

# Discretionary Managed Account Opening Form: Offshore Bond

For clients of Intermediaries – Ireland



Brewin  
Dolphin

## Helping us deliver our services

Before providing this service for your Policyholder(s), we need to confirm your instructions as to the Risk Category of portfolio management that should be applied to this account and within which we will manage the associated investments. This form has also been designed to provide us with certain background information (such as any specific instructions as to moral or ethical investing) and, as a consequence, will help us deliver our services. Before completing this form, the Intermediary should undertake an assessment of the suitability of RBC Brewin Dolphin's services for the Offshore Bond Policyholder(s).

Thank you for taking the time to complete and return this form to us. If you have any questions while completing the form your RBC Brewin Dolphin Business Development Manager or Investment Manager will be pleased to help.

**Data Protection: Please read our RBC Brewin Dolphin (Ireland) Privacy Notice at [www.brewin.ie/privacy-notice](http://www.brewin.ie/privacy-notice) for details on how we process your information, and how you can exercise your data protection rights. Please raise any queries with your Investment Manager, usual RBC Brewin Dolphin contact, or you can find contact details for our DPO in our Privacy Notice.**

If you would prefer to complete the form in large print please ask your usual RBC Brewin Dolphin contact for a copy.

This account opening form may be used for Discretionary Managed accounts only.

Name of Investment Manager

Name of Business Development Manager

## Section 1: Offshore bond provider and intermediary details

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

Offshore Bond

Policy Number

Account Title

### Offshore Bond Provider's Details

Company Name

Address Line 1

Address Line 2

Address Line 3

Postcode

Country

Which jurisdiction is the  
bond to be issued from?

Regulatory Authorisation Number

VAT Registration Number  
(if applicable)

Email

Please advise if portal access is required

#### Person 1

Name

Email

Nationality

Date of Birth

#### Person 2

Name

Email

Nationality

Date of Birth

#### Person 3

Name

Email

Nationality

Date of Birth

## Intermediary Firm Details

Intermediary Firm's Name

Intermediary Firm's Address

Firm's Regulatory  
Authorisation Number

Adviser Name

Adviser's Contact Number

Adviser's Email Address

Adviser's individual  
number or regulatory  
equivalent (if applicable)

VAT Registration number  
(if applicable)

## Please advise if portal access is required

### Person 1

Name

Email

Nationality

Date of Birth

### Person 2

Name

Email

Nationality

Date of Birth

### Person 3

Name

Email

Nationality

Date of Birth

## Section 2: Policyholder details

### First Policyholder

*The First Policyholder (if applicable) will be the main correspondent for all Policyholders*

Mr      Mrs      Miss      Ms      Other      *If Other, please state below.*

Other

First Name(s)

Surname

Date of Birth

Place of Birth

### What is the Policyholder's Residential Address?

Address Line 1

Address Line 2

Address Line 3

City

Country

Postcode

### First Policyholder's Employment Details

What is your current or former profession or occupation?

Job Title

Employment Status/  
Profession

Current/Previous Employer

### First Policyholder's Additional Details

NI/TIN Number

Reason if no NI/TIN Number

NI/TIN Number

Reason if no NI/TIN Number

NI/TIN Number

Reason if no NI/TIN Number

### First Policyholder's Contact Details

Mobile

Email

### First Policyholder's Nationality Information

The definition of nationality in the context of completing this form is: the country on your passport or passports (for multi-national).

Instructions:

- Please provide all of the required details for each of your nationalities in this section, using the "Nationality Reference Table" included within this form
- For all persons with a UK nationality please provide your Passport Number.

- For certain nationalities (e.g.France) you do not need to provide any identifier. In this scenario, just specify “not required”.
- If you have not applied for, or have not been assigned the requested identifier for any of your nationalities, you must declare this by marking the identifier column as “not available” and you will be contacted by your Investment Manager, if necessary.

## Nationality 1

Primary Identifier Type:

Primary Identifier:

Secondary Identifier Type:

Secondary Identifier:

## Nationality 2

Primary Identifier Type:

Primary Identifier:

Secondary Identifier Type:

Secondary Identifier:

### Nationality 3

Primary Identifier Type:

Primary Identifier:

Secondary Identifier Type:

Secondary Identifier:

### First Policyholder's Additional Details

### Marital Status

Gender	Male	Female
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Country of Birth

Domicile

Domicile means the country that is your permanent home which is different from nationality or residence.

Please indicate ALL countries in which you are resident for tax purposes. If you are a US citizen, Green Card Holder or US resident, you must also complete and return an IRS (Internal Revenue Service) W-9 form and include any additional tax residences in the table below.

## Country of Tax Residency

Income Tax Rate	Top	Lower	or	%
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## Second Policyholder (if applicable)

Mr Mrs Miss Ms Other *If Other, please state below.*

Other

First Name(s)

Surname

Date of Birth

Place of Birth

## What is the Second Policyholder's Residential Address?

### Same as First Account Holder

Address Line 1

Address Line 2

Address Line 3

City

Country

Postcode

## Second Policyholder's Employment Details

What is your current or former profession or occupation?

Job Title

Employment Status/  
Profession

Current/Previous Employer

## Second Policyholder's Additional Details

NI/TIN Number

Reason if no NI/TIN Number

NI/TIN Number

Reason if no NI/TIN Number

NI/TIN Number

Reason if no NI/TIN Number

## Second Policyholder's Contact Details

Mobile

Email

## First Policyholder's Nationality Information

The definition of nationality in the context of completing this form is: the country on your passport or passports (for multi-national).

Instructions:

- Please provide all of the required details for each of your nationalities in this section, using the "Nationality Reference Table" included within this form
- For all persons with a UK nationality please provide your Passport Number.

- For certain nationalities (e.g. France) you do not need to provide any identifier. In this scenario, just specify “not required”.
- If you have not applied for, or have not been assigned the requested identifier for any of your nationalities, you must declare this by marking the identifier column as “not available” and you will be contacted by your Investment Manager, if necessary.

**Nationality 1**

Primary Identifier Type:

Primary Identifier:

Secondary Identifier Type:

Secondary Identifier:

**Nationality 2**

Primary Identifier Type:

Primary Identifier:

Secondary Identifier Type:

Secondary Identifier:

**Nationality 3**

Primary Identifier Type:

Primary Identifier:

Secondary Identifier Type:

Secondary Identifier:

**First Policyholder's Additional Details**

Marital Status

Gender ☐ Male ☐ Female

Country of Birth

Domicile

Domicile means the country that is your permanent home which is different from nationality or residence.

**Please indicate ALL countries in which you are resident for tax purposes. If you are a US citizen, Green Card Holder or US resident, you must also complete and return an IRS (Internal Revenue Service) W-9 form and include any additional tax residences in the table below.**

**Country of Tax Residency**Income Tax Rate ☐ Top ☐ Lower ☐ or ☐ %**Origin of Funds, Source of Funds & Source of Wealth**

**Origin of Funds** (Detail where the funds coming into RBC Brewin Dolphin will be coming from e.g. which financial institution)

Type	Description	Amount (€)
Transfer from bank		
Transfer of assets		



**Source of Funds**

Please specify your source of funds for this investment, this refers to the activity that generated the cash / investments to be held by RBC Brewin Dolphin.

Type	Description	Amount (€)
Salary		
Investment income		
Proceeds of main residence		
Proceeds of sale of other property		
Business interests		
Gift		
Lottery/gambling win		
Variable remuneration		
Pension income		
Inheritance		
Compensation payment		
Insurance claim		
Other		

**Source of Wealth**

Please specify how you have accumulated your wealth, this refers to the activity that generated the total worth of the individual or entity.

Type	Description	Amount (€)
Salary		
Investment income		
Sale of main residence		
Sale of other property		
Business interests		
Gift		
Lottery/gambling win		
Variable remuneration		
Pension income		
Inheritance		
Compensation payment		
Insurance claim		
Other		

## Section 3: Your requirements

The following questions are designed to establish how you view your investments.

### 3.1. How much capital do you have available for investment in this account?

Amount

### 3.2. Type of Service

This is a Discretionary Service

### 3.3. Is an income required from the Policyholder's investments?

Yes No

If Yes, please state the gross amount the Policyholder would like them to produce each year.

This is an indication of what the Policyholder would like your portfolio to achieve. This is not a guarantee of what the portfolio can or will achieve.

### 3.4. Are you dependent on this income to maintain your standard of living?

Yes No

### 3.5. Please indicate the general purpose of the portfolio

Income Growth Income and Growth

### 3.6. Is the portfolio to be invested to meet a specific purpose?

Yes No

If yes, please provide details.

*e.g. retirement, school fees, mortgage repayment.*

### 3.7. What is your investment time horizon? (For joint accounts this should be the consensus reached)

3-5 years 5-10 years 10+ years next generation

### 3.8. Do you have any preferences or restrictions on where your money is invested, including any moral or ethical views?

Yes No

If yes, please provide details.

Any investment restriction that you may impose on our management of your portfolio will only apply to direct investments because of the difficulty and cost of keeping permanently up to date with the underlying holdings in collective investment schemes or other packaged retail investment products. You further understand that any such restriction set by you may affect the performance of your portfolio.

### 3.9. If you have a specific stock you would like to avoid in this account please provide the company name(s) and/or Sedol reference(s) (if known) below

### 3.10. Please indicate below the Risk Category that has been agreed to by the Policyholder(s)

Risk Category 1

Risk Category 2

Risk Category 3

Risk Category 4

Risk Category 5

Risk Category 6

### 3.11. How we hold your assets

We have appointed Pershing Securities International Limited (“PSIL”) as the main custodian and settlement agent for all our client business and primary holder of client money.

## Section 4: Correspondence and administration

### 4.1. Periodic Statements

A Valuation Report will be provided quarterly. Reports may be issued more frequently if required.

Portfolios will be valued in euro, sterling or US dollars. Please indicate below your required valuation currency and frequency if not quarterly.

### 4.2. Information for Professional Advisers and other parties

If you would like us to liaise with your professional advisers or other third parties when requested by them in relation to this account, please provide the details below.

**Do you want us to liaise with third parties when requested by them in relation to this account?** Yes No

If yes, please indicate below:

Tax Advisor      Accountant      Solicitors      Other

Please provide contact details of relevant third party.

Contact Name

Role

Name of Firm

Address

City/Town

Postcode

Date of Birth

Country of Birth

Email

Telephone Number

Domicile

## Section 5: Bank details for Offshore Bond provider

5.1. It is our policy to obtain the details of your bank account. Please complete the following section with your bank account details even if you are not transferring the initial funds to us from this account. If you have more than one bank account for these purposes, please provide details of the additional bank accounts below.

**Primary Bank Details**

Account Name

Name of Bank

Branch

Bank Account Number

Sort Code

Account currency                      Euro              Sterling              Other (please specify)

IBAN number

BIC number

**Bank Details**

Account Name

Name of Bank

Branch

Bank Account Number

Sort Code

Account currency                      Euro              Sterling              Other (please specify)

IBAN number

BIC number

**Bank Details**

Account Name

Name of Bank

Branch

Bank Account Number

Sort Code

Account currency                      Euro              Sterling              Other (please specify)

IBAN number

BIC number

# Consent for Electronic Communication

## 1. Portal Registration

You can view up-to-date information about your investments through our BDClientView portal at <https://brewindolphinireland.pershingnexusinvestor.com>. To enjoy the benefits of BDClientView, we will setup an account linked to the email address provided. You will receive an email containing a link to the portal registration page.

Please note that for data security reasons and to reduce the risk of fraud, we will not create more than one BDClientView account with the same email address. For this purpose we will use the email address(s) provided in the Personal Details section.

- You may receive future notices via email, which will direct you to a secure area of the BDClientView portal through which you will be able to access formal communications such as valuations, terms and conditions, contract notes and notices. In some instances it may be necessary to send documentation to you via post at the address provided in the Personal Details section.
- You may withdraw your consent or change your email address at any time by contacting your Investment Manager.

## 2. If you do not wish to provide consent to receiving notices via electronic communication, please tick the box below:

I do not agree to RBC Brewin Dolphin communicating with me electronically for the purposes of sending formal communications, for example valuations, terms and conditions, contract notes and other formal communications, but wish to continue receiving them in paper form by post.

## Section 6: Intermediary declaration and acceptance of terms by the intermediary

### 6.1. Data Protection

The information given in this form will be handled in accordance with the provisions of all applicable data protection laws and regulations from time to time in force (“Data Protection Laws”), relating to data protection, privacy and the processing of personal data, including the General Data Protection Regulation (Regulation (EU) 2016/679) (“GDPR”) which governs how we may use your personal information and provides you with certain rights in respect of your information. Please read our client privacy notice at [www.brewin.ie/privacy-notice](http://www.brewin.ie/privacy-notice) and you can also refer to our Client Terms & Conditions available at [www.brewin.ie/literature-and-links](http://www.brewin.ie/literature-and-links).

#### Special Category Data

From time to time, we may collect certain special category data (including data about the Policyholder’s health) which you provide to us over the course of our relationship. We collect and process this special category data (“special categories of personal data”) so that we can tailor the Policyholder’s services to your individual needs. However, we may only do so where we have your consent.

I consent to RBC Brewin Dolphin collecting and processing special category data, including information about the Policyholder’s health, to the extent necessary in connection with the provision of its services to the Policyholder(s).

First Policyholder

Second Policyholder

## Intermediary declaration and acceptance of terms by the intermediary

**On behalf of the Intermediary firm (“Intermediary”) referred to above in Section 1, I/we acknowledge, agree and declare that:**

- The Intermediary has undertaken an assessment of the suitability of both RBC Brewin Dolphin’s services and the investment portfolio for the Policyholder(s);
- The information provided to RBC Brewin Dolphin in this Account Opening Form (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 Policyholder(s) in relation to their knowledge and experience in investments and confirms that the Policyholder(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 Policyholder(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 Policyholder(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;
- The Intermediary has obtained information from the Policyholder(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;
- The Intermediary confirms that it verified and identified all parties in accordance with the Intermediary Terms of Business (Ireland);
- The Intermediary has discussed and agreed with the Policyholder(s) the overall charging structure in relation to the services RBC Brewin Dolphin will provide;
- The Intermediary will disclose to the Policyholder(s) all details of any subsequent fee arrangements between the Intermediary and RBC Brewin Dolphin in accordance with all applicable statutory, regulatory and professional requirements;
- The Intermediary will advise RBC Brewin Dolphin if I/we am/are or become aware of anything unusual in the way the business of the Policyholder(s) is conducted;
- The tax residency information provided is, to the best of my/our knowledge and belief, accurate and complete;
- The Intermediary undertakes 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;

- The Intermediary understands 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;
- 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; and
- The Intermediary understands that RBC Brewin Dolphin has been appointed to act as discretionary portfolio manager on this account by the selected Offshore Bond Provider and will accordingly hold and provide its services in relation to the account under the terms of its appointment by the Offshore Bond Provider.

### Intermediary Signature

#### Intermediary Authorised Signature(s)

Signed

Date

Print Name

## Section 7: Declaration and acceptance of terms by the Policyholder(s)

### 7.1. Declaration by the Policyholder(s)

I/we declare that:

- The information provided in this form relating to me/us is correct, complete and up-to-date;
- I/we understand that RBC Brewin Dolphin has been appointed to act as discretionary portfolio manager on this account by my selected Offshore Bond Provider and will hold and provide its services in relation to the account under the terms of its appointment;
- I/we have received a copy of RBC Brewin Dolphin’s Terms & Conditions Ireland (For the clients of Intermediaries’ (the “Terms”)). I/we understand that, subject to the terms of RBC Brewin Dolphin’s appointment by my selected Offshore Bond Provider, the Terms set out the basis on which RBC Brewin Dolphin will engage with me;
- I/we acknowledge and agree that RBC Brewin Dolphin’s receipt and acceptance of this Account Opening Form shall act as its appointment to provide its services in relation to this account; and
- I/we will notify my Intermediary promptly of any changes to the information provided in this form and of any other relevant information.

#### First Policyholder

Signed (upload your electronic)  
signature here)

Date

Print Name

#### Second Policyholder

Signed (upload your electronic)  
signature here)

Date

Print Name

## Section 8: Declaration and acceptance of terms by the Offshore Bond provider important note – if the provider has a global agreement in place with RBC Brewin Dolphin their signature is not required.

On behalf of the Offshore Bond Provider of the Policy, we declare that:

- The information provided in this form regarding the Offshore Bond Provider is complete and correct and we shall notify RBC Brewin Dolphin promptly of any changes in the details, status or circumstances of the Offshore Bond Provider;
- We expressly consent to the Intermediary (authorised to act on behalf of the Policyholder(s) in Section 1 of this form) to communicate with, give instructions to, and otherwise deal with RBC Brewin Dolphin in respect of the Policyholder's Account unless or until such authority is withdrawn by the Offshore Bond Provider, by notice in writing, to RBC Brewin Dolphin;
- Where we supply RBC Brewin Dolphin with information about the Policyholder(s) we have obtained their prior consent to provide this information to RBC Brewin Dolphin and for RBC Brewin Dolphin to process it in order to provide its services;
- We consent to RBC Brewin Dolphin arranging for a nominee account to be opened with Pershing Securities International Limited (PSIL) on our behalf;
- The Policyholder(s) is/are aware that in certain circumstances - for example, if tax resident or deemed resident of a CRS Reportable Jurisdiction – RBC Brewin Dolphin will be obliged to share this information with Irish tax authorities, who may pass it on to other tax authorities;
- We understand that RBC Brewin Dolphin shall not be responsible for the consequences of any incorrect or incomplete information being provided in this form, or in circumstances where we do not notify RBC Brewin Dolphin of any such information subsequently becoming incorrect or incomplete;
- We hereby specifically instruct RBC Brewin Dolphin to transmit all orders in respect of our quoted financial instruments, to be executed by PSL, as set out in RBC Brewin Dolphin's Order Transmission Policy;
- We confirm that we have received, read, understood and accept RBC Brewin Dolphin's Account Opening Information Pack, which included the standard terms and conditions governing the services to be provided to us. We confirm that we have sought clarification, as necessary, on anything that we did not understand.

The standard terms and conditions include:-

- The Terms & Conditions covering the services to be provided
- RBC Brewin Dolphin's Order Transmission Policy
- RBC Brewin Dolphin's Conflicts of Interest Policy summary
- RBC Brewin Dolphin's Client Asset Key Information Document
- PSIL's Terms and Conditions
- At least two Authorised Signatories must sign on behalf of the Offshore Bond Provider.

### First Authorised Signatory

Signed (upload your electronic signature here)

Date

Print Name

### Second Authorised Signatory

Signed (upload your electronic signature here)

Date

Print Name



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