

1.1 Entity name

RIM CP 042 LEI NEW CLIENT - CR522 - 11-18 28588 453574

LEIs are issued by the London Stock Exchange (LSE), and can either be obtained by going to them direct or delegating this application process to Rathbones or an appropriate third party. Should you elect to authorise Rathbones to complete this process for you, or you choose to transfer authority for the maintenance of an existing LEI to Rathbones, this form will be uploaded to LSE to support your application. It is therefore important that you complete all sections as thoroughly as possible.

Please start by selecting one of the following 3 options (1.2, 1.3 or 1.4) to confirm how you intend to register for an LEI.

- 1.2 As the principal decision maker(s) of the above named entity, I/we authorise Rathbone Investment Management Limited of Port of Liverpool Building, Pier Head, Liverpool L3 1NW to act on behalf of the entity in all matters pertaining to the administration of LEI registration and maintenance. This extends to:
 - Initial LEI registration with the London Stock Exchange;
 - Notifying the London Stock Exchange of any relevant changes that occur to the particulars of the Fund;
 - All other necessary administrative measures relating to the maintenance of the LEI.

No

Yes

Please note, depending on the fee structure applied to your Fund, this application service will either cost £50 + VAT or be included as part of your management fee.

1.3 T	he en	tity I/v	we rep	resent alı	eady h	olds tł	ne foll	owing	g LEI
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OR:									
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regist not as alrea	tered sk Ra dy po	for m thbon ssess	ore the les to a es one	tant tha an one Li pply for or you h y to appl	El. Thei an LEI ave alr	refore if you eady i	pleas r enti nstru	se do ty	an



For internal use only Internal reference

Investment management service

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.	1.7 Signed Decision maker 1: Date
1.5 Decision maker 1 Full name	
Position within the entity	1.8 Signed Decision maker 2:
Address	Date
	1.9 The legal formation address ¹ of the entity is
Postcode	
Telephone	
Email	Postcode
Please only complete sections 1.6 and 1.8 if your entity requires you to provide more than one authorising signature.	1.10 The headquarters address ² of the entity is (if different from the legal formation address)
1.6 Decision maker 2 Full name	
Position within the entity	Postcode
Address	
	 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. The place of business.
Postcode	
Telephone	
Email	

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 D	oes your	entity	have a	direct	or ulti	mate parent?
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Yes

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

No

 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

1				

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.

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