

Managed Portfolio Service

Policy holder information form for trusts, charities, companies and similar entity clients of the Managed Portfolio Service

For policy holders

Welcome to Rathbones Managed Portfolio Service

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 provider's instructions, with regard to your selected strategy.

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
 - European Consumer Credit Information

The policy holder is 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 and operating your MPS accounts
- 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 33 of this Agreement
- Confirming that Rathbones can manage your bond on your behalf

Your provider is responsible for:

- Confirming that Rathbones can manage the bond on your behalf
- Completing and signing the declaration on page 34 of this Agreement
- Transferring funds to your MPS account for investment on creation of your policy

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, 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

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Policy holder

1 Policy holder correspondence information

Please complete in black ink and block capitals.

Name of policy holder¹

Address²

Postcode

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

Correspondence or business address
(if different from above)

Postcode

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

Primary contact

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.

Policy holder

2 Trust specific information

Complete for trusts or similar entities.

Type of trust

- Discretionary
- Accumulation and maintenance
- Life interest
- Other*
- Bare trust

*Details of other (if appropriate)

Purpose of trust

Please describe why the trust has been created (e.g. to provide income to fund scholarships).

Financial year end

D	D	M	M
---	---	---	---

Pension Scheme Tax Reference (PSTR) (if applicable)

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

Description of the trust's investment powers

Client classification

We are required to classify clients into categories. Please tick the box of any of the statements below that apply to the trust.

If you tick two or more of the boxes, please contact your Investment Manager as you may need different paperwork and an explanation of the effect of a new classification and the options available to you.

- The trust has turnover (e.g. income) of greater than EUR 40 million¹
- The trust has total assets (e.g. all assets including property) of greater than EUR 20 million¹
- The trust has own funds (e.g. trust assets after liabilities) of greater than EUR 2 million¹

¹ If you are unsure of the exchange rate, please consult your Investment Manager.

Policy holder

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)

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

Are you a US citizen?

Yes No

Tax residence

Tax Identification Number (TIN)¹

Additional countries of tax residence

Tax residence

Tax Identification Number (TIN)¹

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

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

Policy holder

2 Trust specific information – continued

Trust settlor – continued

Settlor 2

Title

Mr
 Mrs
 Ms
 Miss
 Other (please specify)

Surname

Forename(s)

Previous name(s)

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

Are you a US citizen?

Yes
 No

Tax residence

Tax Identification Number (TIN)¹

Additional countries of tax residence

Tax residence

Tax Identification Number (TIN)¹

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

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

Policy holder

2 Trust specific information – continued

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

Address

Postcode

Email

1

2

Life interest trust beneficiary (if applicable)

Capital

Income

Percentage of benefit

Percentage

Equal share

Percentage of share held

%

If you are the beneficiary of a Bare Trust please complete the following questions

Details of your nationality/dual nationality

Passport number

Country of issue

Expiry date

Tax identification number

If you are British this will be your National Insurance (NI) number. If you are non-British or have dual nationality (including British) your Investment Manager will advise what is required.

Do you have a National Insurance (NI) number?

Yes

No

National Insurance (NI) number

If no, please explain why you are exempt.¹

Tax Identification Number (TIN) (where applicable)^{1,2}

Country of origin¹

1 Only complete if opening a Bare Trust.

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

Policy holder

2 Trust specific information – continued

Trust beneficiaries (if applicable)

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

Address

Postcode

Email

1 _____

2 _____

Life interest trust beneficiary (if applicable)

Capital
 Income

Percentage of benefit

Percentage
 Equal share

Percentage of share held

_____ %

If you are the beneficiary of a Bare Trust please complete the following questions

Details of your nationality/dual nationality

Passport number

Country of issue

Expiry date

Tax identification number

If you are British this will be your National Insurance (NI) number. If you are non-British or have dual nationality (including British) your Investment Manager will advise what is required.

Do you have a National Insurance (NI) number?

Yes
 No

National Insurance (NI) number

If no, please explain why you are exempt.¹

Tax Identification Number (TIN) (where applicable)^{1,2}

Country of origin¹

¹ Only complete if opening a Bare Trust.

² For UK individuals this will be the National Insurance (NI) number.

Policy holder

2 Trust specific information – continued

Trust beneficiaries (if applicable)

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

Address

Postcode

Email

1

2

Life interest trust beneficiary (if applicable)

Capital

Income

Percentage of benefit

Percentage

Equal share

Percentage of share held

%

If you are the beneficiary of a Bare Trust please complete the following questions

Details of your nationality/dual nationality

Passport number

Country of issue

Expiry date

Tax identification number

If you are British this will be your National Insurance (NI) number. If you are non-British or have dual nationality (including British) your Investment Manager will advise what is required.

Do you have a National Insurance (NI) number?

Yes

No

National Insurance (NI) number

If no, please explain why you are exempt.¹

Tax Identification Number (TIN) (where applicable)^{1,2}

Country of origin¹

¹ Only complete if opening a Bare Trust.

² For UK individuals this will be the National Insurance (NI) number.

Policy holder

2 Trust specific information – continued

Trust beneficiaries (if applicable)

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

Address

Postcode

Email

1 _____
2 _____

Life interest trust beneficiary (if applicable)

Capital
 Income

Percentage of benefit

Percentage
 Equal share

Percentage of share held

_____ %

If you are the beneficiary of a Bare Trust please complete the following questions

Details of your nationality/dual nationality

Passport number

Country of issue

Expiry date

Tax identification number

If you are British this will be your National Insurance (NI) number. If you are non-British or have dual nationality (including British) your Investment Manager will advise what is required.

Do you have a National Insurance (NI) number?

Yes
 No

National Insurance (NI) number

If no, please explain why you are exempt.¹

Tax Identification Number (TIN) (where applicable)^{1,2}

Country of origin¹

¹ Only complete if opening a Bare Trust.

² For UK individuals this will be the National Insurance (NI) number.

Policy holder

4 Authorised officer information

Please complete.

In this section please enter the details of entities and officers who need to be identified as being associated with this Agreement either as corporate trustees, trustees, directors or other authorised officers. It is essential that anyone who is to provide instructions to Rathbones or have signatory authority for the Fund is listed here.

Corporate trustee/director 1 (if applicable)

Company registration number

Company name

Address

Postcode

Telephone

Corporate trustee/director 2 (if applicable)

Company registration number

Company name

Address

Postcode

Telephone

Please note that the corporate trustee/director entity will need to have its identity verified as described in section 8.7. Furthermore, all appropriate corporate trustees/directors should be listed overleaf and will need to have their identity verified.

Policy holder

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

Place and country of birth

Passport number¹

Country of issue¹

Expiry date¹

Tax identification number

If you are British this will be your National Insurance (NI) number. If you are non-British or have dual nationality (including British) your Investment Manager will advise what is required.

Do you have a National Insurance (NI) number?

Yes No

National Insurance (NI) number

If no, please explain why you are exempt.¹

Tax Identification Number (TIN) (where applicable)¹

Country of origin¹

Address

Postcode

Telephone (Home)

Telephone (Office)

Mobile

Fax

¹ Only complete if opening a Bare Trust.

Policy holder

4 Authorised officer information – continued

Email

1 _____

2 _____

Employment status

Retired Not employed

Part-time Self-employed

Employed

Current or previous occupation

Additional countries of tax residence

Tax residence

Tax Identification Number (TIN)¹

Tax residence

Tax Identification Number (TIN)¹

¹ Only complete if opening a Bare Trust.

Policy holder

4 Authorised officer information – continued

Please complete if you are authorised to instruct Rathbones.

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

Place and country of birth

Passport number¹

Country of issue¹

Expiry date¹

Tax identification number

If you are British this will be your National Insurance (NI) number. If you are non-British or have dual nationality (including British) your Investment Manager will advise what is required.

Do you have a National Insurance (NI) number?

Yes No

National Insurance (NI) number

If no, please explain why you are exempt.¹

Tax Identification Number (TIN) (where applicable)¹

Country of origin¹

Address

Postcode

Telephone (Home)

Telephone (Office)

Mobile

Fax

¹ Only complete if opening a Bare Trust.

Policy holder

4 Authorised officer information – continued

Email

1 _____

2 _____

Employment status

Retired Not employed

Part-time Self-employed

Employed

Current or previous occupation

Additional countries of tax residence

Tax residence

Tax Identification Number (TIN)¹

Tax residence

Tax Identification Number (TIN)¹

¹ Only complete if opening a Bare Trust.

Policy holder

4 Authorised officer information – continued

Please complete if you are authorised to instruct Rathbones.

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

____ | ____ | ____ | ____ | ____ | ____

Place and country of birth

Passport number¹

____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____

Country of issue¹

Expiry date¹

____ | ____ | ____ | ____ | ____ | ____

Tax identification number

If you are British this will be your National Insurance (NI) number. If you are non-British or have dual nationality (including British) your Investment Manager will advise what is required.

Do you have a National Insurance (NI) number?

Yes No

National Insurance (NI) number

____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____

If no, please explain why you are exempt.¹

Tax Identification Number (TIN) (where applicable)¹

Country of origin¹

Address

Postcode

____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____

Telephone (Home)

____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____

Telephone (Office)

____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____

Mobile

____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____

Fax

____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____ | ____

¹ Only complete if opening a Bare Trust.

Policy holder

4 Authorised officer information – continued

Email

1 _____

2 _____

Employment status

Retired Not employed

Part-time Self-employed

Employed

Current or previous occupation

Additional countries of tax residence

Tax residence

Tax Identification Number (TIN)¹

Tax residence

Tax Identification Number (TIN)¹

¹ Only complete if opening a Bare Trust.

Policy holder

4 Authorised officer information – continued

Please complete if you are authorised to instruct Rathbones.

Trustee/Director
Or role (if other authorised officer)

Trustee/Director 4

Trustee Director
 Other (please specify)

Title
 Mr Mrs Ms Miss
 Other (please specify)

Surname

Forename(s)

Previous name(s) (if applicable)

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

Place and country of birth

Passport number¹
| | | | | | | | | | | | | | | | | | | | | |

Country of issue¹

Expiry date¹
| | | | | | | | | |

Tax identification number

If you are British this will be your National Insurance (NI) number. If you are non-British or have dual nationality (including British) your Investment Manager will advise what is required.

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

| | | | | | | | | | | | | | |

If no, please explain why you are exempt.¹

Tax Identification Number (TIN) (where applicable)¹

Country of origin¹

Address

Postcode
| | | | | | | | | |

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

Telephone (Office)
| | | | | | | | | | | | | | | | | | | | | |

Mobile
| | | | | | | | | | | | | | | | | | | | | |

Fax
| | | | | | | | | | | | | | | | | | | | | |

¹ Only complete if opening a Bare Trust.

Policy holder

4 Authorised officer information – continued

Email

1 _____

2 _____

Employment status

Retired Not employed

Part-time Self-employed

Employed

Current or previous occupation

Additional countries of tax residence

Tax residence

Tax Identification Number (TIN)¹

Tax residence

Tax Identification Number (TIN)¹

¹ Only complete if opening a Bare Trust.

Policy holder

5 Additional officers

Please complete if you are a trustee/director or other officer for the entity who has significant authority over the entity and could influence the investment portfolio but you are not empowered to instruct Rathbones.

Other trustees/directors/officers

Please list below all other trustees/directors/officers who are not already mentioned.

Name

Address

Postcode
|_|_|_|_|_|_|_|

Date of birth
|_|_|_|_|_|_|_|

Place of birth

Nationality

Role with entity

Name

Address

Postcode
|_|_|_|_|_|_|_|

Date of birth
|_|_|_|_|_|_|_|

Place of birth

Nationality

Role with entity

Name

Address

Postcode
|_|_|_|_|_|_|_|

Date of birth
|_|_|_|_|_|_|_|

Place of birth

Nationality

Role with entity

Name

Address

Postcode
|_|_|_|_|_|_|_|

Date of birth
|_|_|_|_|_|_|_|

Place of birth

Nationality

Role with entity

We will also request identity verification documents from these individuals.

Portfolio administration

6 Connected persons

Please complete where appropriate for all clients.

Please note that the names you provide as Connected Persons are for reporting purposes only. Rathbones retains discretion on the reports which can be sent to any of these persons subject to the requirements of your provider.

Accountant

Company name

Title

Mr Mrs Ms Miss

Other (please specify)

Surname

Forename(s)

Previous name(s) (if applicable)

Address

Postcode

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

Telephone

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

Email

1 _____

2 _____

Financial adviser/intermediary

Company name

FCA registration number

Title

Mr Mrs Ms Miss

Other (please specify)

Surname

Forename(s)

Previous name(s) (if applicable)

Address

Postcode

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

Telephone

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

Email

1 _____

2 _____

Portfolio administration

6 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)

Previous name(s) (if applicable)

Address

Postcode

Telephone

Email

1

2

If your connection to the client is power of attorney for a Bare Trust please complete the following questions.

Date of birth

□□□ □□□ □□□□□□

Details of your nationality/dual nationality

Passport number

□□□□□□□□□□□□□□□□□□□□□□

Country of issue

Expiry date

□□□ □□□ □□□□□□

Tax identification number

If you are British this will be your National Insurance (NI) number. If you are non-British or have dual nationality (including British) your Investment Manager will advise what is required.

Do you have a National Insurance (NI) number?

Yes No

National Insurance (NI) number

□□□ □□□□□□□□ □

If no, please explain why you are exempt.

Tax Identification Number (TIN) (where applicable)

Country of origin

Portfolio administration

6 Connected persons – continued

Please complete where appropriate for all clients.

Other connected person 2

Relationship

Company name (if applicable)

Title
 Mr Mrs Ms Miss
 Other (please specify)

Surname

Forename(s)

Previous name(s) (if applicable)

Address

Postcode

Telephone

Email
 1 _____
 2 _____

If your connection to the client is power of attorney for a Bare Trust please complete the following questions.

Date of birth

Details of your nationality/dual nationality

Passport number

Country of issue

Expiry date

Tax identification number
 If you are British this will be your National Insurance (NI) number. If you are non-British or have dual nationality (including British) your Investment Manager will advise what is required.

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

National Insurance (NI) number

If no, please explain why you are exempt.

Tax Identification Number (TIN) (where applicable)

Country of origin

7 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 RMAP strategy and performance brochure under the strategy facts section or on our website in the Key Investor Information Documents (KIIDs).

Strategy

Please complete the indicative value of the investment in the box provided. 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.

Investment £ I/We wish to purchase Income shares

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.

Investment £ I/We wish to purchase Income shares

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.

Investment £ I/We wish to purchase Income shares

7 Selecting the strategy and receipt of income – continued

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.

Investment £ I/We wish to purchase Income shares

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.

Investment £

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.

Investment £

Portfolio administration

8 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 i.e. the same document cannot be used to verify both your identity and your address.

Information requested in this section 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, your Investment Manager will be pleased to explain alternative documents.

8.1 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:

Rathbones certification

You can bring the appropriate original documents (see below) with you to a meeting with your Investment Manager who will take a copy of the originals and complete the certification process for you.

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 General Medical Council registered medical practitioner;
- the Post Office Identity Document Checking service;
- an embassy, consulate or high commission officer in the country of issue.
- a General Dental Council registered dental professional; or
- a councillor.

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, date and print their full name and add:

- occupation/former occupation, if retired;
- professional body registration number in order for us to check against public registers;
- address;
- contact number.

8.2 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 trustees or directors and all other controlling persons including date of birth, residential address, nationality and Tax Identification Number (TIN) e.g National Insurance Number.

8.3 Trust agreements

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

- Trust deed
- Trust investment policy statement¹
- Trust accounts or latest financial statements (if applicable)
- The most recent deed of appointment and retirement

8.4 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

¹ 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

8 Client verification – Entity/Individual – continued

8.5 Trade union agreements

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

- Trade union rules book

8.6 Charity agreements

If the charity is governed by a trust deed, please refer to section 8.3 above. If the charity is registered with Companies House, please refer to section 8.4 above.

8.7 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 licence¹

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 equivalent²
- UK Government based correspondence or foreign equivalent duly translated using a Rathbones appointed translator³
- UK Pension book or foreign equivalent

8.8 Non-UK resident beneficiaries

Please provide the following:

- A certified copy of either a non-UK beneficiaries' passport or document which includes an overseas Tax Identification Number (TIN).

8.9 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 licence¹
- UK HMRC tax notification or foreign equivalent²
- UK Government based correspondence or foreign equivalent duly translated using a Rathbones appointed translator³
- UK Pension book
- Recent utility or council tax bill⁴
- Bank, building society, credit union statement/passbook (not older than 3 months)⁵
- Mortgage statement from recognised lender²

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

8 Client verification – Entity/Individual – continued

**Please answer EVERY question in this section.
Please complete for all clients and Connected Persons with whom you would like us to deal on your behalf.**

We are required to understand the source of funds and the source of wealth for our clients. This is integral to our due diligence process and without which we are unable to offer our investment services. In certain circumstances your Investment Manager may require you to provide evidence of this.

Source(s) of funds

How were the funds that are coming to Rathbones generated? If this is a trust, how did the Settlor generate these funds? For example, sale of an asset, company retained earnings, investments, court order or gift. Please provide details below including names, dates and locations:

Source(s) of wealth

How did the entity generate its overall wealth? If this is a trust, how did the Settlor generate their overall wealth? For example, sale of an asset, company retained earnings, investments, earnings through employment, court order or inheritance. Please provide specific details below including names, dates and locations:

Why has the entity chosen to open an Account at Rathbones?

What is the amount to be invested with Rathbones?

Portfolio administration

8 Client verification – Entity/Individual – continued

Will the entity be requesting frequent, large cash deposits/withdrawals on the Account?

Not anticipated Yes

If yes, please provide details below:

Politically exposed person

Does the entity, or any individual associated with the entity, have any connection 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 below:

Portfolio administration

9 Declarations and signature(s)

To be completed by the policy holder(s).

9.1 Acceptance

I/We understand and acknowledge that Rathbone Investment Management Limited is bound by the contractual requirements of the provider, as legal owner of the funds, and those requirements may take precedence over this agreement and the Rathbones Investment Management Limited Terms of Business. The provider or its agent(s) may instruct Rathbone Investment Management Limited to act without reference to me/us as Policy holder(s).

9.2 I/We 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.

9.3 I/We acknowledge that Rathbone Investment Management Limited is not my/our 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.

9.4 I/We have read all of this Policy Holder Information Form and I/we confirm that I/we have provided full and accurate information. I/We understand the service that is being provided and that Rathbone Investment Management Limited may decline to act on my/our behalf in the event that the information provided is incomplete.

9.5 I/We confirm that I/we have full authority to sign on behalf of the trust/company and if all trustees/directors¹ do not sign, a resolution authorising us will be provided.

9.6 Data protection

I/We 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 which can be found at rathbones.com/privacy; 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.

9.7 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.

9.8 Service updates

From time to time Rathbone Investment Management Limited may provide to you, including hard copy or in electronic format, communications and updates with regard to the services provided to you, where that is essential for the provision of those services under the Agreement.

9.9 Marketing

From time to time Rathbone Investment Management Limited may wish to communicate with you with regards to services which are similar or related services to its core investment services. If you do not wish to receive these communications, please advise your Investment Manager in writing. Rathbone Investment Management Limited will never transfer your personal data to any external organisation for marketing purposes.

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.

Portfolio administration

9 Declarations and signature(s) – continued

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.

If there is anything you do not understand, please contact your Investment Manager before you sign and return this Agreement and associated forms.

Please note that trustees or other authorised officers as listed in section 4 and who have had their identity verified as per section 8 must sign this document.

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

Portfolio administration

9 Declarations and signature(s) – continued

Trustee/Director¹

Signed

Name

Date

□□ □□ □□□□□□

Signed

Name

Date

□□ □□ □□□□□□

Signed

Name

Date

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Signed

Name

Date

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

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

□□ □□ □□□□□□

Portfolio administration

9 Declarations and signature(s) – continued

To be completed by the policy provider.

Provider confirmation of policy details

Policy reference

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Policy anniversary date

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

Provider contact details

Name

Telephone

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Email

Provider declaration

We confirm our agreement to the instructions and notices contained in this document and to the ability of the policy holder and the financial intermediary to provide investment strategy for the policy.

Signed

Name

Position

Date

D	D	M	M	Y	Y	Y	Y
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Company stamp

Product name

This Policy holder information form should only be returned once all the sections have been completed and it has been signed by the policy holder(s) and the Financial Advisor accompanied by a copy of the appointment form. We will arrange for the signature by the policy provider.

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

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