?

Any investment restriction that the Trust may impose on our management of its portfolio will only apply to direct investments.

3.8 Are there any other restrictions? e.g maximum holding size (instruments that are excluded from investments etc)

Yes

No

If yes, please provide details.

3.9 Please indicate below which Risk Category you have agreed to for the Trust's account.

Yes

No

*Please complete this section if you are a new Investor, or wish to amend any details.***Risk Category**
Intermediary 1**Risk Category**
Intermediary 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.*

3.10 Benchmarks

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

3.11 How we hold your assets

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

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

Yes

No

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

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

SECTION 4: ADDITIONAL TRUST INFORMATION

Please state your Accounting Year End.

Income and Capital Gains TaxWhat rate of Income Tax is payable? % ExemptWho is liable for Income Tax? Settlers Beneficiaries Trust Other *If Other, please provide details.*What rate of Capital Gains Tax is payable? % ExemptWho is liable for Capital Gains Tax? Settlers Beneficiaries Trust Other *If Other, please provide details.*

Trusts normally receive 50% of the annual Capital Gains Tax allowance for individuals. Does this apply to this account? Yes No

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

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

*Notices and communications will be sent to you.***How many Trustees are there?***Please provide personal details for the Trustees.***How many Beneficiaries are there?***Please provide personal details for the Beneficiaries.***How many Settlers are there?***Please provide personal details for the Settlers.***Are there any Other Controllers (e.g. Guardian, Protector, Appointer)?****If any Other Controllers exist, how many are there?***Please provide details for up to two Other Controllers.***First Trustee**Mr Mrs Miss Ms Mx Other *If Other, please state below.*

Other

First Name(s)

Surname

Date of Birth

Place of Birth

Nationality

Second Nationality

If your client holds dual nationality please provide both

Country of Birth

Residency for Tax Purposes

Domicile

National Insurance Number

First Trustee's Current Residential Address

Address

City

County

Postcode

Country

SECTION 4: ADDITIONAL TRUST INFORMATION (CONTINUED)**First Trustee's Contact Details**

Home Telephone Number Country if not UK
 Other Telephone Number Country if not UK
 Email

Second Trustee

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

Other
 First Name(s)
 Surname
 Date of Birth Place of Birth
 Nationality Second Nationality
If your client holds dual nationality please provide both
 Country of Birth
 Residency for Tax Purposes
 Domicile
 National Insurance Number

Second Trustee's Current Residential Address

Address

City
 County
 Postcode
 Country

Second Trustee's Contact Details

Home Telephone Number Country if not UK
 Other Telephone Number Country if not UK
 Email

Third Trustee

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

Other
 First Name(s)
 Surname
 Date of Birth Place of Birth
 Nationality Second Nationality
If your client holds dual nationality please provide both
 Country of Birth
 Residency for Tax Purposes
 Domicile
 National Insurance Number

SECTION 4: ADDITIONAL TRUST INFORMATION (CONTINUED)**Third Trustee's Current Residential Address**

Address

City

County

Postcode

Country

Third Trustee's Contact Details

Home Telephone Number

Country if not UK

Other Telephone Number

Country if not UK

Email

Fourth Trustee

Mr

Mrs

Miss

Ms

Mx

Other

If Other, please state below.

Other

First Name(s)

Surname

Date of Birth

Place of Birth

Nationality

Second Nationality

If your client holds dual nationality please provide both

Country of Birth

Residency for Tax Purposes

Domicile

National Insurance Number

Fourth Trustee's Current Residential Address

Address

City

County

Postcode

Country

Fourth Trustee's Contact Details

Home Telephone Number

Country if not UK

Other Telephone Number

Country if not UK

Email

SECTION 4: ADDITIONAL TRUST INFORMATION (CONTINUED)**First Beneficiary Details**

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

Other

First Name(s)

Surname

Date of Birth

Place of Birth

Address

City

County

Postcode

Country

Second Beneficiary Details

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

Other

First Name(s)

Surname

Date of Birth

Place of Birth

Address

City

County

Postcode

Country

Third Beneficiary Details

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

Other

First Name(s)

Surname

Date of Birth

Place of Birth

Address

City

County

Postcode

Country

SECTION 4: ADDITIONAL TRUST INFORMATION (CONTINUED)**Fourth Beneficiary Details**

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

First Settlor Details

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

Second Settlor Details

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

SECTION 4: ADDITIONAL TRUST INFORMATION (CONTINUED)

Other Controller Details

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

Other Controller Details

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

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

SECTION 5: CORRESPONDENCE AND ADMINISTRATION

5.1 Information for Intermediaries, Professional Advisers and Third Parties

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

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

If yes, please indicate below:

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

* maximum of 4

Please provide contact details (if applicable)

Contact Name

Role

Name of Firm

Address

Postcode

Email

Telephone number

Country if not UK

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

5.3 Periodic Statements

A regular valuation report is provided quarterly on the following dates

5th January, 5th April, 5th July, 5th October

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

Euro US Dollar

SECTION 5: CORRESPONDENCE AND ADMINISTRATION (CONTINUED)**5.4 Would the Trustees like access to their account online via our MyBrewin web portal?**

Yes

No

The Trustees can view up-to-date information about their investments through the MyBrewin portal at www.brewin.co.uk/mybrewin. To enjoy the benefits of MyBrewin, we will simply need to confirm the Trustees mobile telephone number and the email address that they would like to use for their MyBrewin account. Please note that for data security reasons and to reduce the risk of fraud, we will not create more than one MyBrewin account with the same email address. For Trustees who would each like their own MyBrewin access, please provide mobile telephone numbers and corresponding email addresses below.

First Mobile Telephone Number for MyBrewin Account

First E-mail Address for MyBrewin Account

Second Mobile Telephone Number for MyBrewin Account

Second E-mail Address for MyBrewin Account

Third Mobile Telephone Number for MyBrewin Account

Third E-mail Address for MyBrewin Account

Fourth Mobile Telephone Number for MyBrewin Account

Fourth E-mail Address for MyBrewin Account

Fifth Mobile Telephone Number for MyBrewin Account

Fifth E-mail Address for MyBrewin Account

Sixth Mobile Telephone Number for MyBrewin Account

Sixth E-mail Address for MyBrewin Account

SECTION 6: BANK DETAILS AND ASSET TRANSFERS**6.1 If funds are being transferred to us when this account is being opened, please provide the following information on the source of these funds.****Trust Account****Bank/Building Society Details:**

Account Holder Name

Name of Bank
or Building Society

Branch

Building Society Roll No.

Bank Account Number

Sort Code

For Bank Accounts outside the UK please provide:

IBAN number

City

Country

6.2 Please confirm the origin of funds, source of funds and the source of wealth in relation to this account.

Origin of Funds

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

Source of Funds

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

Source of Wealth

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

SECTION 6: BANK DETAILS AND ASSET TRANSFERS (CONTINUED)**6.3 Income Instructions**

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

Dividend Income:

RBC Brewin Dolphin to hold as part of the portfolio Pay to the Trust account (as above)

Regular Income Payment:

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

Amount £

Frequency Date for first payment

Trust Account noted in section 6

6.4 Custody of Assets

All investments will be registered in one of more of our nominee companies. However, if you require to use a nominee company not operated by RBC Brewin Dolphin, please refer to your RBC Brewin Dolphin Investment Manager or Financial Planner for further information. Please note, additional charges may be applicable if you request a nominee company not operated by RBC Brewin Dolphin.

SECTION 7: 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 Intermediaries 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(s) and status of the Trust.

Part B - Self-Certification of Account Holder Tax Residency and Status

If the Intermediary will not be reporting under FATCA, please complete the declaration(s) on the following page with respect to the Trust to confirm their tax residency and FATCA status.

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

If the Trust wishes to enter into an Owner-Documented Agreement with RBC Brewin Dolphin, then the Trustees will also need to complete and sign the Annex on pages 18.

SECTION 7: SELF-CERTIFICATION OF STATUS UNDER 'FATCA' TAX EXCHANGE AGREEMENTS (CONTINUED)**Section A: Trust Tax Residency**

Please indicate ALL countries in which the trust is resident for tax purposes and the relevant Tax Identification Number or Functional Equivalent.

If the Trust is resident in the United States you must also complete and return IRS (Internal Revenue Service) form W-9 and include any additional tax residencies in the table below.

Country of Tax Residency	Tax Identification Number (TIN)	No TIN available

*If you ticked the "no TIN available" box, please explain below why you do not have a TIN:

Section B: Trust Classification for the purposes of FATCA

Under FATCA, any non-US Trust 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).

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

- i) The Trust has registered as an FI (including 'Sponsored Investment Entity') – please provide the Trust's GIIN; or
- ii) The Trust is 'Trustee documented' – please provide the Trustee FI's GIIN; or
- iii) The Trust 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 Trust is an 'Exempt Beneficial Owner' (e.g. UK registered pension scheme)
- ii) The Trust is or intends to be an 'Owner-documented FI' (e.g. discretionary service) with RBC Brewin Dolphin; **in this case, please skip to page 15 and complete the Annex**
- iii) The Trust is a 'Certified or otherwise Deemed Compliant FI' (e.g. UK registered charitable trust)
- iv) The Trust is a Non-Participating FI
- v) Other reason (Please specify below):

* Please note that Owner Documented FIs are only allowed under FATCA and not under CRS.

Please now complete Section C on the next page.

SECTION 7: SELF-CERTIFICATION OF STATUS UNDER 'FATCA' TAX EXCHANGE AGREEMENTS (CONTINUED)**B2 The Trust is NOT a Financial Institution**

If the Trust 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: Trust classification for the purposes of the common reporting standard (CRS)

Please tick one of the boxes below:

(a) The Trust is a Managed Investment Entity

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

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

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

(d) The Trust is an Active NFE

(e) The Trust is a Passive 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 Trust to be a 'Passive NFE' in Sections B or C, **or**
- ii. the Trust 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 14 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/ incorporation	Place of birth (individuals only)	Date of birth/ incorporation (DD-MM-YY)

Please attach additional sheets if required

ANNEX : 'OWNER-DOCUMENTED FIs' WITH RBC BREWIN DOLPHIN

Please note that the concept of "Owner-documented FIs" is only applicable to FATCA and not the CRS.

This section must be completed by Trusts that declare in Section C.1.b) to be an FI and intend to be an "Owner-Documented FI" with RBC Brewin Dolphin.

UK legislation based on international information exchange agreements provides that an Entity which qualifies as an 'Owner-documented FI' will not have to register with the IRS nor obtain a GILN.

SECTION A: QUALIFICATION FOR OWNER-DOCUMENTED FI STATUS

In order to qualify as an 'Owner-documented FI', the Trust must meet ALL of the conditions in Section A. To confirm that the Trust meets the requirements to qualify as an "Owner-documented FI" please answer the following three questions and indicate "T" (True) or "F" (False) in the column on the right:

True(T) / False (F)

1. The Trust is resident for tax purposes only in the United Kingdom.
2. The Trust does not maintain a financial account for any Non-Participating Financial Institution i.e a Non-Participating FI does not hold an equity interest or debt interest in the Trust.
3. The Trust is not owned by, nor a member of, a group of Related Entities with any FI that is a depository, custodial or specified insurance company as defined in UK legislation.
4. The Trust agrees to provide RBC Brewin Dolphin (i.e. the reporting entity) information regarding all persons – both natural and legal persons – that hold direct or indirect equity or debt interest in the Trust.

Information regarding equity and debt holders of the Trust is required in order to enable RBC Brewin Dolphin to determine whether it is obliged to submit certain information regarding the Trust account to UK tax authorities. The information required to be provided to RBC Brewin Dolphin applies to:

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

Only where ALL responses to the questions in Section A are "T" will the Trust qualify for Owner-Documented FI status and you may proceed to Section B of this Annex. Otherwise please refer to your contact at RBC Brewin Dolphin for instruction.

SECTION B: TRUST OWNER INFORMATION

Please provide information regarding the Trust Interest Holders as required by Section A.3 of this Annex. Include all persons – both natural and legal persons – that hold direct or indirect equity or debt interest in the Trust as defined above. Indicate all countries of tax residence of each person and where such person is a US citizen, US Green Card holder, or US resident or US entity, you must include United States in this table along with his/her US Tax Identification Number.

We will then check whether we already have appropriate documentation for these persons on file, or whether we are obliged to request further documentation from you.

Note that additional information may be required by RBC Brewin Dolphin and this may include appropriate documentation already obtained for UK regulatory purposes. Nevertheless RBC Brewin Dolphin may be obliged to request further documentation from you.

Please complete the following with information on all direct equity/debt holders of the Entity. Please also provide information for all indirect equity/debt holders if applicable.

B1. TRUST OWNER INFORMATION: DIRECT INTEREST HOLDERS

Where an Interest Holder in the Trust is itself an Entity the Interest Holders of the Entity are "Indirect" Interest Holders of the Trust. Please complete the information in Section B.2 for all Indirect Holders.

Please provide the following information for each Direct Holder of the Trust and indicate if they are an individual or an entity.

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

Please attach additional sheets if required

B2. TRUST OWNER INFORMATION: INDIRECT INTEREST HOLDERS

Where an Interest Holder of the Trust is itself an Entity the Interest Holders of the Entity are "Indirect" Interest Holders of the Trust. The identification of Indirect Interest Holders must be made by looking through all Direct and Indirect Interest Holders who are themselves Entities.

Please provide information below regarding Indirect Interest Holders under the name of the Direct/Indirect Entity they hold equity/debt interests in.

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)

SECTION C: TRUSTEES DECLARATION SECTION

1. I confirm on behalf of the Trust that as per UK guidance I am authorised to sign this form and that the information provided is, to the best of my knowledge and belief, accurate and complete.
2. I undertake to advise RBC Brewin Dolphin promptly of any Change in Circumstances which causes the 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. This includes in particular details of beneficiaries who receive a discretionary distribution in future and whose details have not yet been included in Section B: "Trust Interest Holder Information" above.
3. I am aware that in certain circumstances RBC Brewin Dolphin will be obliged to share information with UK tax authorities, who may pass it on to the tax authorities of other countries.
4. I am aware that this Owner-documented FI (ODFI) Agreement is only applicable to the reporting of US persons under FATCA regulations and therefore the Trustees remain responsible for meeting any reporting obligations under the CRS regulations.
5. If the Trust is taking advantage of the ODFI classification under the FATCA Agreement I can confirm that I have provided information relating to all Direct and Indirect Interest Holders in the Trust in the Tables on Pages 16 and 17.

Title and Surname

First Name(s)

Signed (upload your
electronic signature here

Alternatively type in your name
to confirm your signature

Date

Capacity



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 8: INTERMEDIARY DECLARATION AND ACCEPTANCE OF TERMS

8.1 Data Protection

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

You will have received our Retail Client Terms & Conditions which detail our:

- Order Execution Policy
- Conflicts of Interest Policy

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

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

8.3 Checklist

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

Statement of Investment Policy

.....

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

.....

Names of all Trustees connected to this account

.....

Copy of Will (where applicable)

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

8.4 Intermediary Declaration and Acceptance

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

- I/we have undertaken an assessment of the suitability of RBC Brewin Dolphin's services for the Trust.
- I/we consent to the Order Execution Policy on behalf of the Trust.
- the information provided in this form is correct and complete to the best of my/our knowledge and I/we will notify RBC Brewin Dolphin promptly of any changes.
- I/we have obtained information from the Trust in relation to their knowledge and experience in investments and confirm that the Trust has the necessary experience and knowledge in order to understand the risks involved in the management of the portfolio.
- I/we have obtained information from the Trust in relation to its financial situation including the source and extent of their regular income, assets (including liquid assets) investments and real property and its regular financial commitments. I/we confirm that the Trust has the capacity to bear investment risks arising from the management of the portfolio, including the potential of significant loss.
- I/we confirm that I/we have read RBC Brewin Dolphin's Risk Guide for Intermediaries and that the Category identified in Section 3.10 is suitable for the Trust.
- I/we have received RBC Brewin Dolphin's Account Opening Information Pack, which includes the standard terms and conditions governing the services to be provided to us as Intermediary for the Trust, and I/we shall seek clarification promptly if there is anything that I/we do not understand.
- I/we have obtained information from the Trust on their investment objectives, including the length of time they wish to hold investments, their preferences regarding risk taking, their risk profile and the purposes of investment.
- I/we confirm that I/we have verified and identified all parties to this agreement in accordance with the Intermediaries Terms of Business for Intermediaries.
- Where we supply RBC Brewin Dolphin with information about the Trustees we obtained their prior consent to provide this information to RBC Brewin Dolphin and for RBC Brewin Dolphin to process it in order to provide its services.
- The tax residency/FATCA information provided in this form is, to the best of my/our knowledge and belief, accurate and complete.
- I/We undertake to advise RBC Brewin Dolphin promptly of any change in circumstances which causes the tax residency/FATCA information contained herein to become incorrect or incomplete and to provide RBC Brewin Dolphin with an updated declaration within 30 days of such a change in circumstances.
- I/We understand that in certain circumstances RBC Brewin Dolphin will be obliged to share this information with the UK or Jersey tax authorities, who may share this with other tax authorities.

SECTION 8: INTERMEDIARY DECLARATION AND ACCEPTANCE OF TERMS (CONTINUED)**First Intermediary Authorised Signature**

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

Print Name

Second Intermediary Authorised Signature (if appropriate)

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

Print Name

SECTION 9: TRUSTEE DECLARATION AND ACCEPTANCE OF TERMS**9.1 Data Protection**

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

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

First Trustee

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

Second Trustee

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

Third Trustee

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

Fourth Trustee

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

9.3 Trustee Declaration and Acceptance

On behalf of the Trust I declare that:

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

First Trustee's Signature

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

Print Name

Second Trustee's Signature

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

Print Name

Third Trustee's Signature

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

Print Name

Fourth Trustee's Signature

Signed (upload your electronic signature here)

Alternatively type in your name to confirm your signature

Date

Print Name

FOR RBC BREWIN DOLPHIN USE ONLY

Intermediary Firm Name

PRC

Branch Code:

A/C Exec
responsible for A/C

Financial Services
Register ref no.

Terms and Conditions
BD Number:

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