

## TRUST APPLICATION FORM

Please answer the questions on this form as comprehensively as possible as we will rely on this information when managing the Trust's portfolio. A suitability assessment will be carried out prior to the account being opened and may be revised at any time given changes in the Trust's circumstances or preferences. This form and the attached Terms of Business together constitute our agreement with the Trust and are hereafter referred to as "the Agreement". The Agreement is made between R.C. Brown Investment Management PLC (RCBIM) (registered office: 1 The Square, Temple Quay, Bristol BS1 6DG. Registered in England No. 2489639) and the organisation represented in the declaration below.

Name of Trust	
Registered Number (if applicable)	Registered Address
Name of Main Contact	

### Legal Entity Identifier (LEI)

Please provide your Legal Entity Identifier (LEI), in the above box. Failure to do so will prohibit us from trading on your portfolio. Please also tick one of the following:

- Please automatically renew the LEI annually (see Appendix 9: Authorisation for Legal Entity Identifier (LEI))
- We have our own arrangements for maintaining our LEI and do not require you to do so

If you do not currently have an LEI, please complete 'Appendix 9: Authorisation for Legal Entity Identifier (LEI)' and we will apply for one on your behalf and also take care of the annual renewal.

### Details of First Trustee

### Details of Second Trustee

Title	Title
First Name(s)	First Name(s)
Surname	Surname
Home Address	Home Address
Postcode	Postcode
Telephone	Telephone
Date of Birth	Date of Birth

### Details of Third Trustee

### Details of Fourth Trustee

Title	Title
First Name(s)	First Name(s)
Surname	Surname
Home Address	Home Address
Postcode	Postcode
Telephone	Telephone
Date of Birth	Date of Birth

We require Appendix 7 - Tax Residency Self Certification to be completed by **ALL**

**1. Trustees 2. Beneficiaries 3. Surviving Settlers 4. Protectors**

### Financial Details

Annual Income (if applicable)	
Total Investments	Under £0.5m / £0.5 - £1m / Over £1m
Total Net Worth (assets minus liabilities)	Under £0.5m / £0.5 - £1m / Over £1m
Sources of Income (if applicable)	

### Investment Details

What is the approximate value of the investments you wish RCBIM to manage?

Cash (£)
Existing Investments (£)
Total (£)

If the investments are registered in the Trust's name please provide full details in Appendix 1.  
If you are transferring your portfolio from another investment manager please give their details here:

Firm Name:	
Address:	
Telephone:	Account Number(s):
How would you best describe the Trust as an investor: Very experienced / Has some experience / Has little experience / Inexperienced	
Which of the following has the Trust previously invested in: Equities / Fixed Interest / Cash Deposits / Collective Schemes (e.g. OEICs)	

### Portfolio Composition

Please select one of the following:

- Managed Fund portfolio** (minimum investment £15,000)  
(Invested in a range of broadly diversified managed funds and cash)
- Index Tracker portfolio** (minimum investment £15,000)  
(Invested predominantly in a range of index tracking instruments)
- Directly Invested portfolio** (minimum investment £250,000)  
(Invested in a combination of equities, fixed interest securities, managed funds and cash)

### Timescale

Equities and equity-based funds should generally be regarded as long term investments. If you know of any dates when the Trust will need to realise some or all of its investments, please give details below:

### Investment Constraints

If the Trust has any specific investment constraints or instructions which it would like us to comply with when managing the portfolio please give details here (Note: it may not be possible to apply restrictions for Managed Fund portfolios, where the investments in the underlying funds are not determined by us):

### Investment Strategy and Risk Profile

Please consider the following list of investment models and select the one which most closely matches your objectives and attitude to risk:

- Defensive Risk Profile: Low.** Real Asset/Higher Risk Range: 20-50%. Fixed Asset/Lower Risk Range: 40-60%. This strategy seeks to produce long term real return, from a portfolio with relatively low volatility characteristics.
- Conservative: Low/Moderate.** Real Asset/Higher Risk Range: 30-50%. Fixed Asset/Lower Risk Range: 50-70% This strategy seeks to prioritise income over capital growth and as a consequence capital growth is likely to be modest over the longer term.
- Income/Cautious Risk profile: Low/Moderate.** Real Asset/Higher Risk Range: 30-50%. Fixed Asset/Lower Risk Range: 50-70%. This strategy seeks to prioritise income over capital growth and as a consequence capital growth is likely to be modest over the longer term.
- Cautious Risk profile: Moderate/Low.** Real Asset/Higher Risk Range: 40-60%. Fixed Asset/Lower Risk Range: 40-60%. This strategy is designed to produce a reasonably high level of income without unduly restricting the potential for capital growth.
- Cautious Balanced Risk profile: Moderate.** Real Asset/Higher Risk Range: 55-75%. Fixed Asset/Lower Risk Range: 25-45%. This strategy is designed to generate an income which can grow modestly in real terms over time whilst retaining the potential for modest capital growth.
- Balanced Risk profile: Medium.** Real Asset/Higher Risk Range: 65-85%. Fixed Asset/Lower Risk Range: 15-35%. This strategy is designed to achieve a balance of income and capital growth over time.
- Balanced Growth Risk profile: Medium/High.** Real Asset/Higher Risk Range: 75-95%. Fixed Asset/Lower Risk Range: 5-25%. This strategy prioritises capital growth over income and as such returns may be volatile especially in the short term.
- Growth Risk profile: High.** Real Asset/Higher Risk Range: 80-100%. Fixed Asset/Lower Risk Range: 0-20%. This strategy is designed purely for capital growth and as such returns may be volatile especially in the short term.

or

- Manage my portfolio in accordance with the strategy agreed in my personalised Investment Management Proposal.  
**Real Assets** may include UK and Overseas Equities, Property, Hedge Funds, Commodities and Private Equity where the risk of capital loss is potentially high.  
**Fixed Assets** may include Government Bonds, Corporate Bonds, Preference Shares and Cash on Deposit where the risk of capital loss is low, but not impossible.

Please note that all of the above models contain equity-based investments which will fluctuate in value and you may not get back the amount originally invested. If you have any doubts about the suitability of these investments please consult your financial adviser before proceeding.

### Income Requirements

Does the Trust require a specific level of income from your portfolio? Yes  No

If Yes what is the net annual amount required: £

(Please ensure that you select an Investment Model which will support this level of income)

Please specify the frequency:

Bank account where funds are coming from and to which payments should be made:

Bank or B/Society Name & Address:

Account Name:

Account Number:

Sort Code:

### Adviser Details

If the Trust has a professional adviser please give their details here:

Firm Name:	
Address:	
Telephone:	Contact Name:

Were you introduced to RCBIM by this adviser: Yes  No

Have you received financial advice before completing this application form: Yes  No

Unless instructed otherwise, we may act on any instruction, consent or information given to us by your adviser.

### Other Assets

If the Trust has any other assets we should be aware of when managing the portfolio please give details here:

### RC Brown Secure Portal

The **RC Brown Secure Portal** provides a safe and user-friendly way to access account valuations, view reports, and send and receive communications online. Please provide your e-mail address below, and your Secure Portal access will be created.

First Applicant Name:	Email address:
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If this is a joint account, and you would like each user to have their own separate login details, please insert additional information below:

Second Applicant Name:	Email address:
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If you **do not** wish to have Secure Portal access, and wish for all correspondence and reports to be sent via post, please tick the following box

### Instructions for Correspondence

All correspondence and reports will be sent to you in accordance with the options selected above. Copies of your reports will be sent to your adviser via the RC Brown Secure Portal.

If there are any other parties to whom you wish correspondence to be sent, or parties who require access to your valuations via the Secure Portal, please indicate below:

Name:	Email (via Secure Portal):
Address (via post):	

### Other Information

If you know of any information which may affect our management of the portfolio and which is not covered elsewhere in this form, please give details here:

**Data Protection Act** We are registered under the Data Protection Act. Information which you provide in the course of dealing with us (including your name, address, bank and investment details) will be held in strict confidence by us and used to provide our investment services to you, as well as for business development and trend analysis purposes. We may also use this data to tell you about other products and services which we think may be of interest to you. If you do not wish to receive such information please tick here:

We may give your personal data to our agents or sub-contractors so that they can provide a service to us and on the basis that they will keep your data confidential. We will not provide or sell your data to third parties other than as set out above or unless permitted by law or for the purposes of effecting an investment transaction. We may also give your data to other financial services firms for the purpose of money laundering verification checks. 4

## FEES

Client Name(s):

### 1. Investment Management Fees (VAT will be added at the applicable rate)

Please tick **ONE** of the following fee options:

#### Portfolio Value

£15,000 to £375,000  
£375,000 and over

#### Option 1 - Performance Fee

0.325% pa  
 0.10% pa

Plus 20% of the portfolio's annual return in excess of 4%

#### Option 2 - Conventional Fee

0.95% pa  
 0.50% pa

### Notes

- a) Fees are calculated calendar monthly and charged according to the total portfolio value at the month end.
- b) All fee options are INCLUSIVE of trading and administration costs.
- c) Portfolios close to / at the threshold will only switch once the value has moved as follows:  
Rising portfolios will have to have gone above £385,000 before switching  
Decreasing portfolios will have to have gone below £350,000 before switching

### 2. Custody Fees

A flat-rate Custody Fee of 0.30% pa will be charged monthly, at the same time as the Investment Management fee. The Custody Fee is exempt from VAT.

### 3. Index-Linked option

#### Would you like to Index-link your fee?

Fixed Index-Linked fee is calculated as either Option 1 or 2, but fixed at outset and increased annually by RPI (as determined by table RP02 issued by the Office for National Statistics). Adjusted for inflows and outflows.

Please delete as appropriate  
Yes / No

### 4. Adviser's Fees (VAT may be added at the applicable rate)

In addition to the above charges, an initial and/or ongoing service charge may be paid by you to the adviser who introduced you to us. The amount agreed between you and your adviser is:

<b>Initial</b>		To be debited from your portfolio	Please delete as appropriate Yes / No
<b>Ongoing</b>		To be debited from your portfolio	

### 5. Managed Funds

Investments in managed funds (OEICs) may be subject to charges by the underlying provider including an annual management charge. We will negotiate these on your behalf and therefore they will vary. Full details are available on request.

### 6. Other Fees (VAT may be added at the applicable rate)

We do not normally charge for reports or other work undertaken for you or your adviser, but we reserve the right to do so if we would incur unreasonable costs or are asked to act outside the normal scope of our services. On termination of this agreement we reserve the right to charge for liquidating or transferring investments out of our nominee account at £5 per line for electronic transfers and £10 per line for certificated.

### 7. Legal Entity Identifier (LEI) Fees

For new & renewal LEI application requests, we will undertake this on your behalf at the prevailing fee rate (New requests: current max £115 + VAT. Renewal: current max £70 + VAT).

**Declaration**

I/We hereby appoint R.C. Brown Investment Management PLC (RCBIM) under the power and authority given to us by the Trust Deed and we delegate to RCBIM the management of the Trust Property delivered to RCBIM from time to time under the terms of this Agreement. We hereby represent and warrant that we are empowered by the Trust Deed to delegate our function in the manner described above. We understand that, by signing this form, this will constitute an agreement between us incorporating the information contained in the Charity Application form and the Terms of Business. We confirm that the information provided in this form is correct and we undertake to notify RCBIM promptly of any changes to the information. We confirm that we have read and understood the Terms of Business. We agree that RCBIM may contact us as provided for within the Terms of Business and that RCBIM may undertake checks in order to verify the Trustees' and Charity's identity in accordance with money laundering and financial crime regulations.

Name	Signature	Position	Date
1.			
2.			
3.			
4.			

Instructions in respect of the portfolio must be given in writing in accordance with the signing authorities enclosed. We will accept email instructions but, for security reasons, we may in certain circumstances confirm these with you by telephone or letter.

**Checklist**

Please enclose the following with your application :

- Appendix 1 – Assets to be Transferred** (Please complete overleaf)
- Appendix 7 - Tax Residency Self Certification** (required for ALL Trustees, Beneficiaries, surviving Settlers and Protectors)
- Latest Report & Accounts (If applicable)
- Trust Deed
- List of Authorised Signatories
- List of Trustees (Deed of Appointment if different to Trust Deed)

**If you are investing cash:**

- Please enclose a cheque payable to RC Brown Client Money Account.

**If you are transferring a portfolio from another manager:**

- We will prepare a Letter of Authority for you to sign authorising the transfer and send this to the ceding manager on your behalf.

**If you are transferring investments registered in the Trust's own name:**

- Please provide as much detail as possible about the investments in the Appendix, including dates and purchase costs if possible. Please also attach any share certificates and/or managed fund statements.

Please return the completed form to your financial advisor, or direct to:  
R. C. Brown Investment Management PLC, 1 The Square, Temple Quay, Bristol BS1 6DG

**Appendix 1 – Assets to be Transferred**

If the Trust has any investments registered in its own name which it wishes to transfer into the portfolio (directly held equities, fixed interest etc), please give details here. For taxable portfolios please provide the purchase dates and costs to enable us to calculate your capital gains tax position:

Directly held equities, fixed interest etc

Stock Name:	Current Value (£):	Purchase Date:	Purchase Cost (£):

Managed Funds

Stock Name:	Current Value (£):	Purchase Date:	Purchase Cost (£):

1. Trustees
2. Beneficiaries
3. Surviving Settlers
4. Protectors

## APPENDIX 7 - TAX RESIDENCY SELF CERTIFICATION FOR INDIVIDUALS

You may wish to contact your tax adviser to help you complete this form

### Section A - Beneficial Owner Information

Client Name	
Permanent Residence Address	Mailing Address (if different)
Country of Birth	Date of Birth (dd/mm/yy)
Account Number(s)	

### Section B - Tax Residency

Please indicate ALL countries in which you are resident for the purposes of that country's income tax

Country of Tax Residency	Tax Identification Number (TIN) (or other relevant tax identification number)	No TIN

If you are a US citizen, Green Card holder, or US resident, you must complete and return an IRS (Internal Revenue Service) W-9 form and include an additional tax residence in the table above.

### Section C - Declaration Section

1. I undertake to advise R C Brown Investment Management PLC (RCBIM) promptly of any change in circumstances which causes the information contained herein to become incorrect or incomplete and to provide RCBIM with an updated declaration within 30 days of such a change in circumstances.
2. I am aware that in certain circumstances RCBIM will be obliged to share this information with UK tax authorities, who may pass it on to other tax authorities.
3. I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete.

Signature:	Print Name:
Date:	Capacity:

#### Head Office:

1 The Square, Temple Quay, Bristol BS1 6DG

tel: 0117 925 6073

email: [enquiries@rcbim.co.uk](mailto:enquiries@rcbim.co.uk) [www.rcbim.co.uk](http://www.rcbim.co.uk)



Appendix 9: Authorisation for Legal Entity Identifier (LEI)

**London Stock Exchange Plc**  
**FAO: LEI Operations Department**  
Ground Floor  
10 Paternoster Square  
London  
EC4M 7LS

Date:

**RE: AUTHORISATION TO APPLY FOR LEGAL ENTITY IDENTIFIER (LEI)**

Dear Madam or Sir

LEGAL ENTITIY NAME: .....

The below named entity is authorised to apply for an LEI on our behalf (if required), as well as maintain the related data (annual renewal), submit the corresponding declarations of intent in our name, and to take all necessary measures in this regard.

Requestor Entity Name: RC Brown Investment Management Plc  
Requestor Entity Address: 1 The Square, Temple Quay, Bristol BS1 6DG  
Requestor Contact Details: RC Brown Administration Team  
Telephone: 0117 925 6073  
Email: enquiries@rcbim.co.uk

Regards

.....  
**Authorising Signature**

.....  
**First Name, Last Name (please print)**

**Email:** .....

**Telephone Number:** .....

Position within organisation:

Director                       Company Secretary                       Compliance Officer                       Treasurer

Other (please specify).....