



## ANNEX TO INTERMEDIARY DISCRETIONARY MANAGED ACCOUNT OPENING FORM

### INTERMEDIARY REGISTRATION DETAILS

Please print in capitals throughout this form and mark boxes with an X.

Intermediary Firm Name

.....

Intermediary Firm Address

.....

Firm CBI Number  
(or equivalent)

.....

Adviser Name

.....

Adviser Contact Number

.....

Adviser Email Address

.....

VAT Registration number  
(if registered)

### INTERMEDIARY DECLARATION AND ACCEPTANCE OF TERMS BY THE INTERMEDIARY

#### Intermediary Declaration and Acceptance

In relation to the Investor(s) named in section 1 of the attached Discretionary Managed Account Opening Form (for Clients of Intermediaries) ("AOF").

I/We declare on behalf of the Intermediary firm named above ("Intermediary") that:

- The Intermediary has undertaken an assessment of RBC Brewin Dolphin's services to ensure they are appropriate for the Investor(s);
- The information provided to RBC Brewin Dolphin in this Annex and the AOF (or otherwise during the account opening process) is correct and complete to the best of the Intermediary's knowledge and the Intermediary will notify RBC Brewin Dolphin promptly of any changes;
- The Intermediary has obtained information from the Investor(s) in relation to their knowledge and experience in investments and confirms that the Investor(s) has/have the necessary experience and knowledge in order to understand the risks involved in the management of the portfolio;
- The Intermediary has obtained information from the Investor(s) in relation to their financial situation including the source and extent of their regular income, assets (including liquid assets), investments and real property and their regular financial commitments. The Intermediary also confirms that the Investor(s) has/have the capacity to bear investment risks arising from the management of the portfolio, including the potential of significant loss;
- The Intermediary agrees to be bound by the Terms of Business for Intermediaries in relation to the services RBC Brewin Dolphin will provide (via the Intermediary) in relation to this account. I/we shall seek clarification promptly if there is anything that I/we do not understand;
- I/we have obtained information from the Investor(s) on their investment objectives, including the length of time they wish to hold investments, their preferences regarding risk taking, their risk profile and the purposes of investment;
- I/we confirm that I/we have verified and identified all parties in accordance with the Intermediary Terms of Business (Ireland);
- I/we have discussed and agreed with the Investor(s) the overall charging structure in relation to the services RBC Brewin Dolphin will provide;
- I/we will disclose to the Investor(s) all details of any subsequent fees between us in accordance with all applicable statutory, regulatory and professional requirements;
- I/we will advise RBC Brewin Dolphin if I/we am/are or become aware of anything unusual in the way the business of the Investor(s) is conducted;

## INTERMEDIARY DECLARATION AND ACCEPTANCE OF TERMS BY THE INTERMEDIARY (CONTINUED)

- The tax residency information provided is, to the best of my/our knowledge and belief, accurate and complete;
- I/We undertake to advise RBC Brewin Dolphin promptly of any change in circumstances which causes the tax residency information to become incorrect or incomplete and to provide RBC Brewin Dolphin with an updated declaration within 30 days of such a change in circumstances;
- I/We understand that in certain circumstances RBC Brewin Dolphin will be obliged to share such tax residency information with the Irish tax authorities, who may share this with other tax authorities; and
- Where the Intermediary supplies RBC Brewin Dolphin with information and personal data in relation to this account (including information classed as "special category personal data" under applicable data protection laws), the Intermediary has obtained the relevant data subject's prior consent to provide this information or personal data to RBC Brewin Dolphin and for RBC Brewin Dolphin to process it in order to provide its services.

### Intermediary Signature

#### Intermediary Authorised Signature(s)

Signed

Date

Print Name(s)

## DECLARATION AND ACCEPTANCE OF TERMS BY THE INVESTOR(S)

### Declaration by the Investor

I declare that:

- RBC Brewin Dolphin may share information and accept instructions from the above named Intermediary in relation to this account.
- The information provided in this form relating to me is correct, complete and up-to-date;
- I have received a copy of RBC Brewin Dolphin's Terms and Conditions Ireland (For clients of Intermediaries) (the "Retail Terms").
- I understand that the Retail Terms set out the basis on which RBC Brewin Dolphin will provide its services in relation to this account;
- I acknowledge and agree that RBC Brewin Dolphin's receipt and acceptance of this Annex and the AOF shall act as its appointment to provide its services in relation to this account; and
- I will notify my Intermediary promptly of any changes to the information provided in this form and of any other relevant information.

#### Individual/First Investor Signature

Name

Signed

Date

#### Joint/Second Investor Signature

Name

Signed

Date

# INTERMEDIARY CHARGING AGREEMENT

## To be completed by the Investor(s)

This form should be completed if you wish your Intermediary to take their adviser charges from your RBC Brewin Dolphin portfolio. RBC Brewin Dolphin will apply VAT at the appropriate rate to the fees chargeable for this Discretionary Managed service.

## Initial Charge

Please complete this section if you wish an initial amount of adviser charges to be paid to your Intermediary in respect of establishing your RBC Brewin Dolphin portfolio.

Please confirm below the percentage of portfolio value or monetary amount you wish to authorise.

% or €  (excluding any additional VAT)

## Ongoing Charges

Please complete this section if you wish an ongoing amount of adviser charges to be paid to your Intermediary in respect of services being provided in relation to your RBC Brewin Dolphin portfolio.

Please confirm the percentage of portfolio value or monetary amount you wish to authorise to be paid per annum. This will be paid on a pro-rata basis quarterly in arrears.

% or €  (excluding any additional VAT)

## Investor Declaration

I confirm my agreement to the charges detailed above and hereby authorise and request that RBC Brewin Dolphin undertake the payment of these to my Intermediary on my behalf, from my RBC Brewin Dolphin account, for the provision of professional services provided to me in connection with my RBC Brewin Dolphin investment portfolio. I understand that any future monies added to the portfolio will be subject to this agreement unless I specify otherwise.

These instructions should replace any existing Intermediary remuneration arrangements on my portfolio(s).

### Individual/First Investor

Title and Surname

First Name(s)

Signed

Date

### Joint/Second Investor

Title and Surname

First Name(s)

Signed

Date

[www.brewin.ie](http://www.brewin.ie)

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