

## Managed portfolio service

# Agreement for clients of the Managed Portfolio Service

## For clients

### Welcome to Rathbones Managed Portfolio Service

The Managed Portfolio Service (MPS) is an execution-only investment service provided by Rathbone Investment Management Limited (herein referred to as 'Rathbones') following advice received from your Financial Adviser.

MPS offers six strategies invested in the range of Rathbone Multi-Asset Portfolio (RMAP) funds managed by Rathbone Unit Trust Management Limited (herein referred to as 'Rathbone Funds').

Neither Rathbones nor Rathbone Funds can provide you with investment advice in connection with this service and we will act only upon your instructions, or upon instructions authorised by you.

This document forms part of the suite of documents which make up our Agreement with you. These consist of the following:

- Client agreement (this document)
- Schedule of charges
- Schedule of interest rates
- Contractual pack, including
  - Terms of business
  - Conflicts of interest policy
  - Dealing and best execution policy
- Basic Information about the protection of your eligible deposits
- European consumer credit information

### You are responsible for:

- Ensuring that all information is completed fully and accurately
- Informing us immediately in writing if any of your personal details change

### Rathbones is responsible for:

- Opening your MPS Account(s), and administering it/them in line with your instructions
- The safe custody of your asset(s)
- Verifying your identity

### Your Financial Adviser is responsible for:

- Carrying out a suitability assessment for you
- Verifying your identity
- Completing and signing the declaration on page 11 of this Agreement.

## Making payment

Please advise your method of payment below

☐ Electronic transfer ☐ Cheque

Please do not make any payment until we have notified you/your provider that your Account(s) is/are open and have provided you/your provider with your Account number(s). You/your provider will need to quote your Account number(s) on all electronic transfers to us. Cheques sent to us prior to our notification may be returned to you.

Details on how to send funds will be sent to you/your provider with your welcome pack once the Account(s) have been opened.

## Financial Adviser details.

Company name

\_\_\_\_\_

Network name (if the company is a member of a network)

\_\_\_\_\_

Title

☐

Mr

☐

Mrs

☐

Ms

☐

Miss

☐ Other (please specify)

\_\_\_\_\_

Surname

\_\_\_\_\_

Forename(s)

\_\_\_\_\_

FCA reference number

\_\_\_\_\_

Address

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Telephone

\_\_\_\_\_

Mobile

\_\_\_\_\_

Email

\_\_\_\_\_

Usual contact at Rathbones (leave blank if not applicable)

\_\_\_\_\_

Your Financial Adviser will receive access to view your Account(s), including valuation statements, annual tax reports, and daily portfolio values via the Rathbone Online service.

If your Financial Adviser is to be appointed to manage the Account(s) on your behalf, please request a delegated authority form from the MPS team.

**If you require help with completing this application form please contact the MPS team**

**Telephone: 0844 748 0029**

**Email: MPS@Rathbones.com**

**Rathbones**  
Look forward

# Your personal information

Please complete in black ink and block capitals.

Individual 1

Title  
☐ Mr    ☐ Mrs    ☐ Ms    ☐ Miss  
Other (please specify)  
☐ \_\_\_\_\_

Surname  
\_\_\_\_\_

Previous name (if applicable)  
\_\_\_\_\_

Forename(s)  
\_\_\_\_\_

Date of birth  

D	D	M	M	Y	Y	Y	Y
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Place and country of birth  
\_\_\_\_\_

Are you a US citizen?  
☐ Yes    ☐ No

Nationality/Dual nationality  
\_\_\_\_\_

Permanent residential address  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  

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Country of domicile  
\_\_\_\_\_

Telephone    

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Mobile (required)    

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Email (required) \_\_\_\_\_

Do you have a National Insurance number?  
☐ Yes    ☐ No

National Insurance number  

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Tax identification number (TIN)  

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Individual 2

Title  
☐ Mr    ☐ Mrs    ☐ Ms    ☐ Miss  
Other (please specify)  
☐ \_\_\_\_\_

Surname  
\_\_\_\_\_

Previous name (if applicable)  
\_\_\_\_\_

Forename(s)  
\_\_\_\_\_

Date of birth  

D	D	M	M	Y	Y	Y	Y
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Place and country of birth  
\_\_\_\_\_

Are you a US citizen?  
☐ Yes    ☐ No

Nationality/Dual nationality  
\_\_\_\_\_

Permanent residential address  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  

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Country of domicile  
\_\_\_\_\_

Telephone    

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Mobile (required)    

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Email (required) \_\_\_\_\_

Do you have a National Insurance number?  
☐ Yes    ☐ No

National Insurance number  

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Tax identification number (TIN)  

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## Connected Persons

A horizontal number line with 15 tick marks, labeled from 1 to 15.

# Identity verification

## Your source of wealth

This is how you have accumulated your total wealth. Whilst fulfilling a legal purpose, this also provides a background to your financial situation. There are likely to be a number of sources of your wealth so please provide detail against these possible categories.

### Individual 1

#### Employment

Please confirm occupation and name of employer

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#### Inheritance

Please confirm from who and the types of asset

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#### Business

Please confirm type of business. Has the business now been sold?

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#### Other

Please provide an explanation

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If any of the above wealth has originated from a country outside of the UK, please confirm the country and provide a brief explanation.

Overseas country/countries

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### Individual 2

#### Employment

Please confirm occupation and name of employer

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#### Inheritance

Please confirm from who and the types of asset

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#### Business

Please confirm type of business. Has the business now been sold?

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#### Other

Please provide an explanation

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If any of the above wealth has originated from a country outside of the UK, please confirm the country and provide a brief explanation.

Overseas country/countries

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## Your source of funds

This is where the money you are investing with Rathbones will come from e.g. inheritance, sale of an asset, excess income. In the event any of your source of funds originates from a country outside of the UK, please detail the country below.

If your funds have originated from another investment management firm, please confirm the firm's details and length of time the funds were managed by them.

### Individual 1

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### Individual 2

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# Identity verification – continued

## Association with public office

Please confirm whether you hold one of the public offices, or similar listed below or are a family member or a close associate of a person who holds one of the public offices listed below.

A family member includes:

- the spouse or civil partner
- the children and their spouses or civil partners
- the parents
- the siblings

of the person holding the public office.

A close associate is either:

- an individual who has joint beneficial ownership of a legal entity or a legal arrangement or other close business relationship with a person holding one of the public offices listed below or
- an individual who has sole beneficial ownership of a legal entity or a legal arrangement which is known to have been set up for the benefit of a person holding one of the public offices listed below.

### Individual 1

#### Public offices

- ☐ A political figure (national or local)
- ☐ A senior judicial official (e.g. member of the supreme court)
- ☐ A senior military officer
- ☐ A senior official of a state-owned organisation
- ☐ A senior official of an international public organisation

If you have ticked any of the above boxes please provide details below.

Name

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Position

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Organisation

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Country

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Relationship

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- ☐ I do not hold public office and am not a family member or close associate of a person who holds one of the public offices listed above.

### Individual 2

#### Public offices

- ☐ A political figure (national or local)
- ☐ A senior judicial official (e.g. member of the supreme court)
- ☐ A senior military officer
- ☐ A senior official of a state-owned organisation
- ☐ A senior official of an international public organisation

If you have ticked any of the above boxes please provide details below.

Name

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Position

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Organisation

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Country

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Relationship

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- ☐ I do not hold public office and am not a family member or close associate of a person who holds one of the public offices listed above.

# Identity verification – continued

## Identity and residency verification

### Identity verification

Please provide a duly certified copy of ONE of the following for each person applying to become a client.

- A valid passport
- A valid photocard driving licence
- A current EEA member state national ID card
- An identity card issued by the Electoral Office for Northern Ireland

If you are unable to produce one of the above forms, we are able to accept **two documents** from List A below, or **one document** from List A in conjunction with a document from List B. All documentation should be no older than 3 months, unless otherwise stated.

#### List A

- UK HMRC tax notification or foreign equivalent
- UK Government based correspondence or equivalent, duly translated using a Rathbones appointed translator
- UK Pension Book or equivalent

#### List B

- Current utility or council tax bill
- Current bank, building society credit card statement/passbook
- Mortgage statement from recognised lender, not more than 12 months old

**If you are currently living in a care home, we will be able to accept proof of identity in the form of either an HMRC notification letter, or benefits notification letter from the Pension Service. Proof of residency may be accepted in the format of an original letter from the care home confirming your current residence.**

### Residency verification

If you have recorded any personal detail which is:

- outside of the UK or
- you are, or are a family member or closely associated with, someone who holds a public office

please also provide ONE copy of the following, duly certified, for each person applying to become a client.

All documentation should be no older than 3 months, unless otherwise stated.

- Utility or council tax bill, (mobile phone bills are not accepted)
- Bank, building society or credit card statement
- Mortgage statement from a recognised lender, not more than 12 months old

Please note the same document cannot be used for both identity and residency verification purposes.

## Document certification

### Getting your documents certified

**Whilst we can accept original identity and residency documentation, we do not advise you to send original documents through the post as we are unable to accept liability for any loss or damage upon return. Please ensure that all copies provided are clearly legible and certified.**

Certification of copies of the original documents can be performed by:

- your Financial Adviser
- a professional whose occupation is governed by the Money Laundering Regulations such as an FCA regulated individual, SEC regulated individual, bank or building society official, solicitor, notary or chartered accountant
- a town councillor or a registered NHS doctor
- the Post Office Identity Document Checking service or
- an Embassy, consulate or high commission officer in the country of issue

#### The certifier must:

- not be related to you
- not be living at the same address as you
- not be in a relationship with you
- use the certification wording below
- sign the copy documentation
- date the copy documentation
- print their full name
- print their capacity and position
- provide adequate information so that they may be contacted in the event of a query (address, telephone number or email address)
- ensure the copy documentation is visible and legible

### Certification wording that MUST be used

For certification of documents with a photo:

**"Having seen the individual and identification document, I certify that this is a true copy of the original document and the photograph is a reasonable likeness"**

For certification of documents where there is no photo  
OR for residency verification:

**"I certify this to be a true copy of the original document seen by me."**

# Strategy profiles

Risk profiles and investment objectives for the six MPS strategies are provided below to help you select the strategy(ies) closest to your objectives. The strategies cover a wide range of risk profiles rated by market risk profiling companies. Please refer to the strategy factsheets and MPS brochure for further details on the strategies and the service. Please refer to the fund prospectus and Key Investor Information Documents (KIID) for details of the Rathbone Multi-Asset Portfolio (RMAP) funds in which the strategies invest.

<b>Cautious</b>	<b>Balanced</b>	<b>Income</b>
Rathbone risk level - 2	Rathbone risk level - 3	Rathbone risk level - 4
Investment objective - growth	Investment objective - growth	Investment objective - income
Annual return objective Total return of cash + 2%	Annual return objective Total return of inflation (CPI) + 2%	Annual return objective Total return of inflation (CPI) + 3%
Minimum investment period - 3 years	Minimum investment period - 5 years	Minimum investment period - 5 years
Investor risk tolerance - relatively low	Investor risk tolerance - medium-low	Investor risk tolerance - medium-high
Likely exposure to shares - moderate	Likely exposure to shares - significant	Likely exposure to shares - substantial
Expected fluctuations in value Up to 34% of the volatility of major equity markets	Expected fluctuations in value Up to 50% of the volatility of major equity markets	Expected fluctuations in value Up to 67% of the volatility of major equity markets
Investor capacity for risk Somewhat concerned about the possibility of losing money	Investor capacity for risk Able to tolerate a temporary or, rarely, permanent capital loss	Investor capacity for risk Able to tolerate a temporary or, sometimes, permanent capital loss
Strategy invests in: Rathbone Multi Asset Total Return Portfolio	Strategy invests in: Rathbone Multi Asset Defensive Growth Portfolio	Strategy invests in: Rathbone Multi Asset Strategic Growth Portfolio
<b>Balanced Plus</b>	<b>Equity</b>	<b>Equity Plus</b>
Rathbone risk level - 4	Rathbone risk level - 5	Rathbone risk level - 6
Investment objective - growth	Investment objective - growth	Investment objective - growth
Annual return objective Total return of inflation (CPI) + 3%	Annual return objective Total return of inflation (CPI) + 4%	Annual return objective Total return of inflation (CPI) + 5%
Minimum investment period - 5 years	Minimum investment period - 5 years	Minimum investment period - 5 years
Investor risk tolerance - medium-high	Investor risk tolerance - relatively high	Investor risk tolerance - high
Likely exposure to shares - substantial	Likely exposure to shares - high	Likely exposure to shares - high
Expected fluctuations in value Up to 67% of the volatility of major equity markets	Expected fluctuations in value Up to 84% of the volatility of major equity markets	Expected fluctuations in value In excess of 100% of the volatility of major equity markets
Investor capacity for risk Able to tolerate a temporary or, sometimes, permanent capital loss	Investor capacity for risk Able to cope with a temporary or permanent capital loss	Investor capacity for risk Able to cope with a permanent capital loss
Strategy invests in: Rathbone Multi Asset Strategic Income Portfolio	Strategy invests in: Rathbone Multi Asset Dynamic Growth Portfolio	Strategy invests in: Rathbone Multi Asset Enhanced Growth Portfolio

## Receipt of income

How you receive income depends on whether you invest in accumulation or income shares.

- Accumulation shares are where income is reinvested into the fund and is reflected in the share price with no payment being made to you.
- Income shares are where income is paid to the bank account specified by you in this agreement. Joint monies will be paid to the joint bank account or, where you only have individual bank accounts, will be split equally. Where you have a joint account only all monies will be paid to the joint bank account. Please refer to the distribution dates of the RMAP fund in which you wish to invest. Income will be paid to you from your Rathbones bank account on Rathbones' scheduled payment dates, which are two days prior to the end of each month.

## ISA subscriptions in future years

If you instruct us to make ISA subscriptions in future tax years by completing the selection panel overleaf, funds will automatically be invested on 15th April, or the next business day, every year until instructed otherwise. ISA subscriptions will always be taken from individual main accounts first, and joint main accounts second. If sufficient funds are not available on the auto-enrolment date we will be unable to proceed. Automatic subscription will cease, and you will need to re-apply for future years.

# Selecting your strategy

Please complete the following for each account you wish to open:

- Enter the amount you wish to invest (minimum initial investment of £15,000 per account)
- Tick the box if you wish to purchase income shares. If you do not tick the box, we will purchase accumulation shares for you. (Please note that the Equity and Equity Plus strategies do not offer income shares)
- Enter the amount and frequency (either monthly or quarterly) of any fixed payments you wish to receive
- For ISAs, enter the current tax year. To subscribe in future tax years, either select the maximum allowable annual amount or enter the annual amount you wish to invest.

**Warning: If you select a fixed payment, we may need to sell shares to raise sufficient funds to meet your requirement. This may erode the capital value of the funds. The higher the fixed amount, the more erosion of capital will occur. In addition, the sale of shares may have tax consequences for which you will be responsible. If you are in any doubt you should talk to your Financial Adviser.**

## Cautious

	Investment amount	Income shares	Fixed payment amount	Fixed payment frequency	ISA tax year	ISA subscriptions in future tax years
<b>Main accounts:</b>						
Individual 1	£ <input type="text"/>	<input type="checkbox"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>		
Individual 2	£ <input type="text"/>	<input type="checkbox"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>		
Joint	£ <input type="text"/>	<input type="checkbox"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>		
<b>ISAs:</b>						
Individual 1	£ <input type="text"/>	<input type="checkbox"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>	<u>20</u> /20	Maximum <input type="checkbox"/> OR £ <input type="text"/>
Individual 2	£ <input type="text"/>	<input type="checkbox"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>	<u>20</u> /20	Maximum <input type="checkbox"/> OR £ <input type="text"/>
<b>SIPPs:</b>						
Individual 1	£ <input type="text"/>	<input type="checkbox"/>	If the SIPP is in drawdown, please complete any			
Individual 2	£ <input type="text"/>	<input type="checkbox"/>	regular payment details in the SIPP section on page 10			

## Balanced

	Investment amount	Income shares	Fixed payment amount	Fixed payment frequency	ISA tax year	ISA subscriptions in future tax years
<b>Main accounts:</b>						
Individual 1	£ <input type="text"/>	<input type="checkbox"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>		
Individual 2	£ <input type="text"/>	<input type="checkbox"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>		
Joint	£ <input type="text"/>	<input type="checkbox"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>		
<b>ISAs:</b>						
Individual 1	£ <input type="text"/>	<input type="checkbox"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>	<u>20</u> /20	Maximum <input type="checkbox"/> OR £ <input type="text"/>
Individual 2	£ <input type="text"/>	<input type="checkbox"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>	<u>20</u> /20	Maximum <input type="checkbox"/> OR £ <input type="text"/>
<b>SIPPs:</b>						
Individual 1	£ <input type="text"/>	<input type="checkbox"/>	If the SIPP is in drawdown, please complete any			
Individual 2	£ <input type="text"/>	<input type="checkbox"/>	fixed payment details in the SIPP section on page 10			

## Income

	Investment amount	Income shares	Fixed payment amount	Fixed payment frequency	ISA tax year	ISA subscriptions in future tax years
<b>Main accounts:</b>						
Individual 1	£ <input type="text"/>	<input type="checkbox"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>		
Individual 2	£ <input type="text"/>	<input type="checkbox"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>		
Joint	£ <input type="text"/>	<input type="checkbox"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>		
<b>ISAs:</b>						
Individual 1	£ <input type="text"/>	<input type="checkbox"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>	<u>20</u> /20	Maximum <input type="checkbox"/> OR £ <input type="text"/>
Individual 2	£ <input type="text"/>	<input type="checkbox"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>	<u>20</u> /20	Maximum <input type="checkbox"/> OR £ <input type="text"/>
<b>SIPPs:</b>						
Individual 1	£ <input type="text"/>	<input type="checkbox"/>	If the SIPP is in drawdown, please complete any			
Individual 2	£ <input type="text"/>	<input type="checkbox"/>	fixed payment details in the SIPP section on page 10			



## Selecting your strategy – continued

### Balanced Plus

	Investment amount	Income shares	Fixed payment amount	Fixed payment frequency	ISA tax year	ISA subscriptions in future tax years
<b>Main accounts:</b>						
Individual 1	£ <input type="text"/>	<input type="checkbox"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>		
Individual 2	£ <input type="text"/>	<input type="checkbox"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>		
Joint	£ <input type="text"/>	<input type="checkbox"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>		
<b>ISAs:</b>						
Individual 1	£ <input type="text"/>	<input type="checkbox"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>	<u>20</u> / <u>20</u>	Maximum <input type="checkbox"/> OR £ <input type="text"/>
Individual 2	£ <input type="text"/>	<input type="checkbox"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>	<u>20</u> / <u>20</u>	Maximum <input type="checkbox"/> OR £ <input type="text"/>
<b>SIPPs:</b>						
Individual 1	£ <input type="text"/>	<input type="checkbox"/>	If the SIPP is in drawdown, please complete any regular payment details in the SIPP section on page 10			
Individual 2	£ <input type="text"/>	<input type="checkbox"/>				

### Equity

	Investment amount	Fixed payment amount	Fixed payment frequency	ISA tax year	ISA subscriptions in future tax years
<b>Main accounts:</b>					
Individual 1	£ <input type="text"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>		
Individual 2	£ <input type="text"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>		
Joint	£ <input type="text"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>		
<b>ISAs:</b>					
Individual 1	£ <input type="text"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>	<u>20</u> / <u>20</u>	Maximum <input type="checkbox"/> OR £ <input type="text"/>
Individual 2	£ <input type="text"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>	<u>20</u> / <u>20</u>	Maximum <input type="checkbox"/> OR £ <input type="text"/>
<b>SIPPs:</b>					
Individual 1	£ <input type="text"/>	If the SIPP is in drawdown, please complete any fixed payment details in the SIPP section on page 10			
Individual 2	£ <input type="text"/>				

### Equity Plus

	Investment amount	Fixed payment amount	Fixed payment frequency	ISA tax year	ISA subscriptions in future tax years
<b>Main accounts:</b>					
Individual 1	£ <input type="text"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>		
Individual 2	£ <input type="text"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>		
Joint	£ <input type="text"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>		
<b>ISAs:</b>					
Individual 1	£ <input type="text"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>	<u>20</u> / <u>20</u>	Maximum <input type="checkbox"/> OR £ <input type="text"/>
Individual 2	£ <input type="text"/>	£ <input type="text"/>	M <input type="checkbox"/> Q <input type="checkbox"/>	<u>20</u> / <u>20</u>	Maximum <input type="checkbox"/> OR £ <input type="text"/>
<b>SIPPs:</b>					
Individual 1	£ <input type="text"/>	If the SIPP is in drawdown, please complete any fixed payment details in the SIPP section on page 10			
Individual 2	£ <input type="text"/>				

### Individual 1 details

Provider name

Scheme fund name

SIPP product name

Provider plan reference number (if known)

If the SIPP is in drawdown:

Payment amount

£

Payment frequency

M		Q	
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Other (please state)

### Individual 2 details

Provider name

Scheme fund name

SIPP product name

Provider plan reference number (if known)

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If the SIPP is in drawdown:

Payment amount

£

### Payment frequency

M		Q	
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Other (please state)

## Client notes

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☐ No – do **not** consolidate all the Accounts in this Agreement

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# Declarations and authority

## Main fund(s)

By signing below I/we confirm the following:

### Acceptance

I/We have received the documents making up the Rathbones Agreement as described on page 1 of this document.

I/We accept and agree to be bound by the terms of the Agreement including the Terms of Business and other documents as referred to in the Terms of Business which make up the Agreement.

I/We consent to Rathbone's dealing and best execution arrangements and acknowledge that on some occasions when Rathbones passes an order to another party for execution, the counterparty may execute the trade outside a Trading Venue.

I/We acknowledge that Rathbones is not my/our Financial Adviser or pensions adviser, and any tax information provided is on a non-advised basis. Rathbones is the principal trading company and a subsidiary of Rathbone Brothers Plc, and is a bank.

I/We have read all of this Client Agreement and I/we confirm that I/we have provided full and accurate information on my/our personal and financial circumstances in order that you may administer my/our investments accordingly. I/We understand the service that is being provided and that Rathbones may decline to act on my/our behalf in the event that the information provided is incomplete.

I/We confirm I/we are aware of the cancellation or withdrawal rights referred to in the Terms of Business (in section 1 - My/Our Agreement and my/our services, under the subheadings Cancellation rights and Withdrawal rights) under which my/our Accounts are to be administered by Rathbones.

## Individual Savings Account(s) (ISA) (where applicable)

Where I am an individual client and I have indicated in this Agreement that I wish to subscribe to an ISA, I acknowledge that the following will apply.

Where we are joint clients and either of us has indicated in this Agreement that we wish to apply to subscribe to an ISA, we acknowledge that the below will apply individually to each of us in respect of each ISA opened.

I declare that:

- I am 18 years of age or over
- I am 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 & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform Rathbones 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
- I have not subscribed, and will not subscribe, more than the overall subscription limit in total to any combination of permitted ISAs in the same tax year
- I have not subscribed and will not subscribe to another stocks and shares ISA in the same tax year that I subscribe to this stocks and shares ISA
- all subscriptions made, and to be made, belong to me
- the personal details and the information given on this form are to the best of my knowledge and belief correct and I undertake to notify Rathbones promptly of any changes to these particulars.

I understand that the value of investments in this ISA may go down as well as up and the tax regime applicable to ISAs can change in the future.

I acknowledge and agree to be bound by the terms of the Rathbones Terms of Business which will apply to this ISA.

I authorise Rathbones, as ISA manager, to hold my cash subscriptions, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash and to make on my behalf any claims to relief from tax in respect of ISA investments.

I authorise Rathbones, on my written requests, 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.

I understand that I have the right to cancel or withdraw from an ISA subscription or ISA Transfer Request in accordance with the ISAs section of the Terms of Business under which my Account will be administered.

## Self Invested Personal Pension (SIPP) Account(s) (where applicable)

I understand and acknowledge that Rathbones is bound by the contractual requirements of the provider and these requirements will take precedence over this Agreement and the Rathbones Terms of Business. The provider or its agent(s) may instruct Rathbones without reference to me as a member.

## Data protection

I/We acknowledge that Rathbones will process my/our Personal Data (as defined in the Terms of Business):

- my/our investment portfolio service, as detailed in the Terms of Business in order to perform obligations under any contract between Rathbones and me/us
- as set out in Rathbones' privacy notice which can be found at [rathbones.com/privacy](https://rathbones.com/privacy)
- in order to comply with any court order, request from or referral to an appropriate authority, or legal, regulatory or good practice requirement. Rathbones Investment Management Limited will never share your data with any external organisations for any other purpose not detailed within our Terms of Business or Rathbones' privacy notice which can be found at [rathbones.com/privacy](https://rathbones.com/privacy)
- where you provide Personal Data relating to others (e.g. your family members), you confirm that you are authorised to provide this information to us and for us to use in accordance with this Agreement.

## Client(s) to complete.

### Individual 1

Signed

\_\_\_\_\_

Date

D	D
---	---

M	M
---	---

Y	Y	Y	Y
---	---	---	---

### Individual 2

Signed

\_\_\_\_\_

Date

D	D
---	---

M	M
---	---

Y	Y	Y	Y
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## Declarations and authority – continued

### Financial Adviser to complete.

The Financial Adviser is required to confirm the following:

- ☐ I have carried out anti-money laundering identification and verification to the standards required by the The Money Laundering and Terrorist Financing (Amendment) Regulations 2019 ('Money Laundering Regulation 2019')
- ☐ I have been appointed by the client as their Financial Adviser
- ☐ I have assessed the suitability of the MPS and have advised the client on the selection of their investment strategy

Signed

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Date

### SIPP Trustee/Provider to complete (where applicable).

We confirm our agreement to the instructions and notices contained in this document and to the ability of the member and the financial intermediary (if appointed by the member) to provide investment instructions in relation to the investment.

Signed

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Name

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Position

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Date

### This Agreement pack should be returned to:

**The Managed Portfolio Service Team  
Rathbone Investment Management  
Port of Liverpool Building  
Pier Head Liverpool L3 1NW.**

**This Agreement should only be returned once all the sections have been completed and it has been signed, including by the Financial Adviser and SIPP Trustee/Provider (if applicable).**

**Please ensure that all client verification documents and power of attorney documents (if applicable) are enclosed.**