



Brewin
Dolphin

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

Personal Details

Title and Surname

First Name(s)

Permanent Residential
Address

Postcode

Daytime Telephone

HMRC Requirements

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

Date of Birth

National Insurance Number

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

Subscribing to your ISA

I wish to subscribe to a Stocks and Shares ISA:

Discretionary

Tax Year

20 / 20

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

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

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Yes No

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

Funding your ISA

I wish to fund my ISA:

Bank transfer

£

Amount

By cheque

£

Amount (made payable to "Brewin Dolphin Limited")

From my existing portfolio

£

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

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

Dividend Income

Would you like accumulated dividend income:

Held on deposit, to be re-invested

Paid into your bank/building society: Monthly Quarterly

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

(Please provide bank details on the next page)

Bank Details

Name and Address of Bank/
Building Society

Account Holder Name

Sort Code

Account No.

Building Society Roll No.

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

Yes No

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

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

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

Risk Category
Intermediary 1

Risk Category
Intermediary 6

Risk Category
Intermediary 2

Risk Category
Intermediary 7

Risk Category
Intermediary 3

Global Dollar

Risk Category
Intermediary 4

Global Euro

Risk Category
Intermediary 5

Global Sterling

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

Investment Restrictions

Yes No

If yes, please provide details:

Note: Restrictions can only be applied within our Bespoke Discretionary Fund Management (DFM) service. RBCBD can consider ethical restrictions defined by the Ethical Investment Research Service (Moody's), Industrial Classification Benchmarks (ICB) & Company Restrictions. Your adviser will review your requirements against these to ensure we can support them.

Any investment restriction that you may impose to the management of the portfolio will only apply to direct investments because of the difficulty and cost of keeping permanently up to date with the underlying holdings in collective investment schemes or other packaged retail investment products. You further understand that any such restriction set by you may affect the performance of the portfolio.

Declaration and Authority

I declare that:

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

I authorise RBC Brewin Dolphin:

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

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

Signed (upload your
electronic signature here

Alternatively type in your name
to confirm your signature

Date

Use of Personal Information

For Office Use Only:

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