

# Agreement to open a stocks and shares Junior ISA for clients of the Managed Portfolio Service – Financial Advisers

## 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 (RIM) 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 (RUTM).

Neither RIM nor RUTM 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 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 that your Account(s) are open and have provided you with your Account number(s). You 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.

### You can open a Junior ISA if the Eligible Child:

- is under the age of 18;
- is currently a UK resident;
- does not have a Child Trust Fund elsewhere;
- does not have a stocks and shares Junior ISA elsewhere.

You will be the Registered Contact for the Fund and the Eligible Child will be the beneficial owner.

This form can be used to open two Junior ISAs providing that the Registered Contact is the same for both.

## 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

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Postcode

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

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

**Rathbones**  
Look forward

# 1 Personal information

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

## 1.1 Registered contact

To identify you as an existing client we require some information from you.

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

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

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

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

**Date of birth**  
 | | | |   | | | |   | | | | | |

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

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

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

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

**Postcode**  
 | | | | | |   | | | |

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

## Tax identification number

**Do you have a National Insurance (NI) number?**  
 Yes     No

**National Insurance (NI) number**  
 | | | |   | | | | | | | | | |   |

**Tax Identification Number (TIN)**  
 \_\_\_\_\_

**Telephone (Home)**  
 | | | | | | | | | | | | | | | | | | | |

**Mobile**  
 | | | | | | | | | | | | | | | | | | | |

**Fax**  
 | | | | | | | | | | | | | | | | | | | |

**Email**  
 \_\_\_\_\_

# 1 Personal information – continued

## 1.2 Eligible child 1

Please provide details of the Eligible Child for whom you are opening a Junior ISA.

Please confirm your relationship to the Eligible Child

Parent  Guardian

Title

Master  Miss

Surname

\_\_\_\_\_

Forename(s)

\_\_\_\_\_

Previous name(s)

\_\_\_\_\_

Date of birth

Place and country of birth

\_\_\_\_\_

Permanent residential address  
(if different from that of the Registered Contact)

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

Postcode

Nationality/dual nationality

\_\_\_\_\_

Country of domicile

\_\_\_\_\_

Tax identification number

Does the Eligible Child have a National Insurance (NI) number?

Yes  No

National Insurance (NI) number

Tax Identification Number (TIN)

\_\_\_\_\_

If you are opening a Junior ISA to receive a transfer from a Child Trust Fund please tick the box and provide the child's unique Child Trust Fund reference number in the NI field above.

## 1.3 Eligible child 2

If you would like to open a Junior ISA for a second Eligible Child, please provide details below.

Please confirm your relationship to the Eligible Child

Parent  Guardian

Title

Master  Miss

Surname

\_\_\_\_\_

Forename(s)

\_\_\_\_\_

Previous name(s)

\_\_\_\_\_

Date of birth

Place and country of birth

\_\_\_\_\_

Permanent residential address  
(if different from that of the Registered Contact)

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

Postcode

Nationality/dual nationality

\_\_\_\_\_

Country of domicile

\_\_\_\_\_

Tax identification number

Does the Eligible Child have a National Insurance (NI) number?

Yes  No

National Insurance (NI) number

Tax Identification Number (TIN)

\_\_\_\_\_

If you are opening a Junior ISA to receive a transfer from a Child Trust Fund please tick the box and provide the child's unique Child Trust Fund reference number in the NI field above.

## 2 Selecting the strategy and receipt of income

Risk profiles and investment objectives for the six MPS strategies are provided below to help you select the strategy(ies) closest to your objectives. 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 RMAP funds.

### How income will be received

How you receive income will depend on whether you purchase Accumulation or Income shares in the RMAP funds.

- If you select Accumulation shares, income is reinvested into the Fund and is reflected in the share price so there is no payment to be made.
- If you select Income shares, income is retained or reinvested for each client in this Agreement.

Please note that the Equity and Equity Plus strategies only offer Accumulation shares in the RMAP funds.

**For each account you wish to open please provide the value of the investment, and the subscription year for any Junior ISA.**

**If you wish to purchase Income shares, please tick the box for each account required. If you do not tick the box, we will purchase Accumulation shares for you.**

**Please note that if you invest in either the Balanced or Equity strategies we may need to periodically rebalance your Portfolio to maintain the risk profile you have chosen.**

### Cautious strategy

#### Rathbones risk profile 2/6

This strategy is applicable where the investor has a relatively low risk tolerance. We expect reasonable fluctuations in value, but at a lower level than for major equity markets. Investors are probably concerned about the possibility of losing money and this strategy can be suitable for investors with a shorter time horizon.



#### Investment:

This strategy is 100% invested in the RMAP Total Return fund. The fund has a target total return in excess of 2% above sterling six month LIBOR over a minimum three years, and a target risk level of one third the volatility of global equities as measured by the MSCI World Equity index.

	Junior ISA eligible child 1	Junior ISA eligible child 2
Investment	£ <input type="text"/>	£ <input type="text"/>
I/We wish to purchase Income shares	<input type="checkbox"/>	<input type="checkbox"/>
Subscription date	20 <input type="text"/> /20 <input type="text"/>	20 <input type="text"/> /20 <input type="text"/>

### Balanced strategy

#### Rathbones risk profile 3/6

This strategy is applicable where the investor has a medium risk tolerance. We expect fluctuations in the value of the investments and expect these to reflect most of the performance of major equity markets. The strategy may therefore include a substantial exposure to shares, and can be suitable for investors with a medium time horizon who can tolerate a temporary or, rarely, permanent capital loss.



#### Investment:

This strategy is invested in a combination of the RMAP Total Return fund and the RMAP Strategic Growth fund. The strategy therefore has a combined target total return of 2% above the Consumer Price Index (CPI) over a minimum five years, and a combined target risk level of one half of the volatility of global equities as measured by the MSCI World Equity index.

	Junior ISA eligible child 1	Junior ISA eligible child 2
Investment	£ <input type="text"/>	£ <input type="text"/>
I/We wish to purchase Income shares	<input type="checkbox"/>	<input type="checkbox"/>
Subscription date	20 <input type="text"/> /20 <input type="text"/>	20 <input type="text"/> /20 <input type="text"/>

Balanced Plus strategy

Rathbones risk profile 4/6

This strategy is applicable where the investor has a medium risk tolerance. We expect fluctuations in the value of the investments and expect these to reflect much of the performance of major equity markets. The strategy may therefore include a significant exposure to shares, and can be suitable for investors with a medium time horizon and who can tolerate a temporary or, sometimes, permanent capital loss.



Investment:

This strategy is 100% invested in the RMAP Strategic Growth fund. The Fund has a target total return of between 3% and 5% above the Consumer Price Index (CPI) over a minimum of five years, and a target risk level of two thirds of the volatility of global equities as measured by the MSCI World Equity index.

	Junior ISA eligible child 1	Junior ISA eligible child 2
Investment	£ <input type="text"/>	£ <input type="text"/>
I/We wish to purchase Income shares	<input type="checkbox"/>	<input type="checkbox"/>
Subscription date	20 /20	20 /20

Income strategy

Rathbones risk profile 4/6

This strategy is applicable where the investor has a medium risk tolerance. We expect fluctuations in the value of the investments and expect these to reflect much of the performance of major equity markets.



The strategy may therefore include a significant exposure to shares, with a bias towards income producing assets, and can be suitable for investors with a medium time horizon who can tolerate a temporary or, sometimes, permanent capital loss.

Investment:

This strategy is 100% invested in the RMAP Strategic Income fund. The Fund has a target total return of between 3% and 5% above the Consumer Price Index (CPI) over a minimum five years, and a target risk level of two thirds of the volatility of global equities as measured by the MSCI World Equity index.

	Junior ISA eligible child 1	Junior ISA eligible child 2
Investment	£ <input type="text"/>	£ <input type="text"/>
I/We wish to purchase Income shares	<input type="checkbox"/>	<input type="checkbox"/>
Subscription date	20 /20	20 /20

Equity strategy

Rathbones risk profile 5/6

This strategy is applicable where the investor has a relatively high risk tolerance. We expect the value of the investments to fluctuate significantly, usually reflecting the behaviour of equity markets. The strategy will likely have a high exposure to shares and may incorporate relatively high risk investments, and can be suitable for investors with a longer time horizon and the capacity to suffer a temporary or permanent capital loss.



Investment:

This strategy is invested in a combination of the RMAP Strategic Growth fund and the RMAP Enhanced Growth fund. The strategy therefore has a combined target total return of between 4% and 5+% above the Consumer Price Index (CPI) over a minimum five years, and a combined target risk level of five sixths of the volatility of global equities as measured by the MSCI World Equity index.

	Junior ISA eligible child 1	Junior ISA eligible child 2
Investment	£ <input type="text"/>	£ <input type="text"/>
Subscription date	20 /20	20 /20

Equity Plus strategy

Rathbones risk profile 6/6

This strategy is applicable where the investor has a high risk tolerance. We expect the value of the investments to fluctuate significantly and that this could more than reflect the volatility of equity markets. The strategy will likely have a higher exposure to shares and other high risk investments, and can be suitable for investors with a longer time horizon and who have the capacity to suffer a permanent capital loss.



Investment:

This strategy is 100% invested in the RMAP Enhanced Growth fund. The fund has a target total return of 5+% above the Consumer Price Index (CPI) over a minimum five years, and a target risk level equal to the volatility of global equities as measured by the MSCI World Equity index.

	Junior ISA eligible child 1	Junior ISA eligible child 2
Investment	£ <input type="text"/>	£ <input type="text"/>
Subscription date	20 /20	20 /20

## 3 Junior ISA/child trust fund transfer request

### Please complete if applicable.

Please note that to effect any transfer request you will need to complete the separate Junior Individual Savings Account/Child Trust Fund Transfer Authority form for each Junior ISA you intend to transfer. These are available from your Investment Manager.

#### 3.1 Junior ISA transfer request for eligible child 1

I authorise you to transfer the existing Junior ISA and to receive from the previous ISA manager any cash or investments.

#### 3.2 Junior ISA transfer request for eligible child 2

I authorise you to transfer the existing Junior ISA and to receive from the previous ISA manager any cash or investments.

### If you are transferring a Child Trust Fund please complete section(s) 3.3 to 3.4 as appropriate

#### 3.3 Child trust fund transfer request for eligible child 1

I authorise you to transfer the existing Child Trust Fund and to receive from the previous Child Trust Fund Manager any cash or investments.

#### 3.4 Child trust fund transfer request for eligible child 2

I authorise you to transfer the existing Child Trust Fund and to receive from the previous Child Trust Fund Manager any cash or investments.

Where you are transferring a Child Trust Fund please note that the following stakeholder Child Trust Fund features may not be included in a Junior ISA.

- Lifestyling from age 15
- Minimum subscription of £10 allowed
- Annual charge cap of 1.5%

If you are transferring a Stakeholder Child Trust Fund please tick this box to confirm you understand this and are happy to proceed.



## 5 Verifying identity

### Please ensure that all copies provided are clearly legible.

The information provided below applies to UK clients only. If you are unable to provide the documents listed below, your MPS team will be pleased to help.

#### 5.1 Documents that verify identity

Please provide ONE of the following for registered contact.

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

If you do not hold either of these documents, please provide ONE of the following.

- UK HMRC tax notification or foreign equivalent (not older than 12 months)
- UK Government based correspondence or foreign equivalent duly translated using a Rathbones appointed translator<sup>2</sup>
- UK Pension book or foreign equivalent

#### 5.2 Documents that verify address

Please provide ONE of the following for registered contact.

- Current full, or provisional, photocard driving licence<sup>1</sup>
- UK HMRC tax notification or foreign equivalent (not older than 12 months)
- UK Government based correspondence or foreign equivalent, duly translated using a Rathbones appointed translator<sup>2</sup>
- UK Pension book or foreign equivalent
- Recent utility or council tax bill<sup>3</sup>
- Bank, building society, credit union statement/passbook (not older than 3 months)<sup>4</sup>
- Mortgage statement from recognised lender (not older than 12 months)

#### 5.3 Your Financial Adviser

We will require:

- A copy of your Financial Adviser's introductory certificate
- A certified copy of your Financial Adviser's Anti Money Laundering Verification documentation

#### 5.4 Verification requirements

Identity and address verification will have been carried out for you when you opened your own Fund(s) where applicable. However, we also require identity verification for the Eligible Child as beneficial owner of the assets in the Junior ISA, which can be achieved by providing suitable certified documents.

Please provide at least ONE of the following for each Eligible Child for whom you are opening a Junior ISA. The original should be certified by your financial adviser or a copy certified by a third party.

- Current passport
- Birth certificate

- 1 The paper counterpart of the photocard licence is not acceptable.
- 2 With relevant references e.g. date of birth or National Insurance number.
- 3 Utility bills must be over 3 months old (printed online utility bills or mobile telephone bills are not acceptable).
- 4 Local authority council tax bills must be for the current year and not older than 3 months (printed online bank statements are not acceptable).

#### 5.5 Getting your documents certified

Certification may be performed either by your financial adviser 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 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 not 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.



## 6 Eligible child verification

**Please answer EVERY question in this section for all clients and Connected Persons who you would like to instruct us on your behalf. We are unable to open your Account(s) without the following information and may require you to provide evidence.**

### 6.1 Eligible child 1

How did the eligible child obtain the funds that are coming to Rathbones?

- Savings or proceeds from investments
- Other (please specify) e.g. inheritance, company profits, company sale, divorce settlement, gift, court order

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How has the eligible child obtained their overall wealth?

- Savings or proceeds from investments
- Other (please specify) e.g. inheritance, company profits, company sale, divorce settlement, gift, court order

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Is the eligible child related to, a political figure, judicial or military official, or senior executive of a state-owned organisation?

- Yes       No

If yes, please provide details of who and to what extent

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### 6.2 Eligible child 2

How did the eligible child obtain the funds that are coming to Rathbones?

- Savings or proceeds from investments
- Other (please specify) e.g. inheritance, company profits, company sale, divorce settlement, gift, court order

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How has the eligible child obtained their overall wealth?

- Savings or proceeds from investments
- Other (please specify) e.g. inheritance, company profits, company sale, divorce settlement, gift, court order

---



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Is the eligible child related to, a political figure, judicial or military official, or senior executive of a state-owned organisation?

- Yes       No

If yes, please provide details of who and to what extent

---



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## 7 Declarations and authority

**Please read the declarations below which apply to you, the Registered Contact, before signing. The declarations cover each Eligible Child listed in the document, for whom a Junior ISA is being opened.**

By signing below I confirm the following:

### 7.1 Acceptance

I have received the documents making up the Rathbone Investment Management Limited Agreement as described on page 1 of this document.

7.2 I 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.

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

7.4 I acknowledge that Rathbone Investment Management Limited is not my general financial adviser or pensions adviser, and any tax information provided is in the context of the investment advice and services offered. Rathbone Investment Management Limited is the principal trading company and a Subsidiary of Rathbone Brothers Plc, and is a bank.

7.5 I have read all of this Client Agreement and I confirm that I have provided full and accurate information on the Eligible Child's personal and financial circumstances in order that you may manage or advise on the investments accordingly. I understand the service that is being provided and that Rathbone Investment Management Limited may decline to act on my behalf in the event that the information provided is incomplete.

7.6 I confirm I am aware of the cancellation or withdrawal rights referred to in the Terms of Business (Our Agreement and our services, under the subheadings Cancellation rights and Withdrawal rights) under which the Junior ISA is to be managed by Rathbone Investment Management Limited.

### 7.7 Data protection

I acknowledge that Rathbone Investment Management Limited will process my/our Personal Data (as defined in the Terms of Business):

- a to manage and/or advise on my/our investment Portfolio and provide related services, as detailed in the Terms of Business in order to perform obligations under any contract between Rathbone Investment Management Limited and me/us;
- 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.

Rathbone 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 for Clients, as may be amended from time to time.

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.

7.8 a I declare that:

- i I am 16 years of age or over.
- ii I have parental responsibility for the Eligible Child.
- iii I will be the Registered Contact for the Junior ISA.
- iv This application is to open a stocks and shares Junior ISA.
- v The Eligible Child will be the beneficial owner of the investments held in the Junior ISA.
- vi The Eligible Child is resident in the United Kingdom for tax purposes or, if not so resident, either performs duties which, by virtue of section 28 of the Income Tax (Earnings and Pensions) Act 2003 (Crown Employees serving overseas), are treated as being performed in the United Kingdom, or is a dependant of a UK crown servant, or is married to/in a civil partnership with a person who performs such duties.
- vii The Eligible Child does not have a Child Trust Fund elsewhere.
- viii I have not subscribed and will not subscribe to another stocks and shares Junior ISA for this Eligible Child.
- ix I am not aware that the Eligible Child has another stocks and shares Junior ISA.
- x I am not aware of other Junior ISA subscriptions that will result in the Eligible Child exceeding the annual limit.
- xi I will not knowingly make subscriptions to Junior ISAs for this Eligible Child that will result in the subscription limit being exceeded.
- xii The personal details provided to Rathbones and the information given above are to the best of my belief correct and I undertake to notify Rathbone Investment Management Limited promptly of any changes to these particulars.

- b I understand that the value of investments in this Junior ISA may go down as well as up and the tax regime applicable to Junior ISAs can change in the future.
- c I acknowledge and agree to be bound by the terms of the Rathbone Investment Management Limited Terms of Business which will apply to this Junior ISA.
- d I authorise Rathbone Investment Management Limited, as ISA Manager, to hold cash subscriptions, Junior ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash and to make on the Eligible Child's behalf any claims to relief from tax in respect of Junior ISA investments.
- e I understand that I have the right to cancel or withdraw from a Junior ISA subscription or Junior ISA Transfer Request in accordance with the additional Terms of Business for Junior ISAs under which the Fund will be managed.

## 7 Declarations and authority – continued

### Our reporting to you

We will provide reporting on your Account(s) via the Rathbone Online service, and in soft copy providing a valid email is provided.

You will be provided with logon details for the Rathbone Online service by separate letter once your Account(s) have been opened.

#### Valuation reports:

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

#### Annual tax report:

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

#### 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.

#### Contract notes:

Details of all contract notes in respect of any purchase or sale of units in the RMAP funds are included in your online or printed valuations, and as such will not be provided by default.

Should you specifically require contract notes to be sent to you on a next business day basis, please tick here.

Where more than one client has signed this Agreement to open more than one Fund with us, we may consolidate these Funds for reporting and administration purposes. Each client may be provided with reports in relation to all Funds.

Periodic reports are available to clients notified to us in the Agreement or separately in writing. We will provide periodic reports in printed format and/or online, subject to additional terms of business for online access. Where Funds have been consolidated for reporting purposes, we will ordinarily provide copies of reports relating to all Funds to the first named person(s). We may provide reports to any person(s) named in this Agreement from time to time upon request.

If you do not want all of your Funds to be consolidated for the purposes of asset allocation and reporting, please tick the box below, and where relevant provide details of any specific requirements.

No – do not consolidate all the Funds in this Agreement for the purpose of reporting and administration.

### 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.**

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

### Client to complete.

#### Registered contact

Signed

\_\_\_\_\_

Date

|    |

### 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

|    |

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  
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**Rathbones**  
Look forward