

## CHARITY APPLICATION FORM

Please answer the questions on this form as comprehensively as possible as we will rely on this information when managing the Charity 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 Charity circumstances or preferences. This form and the attached Terms of Business together constitute our agreement with the Charity 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 organization represented in the declaration below.

Name of Charity
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

### 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 Charity 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 Charity as an investor:

Very experienced / Has some experience / Has little experience / Inexperienced

Which of the following has the Charity 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 Charity will need to realise some or all of its investments, please give details below:

### Investment Constraints

If the Charity 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):

**Risk Profiling & Investment Strategy**

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

Very High	
High	This strategy can be created on request, please contact us to discuss your requirements.
Medium / High	<b>Growth:</b> This strategy is designed purely for capital growth and as such returns may be volatile especially in the short term.
Medium / High	<b>Balanced Growth:</b> This strategy prioritises capital growth over income and as such returns may be volatile especially in the short term.
Medium	<b>Balanced:</b> This strategy is designed to achieve a balance of income and capital growth over time.
Medium	<b>Cautious Balanced:</b> 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.
Medium / Low	<b>Cautious:</b> This strategy is designed to produce a reasonably high level of income without unduly restricting the potential for capital growth.
Low	<b>Conservative:</b> This strategy can be created on request, please contact us to discuss your requirements.
Low	<b>Defensive:</b> This strategy can be created on request, please contact us to discuss your requirements.
Very Low	

Or

Manage the portfolio in accordance with the bespoke strategy outlined in my Investment Management Proposal document.

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.

**Income Requirements**

Does the Charity 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 (monthly, quarterly, half-yearly, annually):

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 Charity 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 Charity 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:

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:

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.

**FEES**

**INVESTMENT MANAGEMENT FEES**

<b>Managed Fund and Direct Equity portfolios (please tick ONE of the following)</b>		
<u>Portfolio value</u>	<u>Performance Fee</u> <u>(Option 1)</u>	<u>Conventional Fee</u> <u>(Option 2)</u>
£15,000 to £374,999	0.325% pa	0.95% pa
£375,000 and over	0.10% pa	0.50% pa
Plus 20% of the portfolio's annual return in excess of 4% 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

**CUSTODY FEE**

A flat rate Custody Fee of 0.30% pa will be charged monthly, at the same time as the Investment Management fee.

**OTHER CHARGES WHICH MAY BE APPLICABLE:**

Stamp Duty Reserve Tax (SRDT):	0.5% of the value for UK equity trades
Panel on Takeovers & Mergers Levy (PTM):	£1.50 on trades in UK stocks over £10,000
Transfer out / Liquidation:	A maximum of £5 per line of electronic stock A maximum of £10 per line of certificated stock
Faster Payments (same day up to £1m)	£5 per payment
(next day up to £1m)	Free
CHAPS Payments (same day)	£25 per payment
BACS (up to 3 days)	Free
Foreign Exchange/Third Party charges:	Charges may apply, for example, when dealing in overseas markets
Managed Funds:	Investments in funds (OEICs) and Exchange Traded Funds (ETFs) will be subject to charges by the underlying provider. These are indirect charges and are reflected in the price of the fund. We will negotiate these on your behalf and therefore they will vary. Please see the costs & charges section of your proposal for further details.

**ADVISER CHARGES (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:

Initial	To be debited from your portfolio	Yes / No
Ongoing	To be debited from your portfolio	Yes / No

**LEGAL ENTITY IDENTIFYER (LEI) FEES**

For new & renewal LEI application requests, we will undertake this on your behalf at the prevailing fee rate.

**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.

**Appendix 1 – Assets to be Transferred** (Please complete overleaf)

**Appendix 1 – Assets to be Transferred**

If the Charity 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 (£):

**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: admin@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).....