

Delegated authority - LED Managed Portfolio Service

The purpose of this form is to authorise a person, the 'delegate' as detailed in section 2, to act on your behalf as a delegated authority.

Details of what a delegated authority can be authorised to do are set out in section 1.3.

If your mental capacity becomes impaired, then this delegation of authority will cease. For the delegate to continue to act, a Power of Attorney will be required, duly registered with the Office of the Public Guardian.

Rathbones Investment Management Limited (herein referred to as "Rathbones") does not encourage its clients to grant delegated authority to third parties. The granting of authority reduces the high level of security which we maintain for the protection of client assets. If you are in any doubt about the implications of granting delegated authority please seek legal advice before signing this document.

Please ensure that all sections of this form are completed. You should complete section 1 and provide the delegate's details in section 2. The delegate should sign section 5 and you should sign section 6.

Rathbones will process any personal data as set out in our privacy notice which can be found at rathbones.com/privacy.

Please note that if the delegate wishes to use our online services they must provide their email address and mobile phone number when requested in this form.

Under the current regulations for the prevention of money laundering and financial crime, Rathbones has the responsibility to identify and to verify the identity of the delegate. To confirm identity we must obtain certain documentation. Further information regarding identity and residency verification has been provided in section 3 of this form.

In addition we will complete an electronic verification search. The electronic search is not a credit search and the search company will only record the fact that we have requested an identification check for the delegate.

Client name

Delegate name

For the attention of

The LED Managed Portfolio Service Team

at Rathbones

1 Client details and instructions

Please complete the following information.

1.1 Client details

Client name

Client address

Country

Postcode

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

1.2 Reason delegation of authority is required

Please confirm the reason(s) why are you choosing to delegate authority. Please specify below e.g. you are going into hospital

1.3 Level of delegated authority

Please note: This delegated authority does not include authority to:

- change the service level
- open new Account(s)
- agree to subscribe or resume subscription to an ISA.

I/We wish to authorise the person detailed in section 2 to act on my/our behalf on the following basis as indicated below

I/We authorise you to accept their instructions with regard to undertaking transactions within the Account(s) and to authorise payments to my/our existing bank account.

2 Delegate details – continued

2.2 Delegate reporting preferences

If you wish for your delegate to receive regular reporting, in addition to the reporting received by you please indicate your preferences below.

To receive online reporting an email address and mobile phone number are required.

Online access <input type="checkbox"/>	Online service valuations <input type="checkbox"/>
--	--

2.3 Delegate's association with public office

Please confirm whether the delegate holds one of the public offices, or similar listed or is a family member or a close associate of a person who holds one of the public offices listed.

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 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.

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 any of the above boxes have been ticked please provide details of the person who holds public office.

The delegate does not hold public office and is not a family member or close associate of a person who holds one of the public offices listed above.

Name

Position

Organisation

Country

Relationship

1 If additional space is required please continue in section 5 of this form.

3 Delegate's identity and residency verification

Please provide the appropriate identity verification documents for the delegate.

3.1 Identity verification

Please provide a photograph or scanned copy of ONE of the following for the delegate. In addition to this, we require a photograph of the identification document next to the delegate's face.

- 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 the delegate is 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 three 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

3.2 Residency verification

If the delegate has recorded any personal detail which is:

- outside of the UK or
- the delegate is, or is associated with or connected to, public office please also provide ONE copy of the following, either as a photograph or scanned copy.

All documentation should be no older than three 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.

5 Delegate declarations and signature

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

- 5.1 I confirm that I have provided full, accurate and up-to-date information on my identity, personal and any other information supplied.
- 5.2 I agree to let Rathbones know if any of the information I have provided changes.
- 5.3 I enclose copy identity and residency verification documentation as per section 3 of this form.
- 5.4 I understand that Rathbones reserve the right at any time not to accept my instruction and to revert to the client for clarification of any instructions.

5.5 Data protection

I acknowledge that Rathbones will process my personal Data (as defined in the Terms of Business):

- a in order to administer the investment Portfolio(s) and provide related services, as detailed in the Terms of Business and to perform obligations under any contract between Rathbones and the client
- b as set out in Rathbones' privacy notice which can be found at rathbones.com/privacy
- 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 my data with any external organisations for any other purpose not detailed within the Terms of Business or Rathbones' privacy notice which can be found at rathbones.com/privacy
- d where I provide Personal Data relating to others (e.g. the client), I confirm that I am authorised to provide this information to Rathbones and for Rathbones to use in accordance with the Agreement.

5.6 Service updates

From time to time Rathbones may provide me, in electronic format, communications and updates with regard to the services provided, where it is essential for the provision of those services under the Agreement.

5.7 Marketing

From time to time Rathbones may wish to communicate with me with regards to services which are similar or related services to its core investment services. If I do not wish to receive these communications, I will advise the MPS team in writing. Rathbones will never transfer my or the client's Personal Data to any external organisation for marketing purposes.

Signed (delegate)

Print name

Date

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

Please ensure identity and residency verification documentation is provided as per section 3.

6 Client declaration and signature

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

If you are in any doubt about the implications of granting delegated authority please seek legal advice before signing this document.

By signing the following I/we acknowledge:

- 6.1 that I/we have provided full, accurate and up-to-date information. I/we agree to let Rathbones know if any of the information I/ we have provided changes
- 6.2 that it is my/our responsibility to ensure that any person to whom I/we give delegated authority acts solely in my/our interest
- 6.3 Rathbones cannot be held responsible for the actions of a delegated authority if instructions are subsequently deemed to be inappropriate
- 6.4 it is my/our responsibility to ensure that the delegated authority has sufficient understanding and knowledge of investments and of my/our circumstances and preferences to make these decisions on my/our behalf
- 6.5 Rathbones reserve the right at any time not to accept the delegate's instruction and to revert to me/us for clarification of any instructions
- 6.6 the delegation of authority does not remove my/our responsibilities under section 6, headed General terms, in the LED Managed Portfolio Service Terms of Business to ensure the accuracy of transactions that are carried out on my/our Account(s) and the monitoring of actions undertaken on my/our behalf
- 6.7 that I/we should advise Rathbones in writing of any change in my/our circumstances or the removal of a delegated authority
- 6.8 this delegated authority is subject to the Rathbones Terms of Business and in particular I/we have read and agree to clause 6.8 of the LED Managed Portfolio Service Terms of Business.

Signed (client)

Print name

Date

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

Signed (client)

Print name

Date

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