



Brewin  
Dolphin

# Discretionary Managed Account Opening Form: Pension Trust Accounts

For clients of Intermediaries – RBC Brewin Dolphin Ireland

## **HELPING US DELIVER OUR SERVICES**

Before providing this Discretionary investment management service, we need to confirm the Member's 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 and, as a consequence, will help us deliver our services. Before completing this form, the Intermediary (appointed advisor) should undertake an assessment of the suitability of RBC Brewin Dolphin's services for the Pension Trust Member.

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.

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

Name of Investment Manager

Name of Business Development Manager

**SECTION 1: PENSION TRUSTEE AND INTERMEDIARY DETAILS**

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

Pension Trust Name

Pension Trust  
Reference Number**Pension Trustee Details**

Company Name

Address Line 1

Address Line 2

Address Line 3

Postcode

Country

Jurisdiction where pension  
trust is domiciled?Regulatory Authorisation  
NumberVAT Registration Number  
(if applicable)

Email

**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)

**SECTION 2: MEMBER DETAILS****Member**

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

Other

First Name(s)

Surname

Date of Birth

Place of Birth

**What is the Member's Residential Address?**

Address Line 1

Address Line 2

Address Line 3

City

Country

Postcode

**Member's Employment Details**

What is your current or former profession or occupation?

Job Title

Employment Status/  
Profession

Current/Previous Employer

**Member's Additional Details**

NI/TIN Number	Reason if no NI/TIN Number

**Member's Contact Details**

Mobile

Email

**Member'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.

**SECTION 2: MEMBER DETAILS CONTINUED**

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:	

**Member'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

**SECTION 2: MEMBER DETAILS CONTINUED****Origin of Funds, Source of Funds & Source of Wealth****Origin of Funds**

Type	Description	Amount (€	£	\$	)
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Transfer from bank

Transfer of assets

**Source of Funds**

Please specify your source of funds for this investment

Type	Description	Amount (€	£	\$	)
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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

Type	Description	Amount (€	£	\$	)
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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: MEMBER INVESTMENT 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 provided by RBC Brewin Dolphin

This is a Discretionary Service

### 3.3 Is an income required from the Member's investments? Yes No

If Yes, please state the gross amount the Member would like them to produce each year. (€ £ \$ )

*This is an indication of what the Member 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 What is your investment time horizon?  
 3-5 years  5-10 years  10+ years  next generation

### 3.7 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.

### 3.8 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

### 3.9 Please indicate below the Risk Category that has been agreed to with the Member

Risk Category 1

Risk Category 2

Risk Category 3

Risk Category 4

Risk Category 5

Risk Category 6

### 3.10 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: MEMBER CORRESPONDENCE AND ADMINISTRATION****4.1 Periodic Statements**

A Valuation Report will be provided quarterly.

Portfolios will be valued in euro, sterling or US dollars. Please indicate below your required valuation currency.

**SECTION 5: BANK DETAILS FOR PENSION TRUSTEE**

**5.1 We obtain the details of the Pension Trustee bank account for identity verification and service delivery purposes. Please complete the following section with the 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 you wish to use for transferring funds, 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





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# Member 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 Member 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 Member 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**

**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 Member;
- The Member’s 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 Member in relation to their knowledge and experience in investments and confirms that the Member understands the risks involved in the management of the portfolio;
- The Intermediary has obtained information from the Member 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 Member has 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 (Ireland) 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 Member 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 Member the overall charging structure in relation to the services RBC Brewin Dolphin will provide;
- The Intermediary will disclose to the Member 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 Member is conducted;
- The Member’s tax residency information provided in this application form 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 Member’s 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 Pension Trustee, at the Members request, and will accordingly hold and provide its services in relation to the account under the terms of its appointment by the Pension Trustee.

**Intermediary Signature****Intermediary Authorised Signature(s)**

Signed

Date

Print Name(s)

## SECTION 7: DECLARATION AND ACCEPTANCE OF TERMS BY THE MEMBER

### 7.1 Data Protection and Sensitive Personal Data

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-policy](http://www.brewin.ie/privacy-policy) and you can also refer to our Retail Client Terms & Conditions available at [www.brewin.ie/literature-and-links](http://www.brewin.ie/literature-and-links).

#### Sensitive Personal Data

From time to time, we may collect certain sensitive personal data (including data about the Member's health) which you provide to us over the course of our relationship. We collect and process this sensitive personal data (defined as "special categories of personal data" under the GDPR) so that we can tailor the Member'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 sensitive personal data, including information about the Member's health, to the extent necessary in connection with the provision of its services to the Member.

Member

### 7.2 Declaration by the Member

I declare that:

- The information provided in this form relating to me is correct, complete and up-to-date;
- I understand that I am appointing RBC Brewin Dolphin to act as discretionary portfolio manager on this account by my selected Pension Trustee and will hold and provide its services in relation to the account under the terms of its appointment;
- I have received a copy of RBC Brewin Dolphin's Account Opening Information Pack, including the Terms & Conditions Ireland (For the clients of Intermediaries' (the "Terms")). I understand that, subject to the terms of RBC Brewin Dolphin's appointment by my selected Pension Trustee, the Terms set out the basis on which RBC Brewin Dolphin will engage with me;
- I acknowledge and agree that RBC Brewin Dolphin's receipt and acceptance of this Account Opening Form shall act as its appointment to provide its Discretionary services in relation to this account;
- I understand that in certain circumstances RBC Brewin Dolphin will be obliged to share my tax residency information, as disclosed in this application form, with the Irish tax authorities, who may share this with other tax authorities; and
- I will notify my Intermediary and Pension Trustee promptly of any changes to the information provided in this form and of any other relevant information.

#### Member

Signed (upload your electronic signature here)

Date

Print Name

## SECTION 8: DECLARATION AND ACCEPTANCE OF TERMS BY THE PENSION TRUSTEE

On behalf of the Pension Trustee of the Policy, we declare that:

- The information provided in this form regarding the Pension Trustee is complete and correct and we shall notify RBC Brewin Dolphin promptly of any changes in the details, status or circumstances of the Pension Trustee;
- We expressly consent to the Intermediary (authorised to act on behalf of the Member in Section 1 of this form) to communicate with, give general instructions to (for example, regarding the portfolio investment mandate), and otherwise deal with RBC Brewin Dolphin in respect of the Member's Account unless or until such authority is withdrawn by the Pension Trustee, by notice in writing, to RBC Brewin Dolphin;
- Where we supply RBC Brewin Dolphin with information about the Member we have a lawful basis 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;
- We are aware that in certain circumstances – 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 RBC Brewin Dolphin is not notified 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 Pension Trustee.

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### First Authorised Signatory

Signed (upload your electronic signature here)

Date

Print Name

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### Second Authorised Signatory

Signed (upload your electronic signature here)

Date

Print Name

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**SECTION 9: INTERMEDIARY CHARGING AGREEMENT****To be completed by the Member**

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)

**Member 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).

**Member**

Name

Signed

Date

**Pension Trustee Acknowledgment**

Authorised Signatory Name

Signed

Date

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

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