

Rathbones
Look forward

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

Legal Entity Identifier (LEI) new client instruction form

– continued

Trusts and charities only.
Please note, only one signatory is required if this meets your trust's or charity's mandate.

1.5 Decision maker 1

Full name

Position within the entity

Address

Postcode

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

Telephone

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

Email

Please only complete sections 1.6 and 1.8 if your entity requires you to provide more than one authorising signature.

1.6 Decision maker 2

Full name

Position within the entity

Address

Postcode

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

Telephone

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

Email

1.7 Signed

Decision maker 1:

Date

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

1.8 Signed

Decision maker 2:

Date

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

1.9 The legal formation address¹ of the entity is

Postcode

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

1.10 The headquarters address² of the entity is (if different from the legal formation address)

Postcode

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

1 This is the address where the entity was registered. In the case of a family trust, this is the home address of the lead trustee.
2 The place of business.

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

Legal Entity Identifier (LEI) new client instruction form

– continued

The purpose of collecting the following information is to confirm whether your entity is owned by a larger company or organisation. Referred to as a 'parent' these companies or organisations will own at least 50% of your entity and will therefore prepare consolidated financial statements for it. These parents are then further classified as being either 'direct' or 'ultimate'. Direct parents are the closest fully consolidating parent to your entity with ultimate parents being the most distant. With this in mind, please answer the following questions:

1.11 Does your entity have a direct or ultimate parent?

☐ Yes

☐ No

If you answered no, please select one of the following reasons:

- ☐ 1. No company or organisation controls your entity, it is subject to collective ownership (e.g. a diversified shareholding or trust).
- ☐ 2. Your entity is owned and controlled by an individual, not a company or organisation.
- ☐ 3. Your entity is controlled by a company or organisation which owns less than 50% of it and does not therefore prepare consolidated financial statements on your behalf.

If you selected yes, we will contact you with further instructions on how to proceed with your application.

Please note, the vast majority of trusts will not have a direct or ultimate parent. If this applies to your trust, tick no and select box one or two as justification.

Pension funds only.

If you have authorised Rathbones to apply for your LEI please complete this section of the form.

1.12 Pension Scheme Tax Reference (PSTR) number

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

Please also attach a screen shot of your pension fund, taken from the HMRC website, which shows your PSTR number and the name of your pension scheme. This document is required by the London Stock Exchange to validate your LEI application.

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 © 2018. Rathbone Brothers Plc. All rights reserved.

Rathbones
Look forward