

## Managed portfolio service

# Agreement for trusts, charities, companies and similar entity 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 Rathbones 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:**

- 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

### 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 managing 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 29 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) 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 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

\_\_\_\_\_

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 Accounts 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](mailto:MPS@Rathbones.com)**

**Rathbones**  
Look forward

# Contents

Section	Page
<b>Entity</b>	
1 Entity correspondence information	3
2 Trust specific information	4
3 Company specific information	11
4 Authorised officer information	12
5 Additional officers	17
<b>Portfolio administration</b>	
6 Bank details UK and non-UK	18
7 Connected persons	19
8 Strategy profiles and receipt of income	22
9 Selecting your strategy	23
10 Client verification	24
11 Your reporting preferences	28
12 Declarations and signature(s)	29
13 Client notes	31

# Entity

## 1 Entity correspondence information

**Please complete in black ink and block capitals.**

Name of entity<sup>1</sup>

---

---

Address<sup>2</sup>

---

---

---

Postcode

--	--	--	--	--	--	--	--

Correspondence or business address  
(if different from above)

---

---

---

Postcode

--	--	--	--	--	--	--	--

Primary contact

**Please enter the name of the individual who will have the most contact with the MPS team.**

**The personal details of this individual must also be included in section 4 – Authorised officer information.**

Primary contact name

---

- 1 Enter the name of the trust, charity, company or similar entity.
- 2 Please enter the registered address if you are completing a company or similar entity Agreement.



# Entity

## 2 Trust specific information – continued

**Complete for trusts or similar entities.**

**Trust settlor**

**Settlor 1**

Title

Mr     Mrs     Ms     Miss

Other (please specify)

\_\_\_\_\_

Surname

\_\_\_\_\_

Forename(s)

\_\_\_\_\_

Previous name(s) (if applicable)

\_\_\_\_\_

**To be completed if the settlor is still alive.**

Date of birth

□□□ □□□ □□□□□□

Home address

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Postcode

□□□□□ □□□□

Telephone (Home)

□□□□□□□□□□□□□□□□□□

Telephone (Office)

□□□□□□□□□□□□□□□□□□

Mobile

□□□□□□□□□□□□□□□□□□

Fax

□□□□□□□□□□□□□□□□□□

Email

1 \_\_\_\_\_

2 \_\_\_\_\_

Settlor's ordinary place of residence

\_\_\_\_\_

Country of domicile

\_\_\_\_\_

Nationality

\_\_\_\_\_

Settlor's tax status in current year (e.g. higher rate)

\_\_\_\_\_

Tax residence

\_\_\_\_\_

Tax Identification Number (TIN)

\_\_\_\_\_



# Entity

## 2 Trust specific information – continued

**Complete for trusts or similar entities.**

**Trust beneficiaries (if applicable)**

**Beneficiary 1**

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

**Surname**  
\_\_\_\_\_

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

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

**Date of birth**  
|\_|\_|    |\_|\_|    |\_|\_|\_|\_|

**Place and country of birth**  
\_\_\_\_\_

**Are you a US citizen?**  
 Yes     No

**Address**  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
**Postcode**  
|\_|\_|\_|    |\_|\_|

**Life interest trust beneficiary (if applicable)**  
 Capital     Income

**Percentage of benefit**  
 Percentage     Equal share  
**Percentage of share held**  
\_\_\_\_\_ %

**Nationality/dual nationality**  
\_\_\_\_\_

**Do you have a National Insurance (NI) number?<sup>1</sup>**  
 Yes     No  
**National Insurance (NI) number**  
|\_|\_|    |\_|\_|\_|\_|    |\_|

**Tax Identification Number (TIN)<sup>1</sup>**  
\_\_\_\_\_

<sup>1</sup> For UK individuals this will be the National Insurance (NI) number.

# Entity

## 2 Trust specific information – continued

### Trust beneficiaries (if applicable) – continued

#### Beneficiary 2

##### Title

Mr     Mrs     Ms     Miss

Other (please specify)  
\_\_\_\_\_

##### Surname

\_\_\_\_\_

##### Forename(s)

\_\_\_\_\_

##### Previous name(s) (if applicable)

\_\_\_\_\_

##### Date of birth

##### Place and country of birth

\_\_\_\_\_

##### Are you a US citizen?

Yes     No

##### Address

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

##### Postcode

##### Life interest trust beneficiary (if applicable)

Capital     Income

##### Percentage of benefit

Percentage     Equal share

##### Percentage of share held

\_\_\_\_\_ %

##### Nationality/dual nationality

\_\_\_\_\_

##### Do you have a National Insurance (NI) number?<sup>1</sup>

Yes     No

##### National Insurance (NI) number

##### Tax Identification Number (TIN)<sup>1</sup>

\_\_\_\_\_

<sup>1</sup> For UK individuals this will be the National Insurance (NI) number.

# Entity

## 2 Trust specific information – continued

### Trust beneficiaries (if applicable) – continued

#### Beneficiary 3

##### Title

Mr

Mrs

Ms

Miss

Other (please specify)

---

##### Surname

---

##### Forename(s)

---

##### Previous name(s) (if applicable)

---

##### Date of birth

##### Place and country of birth

---

##### Are you a US citizen?

Yes

No

##### Address

---

---

---

##### Postcode

##### Life interest trust beneficiary (if applicable)

Capital

Income

##### Percentage of benefit

Percentage

Equal share

##### Percentage of share held

---

%

##### Nationality/dual nationality

---

##### Do you have a National Insurance (NI) number?<sup>1</sup>

Yes

No

##### National Insurance (NI) number

##### Tax Identification Number (TIN)<sup>1</sup>

---

<sup>1</sup> For UK individuals this will be the National Insurance (NI) number.

# Entity

## 2 Trust specific information – continued

### Trust beneficiaries (if applicable) – continued

#### Beneficiary 4

##### Title

Mr     Mrs     Ms     Miss  
 Other (please specify)

##### Surname

##### Forename(s)

##### Previous name(s) (if applicable)

##### Date of birth

□ □ □ □ □ □ □ □ □ □

##### Place and country of birth

##### Are you a US citizen?

Yes     No

##### Address

##### Postcode

□ □ □ □ □ □ □ □ □ □

##### Life interest trust beneficiary (if applicable)

Capital     Income

##### Percentage of benefit

Percentage     Equal share

##### Percentage of share held

\_\_\_\_\_ %

##### Nationality/dual nationality

##### Do you have a National Insurance (NI) number?<sup>1</sup>

Yes     No

##### National Insurance (NI) number

□ □ □ □ □ □ □ □ □ □ □ □ □ □ □ □

##### Tax Identification Number (TIN)<sup>1</sup>

If there are additional beneficiaries please enter their details in the Client notes section.

<sup>1</sup> For UK individuals this will be the National Insurance (NI) number.





# Entity

## 4 Authorised officer information – continued

**Please complete if you are authorised to instruct Rathbones.**

Trustee/Director  
Or role (if other authorised officer)

Trustee/Director 1

Trustee  Director  
 Other (please specify)

Title

Mr  Mrs  Ms  Miss  
 Other (please specify)

Surname

Forename(s)

Previous name(s) (if applicable)

Date of birth

Tick here if this authorised officer will be providing Rathbones directly with instructions.

Place and country of birth

Are you a US citizen?

Yes  No

Nationality/dual nationality<sup>1</sup>

Do you have a National Insurance (NI) number?<sup>1</sup>

Yes  No

National Insurance (NI) number

Tax Identification Number (TIN)<sup>1</sup>

Address

Postcode

Telephone (Home)

Telephone (Office)

Mobile

Fax

Email

1

2

Employment status

Retired  Not employed  
 Part-time  Self-employed  
 Employed

Current or previous occupation

<sup>1</sup> For UK individuals this will be the National Insurance (NI) number.

# Entity

## 4 Authorised officer information – continued

Trustee/Director  
Or role (if other authorised officer)

Trustee/Director 2

Trustee  Director  
 Other (please specify)

Title

Mr  Mrs  Ms  Miss  
 Other (please specify)

Surname

Forename(s)

Previous name(s) (if applicable)

Date of birth

\_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_

Tick here if this authorised officer will be providing Rathbones directly with instructions.

Place and country of birth

Are you a US citizen?

Yes  No

Nationality/dual nationality<sup>1</sup>

Do you have a National Insurance (NI) number?<sup>1</sup>

Yes  No

National Insurance (NI) number

\_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_

Tax Identification Number (TIN)<sup>1</sup>

Address

Postcode

\_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_

Telephone (Home)

\_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_

Telephone (Office)

\_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_

Mobile

\_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_

Fax

\_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_ | \_\_\_\_

Email

1  
\_\_\_\_\_  
2  
\_\_\_\_\_

Employment status

Retired  Not employed  
 Part-time  Self-employed  
 Employed

Current or previous occupation

1 For UK individuals this will be the National Insurance (NI) number.

# Entity

## 4 Authorised officer information – continued

Trustee/Director  
Or role (if other authorised officer)

Trustee/Director 3

Trustee  Director  
 Other (please specify)

Title

Mr  Mrs  Ms  Miss  
 Other (please specify)

Surname

Forename(s)

Previous name(s) (if applicable)

Date of birth

Tick here if this authorised officer will be providing Rathbones directly with instructions.

Place and country of birth

Are you a US citizen?

Yes  No

Nationality/dual nationality<sup>1</sup>

Do you have a National Insurance (NI) number?<sup>1</sup>

Yes  No

National Insurance (NI) number

Tax Identification Number (TIN)<sup>1</sup>

Address

Postcode

Telephone (Home)

Telephone (Office)

Mobile

Fax

Email

1 \_\_\_\_\_

2 \_\_\_\_\_

Employment status

Retired  Not employed  
 Part-time  Self-employed  
 Employed

Current or previous occupation

\_\_\_\_\_

1 For UK individuals this will be the National Insurance (NI) number.









# Portfolio administration

## 7 Connected persons – continued

Please complete where appropriate for all clients.

Other connected person 1

Relationship

---

Company name (if applicable)

---

Title

Mr    Mrs    Ms    Miss

Other (please specify)

---

Surname

---

Forename(s)

---

Address

---

---

---

---

Postcode

Telephone

Email

1 

---

2 

---

Date of birth

Nationality/dual nationality

---

Do you have a National Insurance (NI) number?

Yes    No

National Insurance (NI) number

Tax Identification Number

---



# Portfolio administration

## 8 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.

### Cautious

Rathbones risk level - 2

Investment objective - growth

Annual return objective

Total return of cash + 2%

Minimum investment period - 3 years

Investor risk tolerance - relatively low

Likely exposure to shares - moderate

Expected fluctuations in value

Up to 34% of the volatility of major equity markets

Investor capacity for risk

Somewhat concerned about the possibility of losing money

Strategy invests in:

Rathbone Multi Asset Total Return Portfolio

### Balanced

Rathbones risk level - 3

Investment objective - growth

Annual return objective

Total return of inflation (CPI) + 2%

Minimum investment period - 5 years

Investor risk tolerance - medium-low

Likely exposure to shares - significant

Expected fluctuations in value

Up to 50% of the volatility of major equity markets

Investor capacity for risk

Able to tolerate a temporary or, rarely, permanent capital loss

Strategy invests in:

Rathbone Multi Asset Defensive Growth Portfolio

### Income

Rathbones risk level - 4

Investment objective - income

Annual return objective

Total return of inflation (CPI) + 3%

Minimum investment period - 5 years

Investor risk tolerance - medium-high

Likely exposure to shares - substantial

Expected fluctuations in value

Up to 67% of the volatility of major equity markets

Investor capacity for risk

Able to tolerate a temporary or, sometimes, permanent capital loss

Strategy invests in:

Rathbone Multi Asset Strategic Income Portfolio

### Balanced Plus

Rathbones risk level - 4

Investment objective - growth

Annual return objective

Total return of inflation (CPI) + 3%

Minimum investment period - 5 years

Investor risk tolerance - medium-high

Likely exposure to shares - substantial

Expected fluctuations in value

Up to 67% of the volatility of major equity markets

Investor capacity for risk

Able to tolerate a temporary or, sometimes, permanent capital loss

Strategy invests in:

Rathbone Multi Asset Strategic Growth Portfolio

### Equity

Rathbones risk level - 5

Investment objective - growth

Annual return objective

Total return of inflation (CPI) + 4%

Minimum investment period - 5 years

Investor risk tolerance - relatively high

Likely exposure to shares - high

Expected fluctuations in value

Up to 84% of the volatility of major equity markets

Investor capacity for risk

Able to cope with a temporary or permanent capital loss

Strategy invests in:

Rathbone Multi Asset Dynamic Growth Portfolio

### Equity Plus

Rathbones risk level - 6

Investment objective - growth

Annual return objective

Total return of inflation (CPI) + 5%

Minimum investment period - 5 years

Investor risk tolerance - high

Likely exposure to shares - high

Expected fluctuations in value

In excess of 100% of the volatility of major equity markets

Investor capacity for risk

Able to cope with a permanent capital loss

Strategy invests in:

Rathbone Multi Asset Enhanced Growth Portfolio

# Portfolio administration

## 9 Selecting your strategy and receipt of income

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

- Enter the amount you wish to invest (minimum initial investment of £15,000)
- 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.

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. 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.

**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 strategy

Investment £ \_\_\_\_\_  I/we wish to purchase income shares  I/we wish to receive a fixed payment of £ \_\_\_\_\_  paid monthly  or quarterly

### Balanced strategy

Investment £ \_\_\_\_\_  I/we wish to purchase income shares  I/we wish to receive a fixed payment of £ \_\_\_\_\_  paid monthly  or quarterly

### Income strategy

Investment £ \_\_\_\_\_  I/we wish to purchase income shares  I/we wish to receive a fixed payment of £ \_\_\_\_\_  paid monthly  or quarterly

### Balanced Plus strategy

Investment £ \_\_\_\_\_  I/we wish to purchase income shares  I/we wish to receive a fixed payment of £ \_\_\_\_\_  paid monthly  or quarterly

### Equity strategy

Investment £ \_\_\_\_\_  I/we wish to receive a fixed payment of £ \_\_\_\_\_  paid monthly  or quarterly

### Equity Plus strategy

Investment £ \_\_\_\_\_  I/we wish to receive a fixed payment of £ \_\_\_\_\_  paid monthly  or quarterly

# Portfolio administration

## 10 Client verification – Entity/Individual

**Please ensure that all copies provided are clearly legible. A document may not be used to satisfy more than one requirement.**

**This page does not apply to Bare Trusts except for footnote 1 below.**

The information in section 9 is required for:

- Settlers
- Beneficiaries with an entitlement of 25% or more
- Trustees
- Directors
- Instruction-giving authorised signatories
- Shareholders with a shareholding of 25% or more

Please note that a minimum of two trustees, directors or other authorised officers must sign this document for it to be valid. They must be listed in section 4 and must provide identity verification documents as per this section.

Please note that the information provided below applies to all clients and is not comprehensive.

For clients unable to provide the verification documents listed below, the MPS team will be pleased to explain alternative documents.

### 9.1 Getting your documents certified

We are required to verify the identity and address of every prospective client, both individuals and entities, by obtaining suitable certified documents. Certification may be performed either by a Rathbones staff member or a third party as follows:

#### Third party certification

If you prefer, and where we have not met you, certification can be performed by:

- 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 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.

They will need to view the original document and:

- for original photographic ID documents the certifier will need to write the following words on a copy of each document to be certified:

**“Having seen the individual and identification document, I certify that this is a true copy and the photograph is a reasonable likeness.”**

- for original documents which are non-photographic in order to verify an address, the certifier will need to write the following words on a copy of each document to be certified:

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

In both circumstances above, the certifier should then sign underneath the words they have written and also write their name, the date they signed and the name and address of the company/organisation they work for.

### 9.2 Trust/Company agreements

Please provide an original or certified copy of the following documents which are required when not all of the trustees/directors are signing the form.

- Copy of minutes appointing Rathbones as investment manager
- Copy of resolution confirming full authority of signatories to sign on behalf of the applying entity (for trusts and charitable trusts this should be signed by a quorum of trustees)
- Full list of all directors or trustees including date of birth and residential address if they are not listed earlier in this document

### 9.3 Trust agreements

Please provide an original or certified copy of the following documents. Not applicable to company agreements.

- Trust deed
- Trust investment policy statement<sup>2</sup>
- Trust accounts or latest financial statements (if applicable)
- The most recent deed of appointment and retirement

### 9.4 Company agreements

Please provide an original or certified copy of the following documents. Not applicable to trust agreements.

- Copy of certificate of incorporation
- Memorandum and articles of association.
- Latest financial statements

### 9.5 Trade union agreements

None of the above documents are required. Instead please provide the following.

- Trade union rules book

### 9.6 Charity agreements

If the charity is governed by a trust deed, please refer to section 9.3 above. If the charity is registered with Companies House, please refer to section 9.4 above.

- 1 If this agreement is for a Bare Trust and there is a trust deed available, we ask that you provide it.
- 2 Current UK legislation (the Trustee Act 2000) imposes a requirement on trustees to have in place a policy statement providing guidance to Investment Managers which we request that you provide.

## Portfolio administration

### 10 Client verification – Entity/Individual – continued

#### 9.7 Documents that verify identity

For EACH individual listed please verify their identity by providing at least ONE of the following. Either the original to be certified by Rathbones or a copy certified by a third party.

- Current passport
- Current full, or provisional, photocard driving licence<sup>1</sup>

In the event that you do not hold a passport or photocard driving licence please provide ONE of the following.

- UK HMRC tax notification or foreign equivalent<sup>2</sup>
- UK Government based correspondence or foreign equivalent duly translated using a Rathbones appointed translator<sup>3</sup>
- UK Pension book or foreign equivalent

#### 9.8 Documents that verify address

Please provide at least ONE of the following for each person listed. Either the original to be certified by Rathbones or a copy certified by a third party.

- Current full, or provisional, photocard driving licence<sup>1</sup>
- UK HMRC tax notification or foreign equivalent<sup>2</sup>
- UK Government based correspondence or foreign equivalent duly translated using a Rathbones appointed translator<sup>3</sup>
- UK Pension book or foreign equivalent
- Recent utility or council tax bill<sup>4</sup>
- Bank, building society, credit union statement/passbook (not older than 3 months)<sup>5</sup>
- Mortgage statement from recognised lender<sup>2</sup>

- 1 The paper counterpart of the photocard licence is not acceptable. Old style provisional licences are also not acceptable.
- 2 Not older than 12 months.
- 3 With relevant reference details e.g. date of birth or National Insurance number.
- 4 Utility bills must not be over 3 months old (printed online utility bills or mobile telephone bills are not acceptable). The local authority council tax bill must be for the current year.
- 5 Not older than 3 months (printed online bank statements are not acceptable).





## Portfolio administration

### 11 Your reporting preferences

We will report on your Account(s) via the Rathbone Online service, subject to a valid email address and mobile number being provided.

Your logon details will be sent to you by separate letter once your Account(s) have been opened.

#### Valuation reports:

Quarterly valuation reports will be provided in April, July, October, and January.

#### Contract notes:

Contract notes for non-periodic trading, such as your initial investment, and ad-hoc top-ups and withdrawals, will be provided on a next business day basis.

Details of any periodic transactions such as sales to meet regular payments or automatic ISA subscriptions will be included in your quarterly valuation report.

#### Annual tax report:

A tax report in respect of your Account(s) will be provided following the end of the tax year.

#### Terms of Business and other updates:

Our Terms of Business is updated from time to time to reflect changes in regulations and to provide clarity on how we administer your investments. Many clients choose to receive such updates electronically instead of printed paper copies. If you wish to receive updates in electronic format please tick the box below, otherwise we will be obliged to provide them to you in print, sent in the post.

I wish to receive updated Terms of Business and other updates electronically

#### Daily fund values:

Daily values for the Rathbone Multi Asset Portfolio (RMAP) fund(s) that your MPS strategy(ies) are invested in will be available to view online.

# Portfolio administration

## 12 Declarations and signature(s)

**If there is anything you do not understand, please contact the MPS team before you sign and return this Agreement and associated forms.**

By signing below I/we confirm the following:

### 10.1 Acceptance

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

10.2 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.

10.3 I/We consent to Rathbones' 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.

10.4 I/We acknowledge that Rathbones is not the entity's general financial adviser or pensions adviser, and any tax information provided is in the context of the investment advice and services offered. Rathbones is the principal trading company and a Subsidiary of Rathbone Brothers Plc, and is a bank.

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

10.6 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 the entity's account(s) are to be administered by Rathbones.

### 10.7 Data protection

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

- a to administer the entity's investment Portfolio and provide related services, as detailed in the Terms of Business in order to perform obligations under any contract between Rathbones and the entity;
- b as set out in Rathbones' Privacy Notice for clients, as may be amended from time to time; and
- c in order to comply with any court order, request from or referral to an appropriate authority, or legal, regulatory or good practice requirement.

Rathbones will never share the entity's data with any external organisations for any other purpose not detailed within the Terms of Business or Rathbones' Privacy Notice for Clients, as may be amended from time to time.

Where I/we provide Personal Data relating to others (e.g. other trustees, directors or officers), I/we confirm that I am/we are authorised to provide this information to Rathbones and for Rathbones to use in accordance with this Agreement.

# Portfolio administration

## 12 Declarations and signature(s) – continued

Please note that trustees/directors or other authorised officers as listed in section 4 and who have had their identity verified as per section 9 must sign this document.

Trustee/Director<sup>1</sup>

Signed

Print name

Date

□□ □□ □□□□

If there are additional signatories and signatures, please enter these in the Client notes section on page 30.

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 Money Laundering regulations 2007
- 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

Date

□□ □□ □□□□

1 Or other authorised officer as described in section 4 – Authorised officer information.



Rathbone Investment Management Limited is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority.  
Registered office: Port of Liverpool Building, Pier Head, Liverpool L3 1NW  
Registered in England number: 01448919  
VAT Registration number: GB 241 6893 49  
Copyright © 2020. Rathbone Brothers Plc. All rights reserved.

**Rathbones**  
Look forward