

Policy holder information form for clients of the Managed Portfolio Service – Financial Advisers

For policy holders

Welcome to Rathbones Managed Portfolio Service

The 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 Rathbone Investment Management Limited nor RUTM can provide you with investment advice in connection with this service and we will act only upon your provider's instructions with regards 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 account(s)
- The safe custody of the 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 7 of this form
- 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 their details and signing the declaration on page 8 of this form
- 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

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Telephone

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Mobile

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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

Policy holder information

Please complete in black ink and block capitals.

First policy holder

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

Country of domicile

Telephone

Mobile

Email

Do you have a National Insurance number?

Yes
 No

National Insurance number

Tax identification number (TIN)

Second policy holder

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

Country of domicile

Telephone

Mobile

Email

Do you have a National Insurance number?

Yes
 No

National Insurance number

Tax identification number (TIN)

Connected persons

If you wish a person, including a registered power of attorney, to be connected to your account(s), please specify the account(s) you wish to be connected and provide details of the person below.

Please note that we only accept a power of attorney which delegates authority to act with regard to financial and property assets and is not restricted to health or social need only.

Authority for your connected person

You may authorise the connected person to view your valuation statements, and daily portfolio values via the Rathbone Online service.

Connected person details

Title

Mr
 Mrs
 Ms
 Miss
 Other (please specify)

Surname

Forename(s)

Address

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Telephone

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Mobile

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Email

Company name (if applicable)

Relationship to account holder(s)

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

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 £

Verifying identity

Please ensure that all copies provided are clearly legible.

The information provided below applies to all policy holders. If you are unable to provide the documents listed below, please contact the MPS team.

Getting your documents certified

We are required to verify the identity of every policy holder by obtaining suitable certified documents. Certification may be performed by your Financial Adviser or by a professional who is governed by anti-money laundering regulations such as an FCA regulated individual, bank or building society official, councillor, solicitor or notary, or chartered accountant.

If you have provided original photographic ID the professional 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 all other documentation they 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 as seen by me".

In both circumstances the professional should then sign underneath and add their name, the date, and the name and address of the company they work for.

Documents that verify identity

Please provide at least ONE of the following for each policy holder opening a Fund.

- Current passport
- Current full, or provisional, photocard driving licence¹

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 translator²
- UK Pension book or foreign equivalent

Registered power of attorney

If you are acting as a registered power of attorney please provide a certified copy of the registered power of attorney document. We only accept a power of attorney which delegates authority to act with regard to financial and property assets and is not restricted to health or social need only. The registered power of attorney will need to have their identity verified in addition to the fund holder(s).

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

1 The paper counterpart of the photocard licence is not acceptable.
2 With relevant references e.g. date of birth or National Insurance number.

Please answer EVERY question in this section for all policy holders 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.

First policy holder

How did you 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

How have you obtained your overall wealth?

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

Are you, or are you 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

Second policy holder

How did you 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

How have you obtained your overall wealth?

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

Are you, or are you 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

Verifying identity – continued

If you are a registered power of attorney

Please confirm which client you are power of attorney for:

First policy holder Second policy holder

How were the funds obtained 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

How did the donor obtain their overall wealth?

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

Are you, or are you 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

Is the donor, or are they 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

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 a separate letter once your account(s) have been opened.

Valuation reports:

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

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.

Periodic reports are available to clients notified to us in the Policy Holder Information form or separately in writing. We will provide periodic reports in printed format and/or online, subject to additional terms of business for online access.

Declarations and signature(s)

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 Rathbone Investment Management 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).

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 services offered. Rathbone Investment Management Limited is the principal trading company and a Subsidiary of Rathbone Brothers Plc, and is a bank.

Data sharing

I/We accept that the information supplied in this form is only to enable Rathbone Investment Management Limited to manage and/or advise on my/our investment Portfolio as detailed in its Terms of Business. Rathbone Investment Management Limited will never share your data with any external organisations for any other purpose not detailed within our Terms of Business.

This Policy Holder Information form should be returned to:

The Managed Portfolio Service Team, Rathbone Investment Management, Port of Liverpool Building, Pier Head Liverpool L3 1NW.

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 bond provider.

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

Policy holder to complete.

First policy holder

Signed

Date

| |

Second policy holder

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 policy holder(s) as their Financial Adviser
- I have assessed the suitability of the MPS and have advised the policy holder(s) on the selection of their investment strategy

Signed

Date

| |

