

MONEY LAUNDERING REGULATIONS
REGULATED INTERMEDIARY INTRODUCTION CERTIFICATE

*(To be completed by a Regulated UK or EU Introducer
and returned to Rathbone Investment Management Ltd)*

NAME OF APPLICANT: _____

ADDRESS OF APPLICANT: _____
(including postcode)

I/WE CERTIFY THAT:

1. I/we have verified the identity of the Applicant and confirm that documentary evidence has been obtained and identity checks have been undertaken to confirm that the Applicant(s) name(s) and address(es) as shown on the Applicant Form(s) is correct.

AND:

2. The underlying records of identity and copies of the documentary evidence received are attached to this document

AND:

3. I/we enclose an account opening/customer information form completed as requested together with any additional 'know your customer' information requested.

4. I/we confirm that the Applicant(s) is/are applying on his/her own behalf and not as a nominee, trustee or in a fiduciary capacity for any other person.

Full Name of Regulated Firm: _____

*FCA Regulatory No: _____

*Other UK/EU Regulator: _____

Signed: _____

Full Name: _____

Job Title: _____

Date: _____

**Delete as applicable*