10 CONNECTED PERSONS

Please complete where appropriate.

Please note that the names you provide as Connected Persons are for reporting purposes only. Rathbones retains discretion on the reports which can be sent to any of these persons taking into account instructions you may provide in Section 11, Page 23.

Reporting is available as described in Section 11, Page 23.

Accountant

Company name

Title

☐ Mr ☐ Mrs

☐ Ms ☐ Miss ☐ Other (please specify)

Surname

Forename(s)

Address

Postcode

Telephone

Email

Solicitor

Company name

Title

☐ Mr ☐ Mrs

☐ Ms ☐ Miss ☐ Other (please specify)

Surname

Forename(s)

Address

Postcode

Telephone

Email

10 CONNECTED PERSONS CONTINUED

Please complete where appropriate.

Financial Adviser/Intermediary

Company name

Title

☐ Mr ☐ Mrs

☐ Ms ☐ Miss ☐ Other (please specify)

Surname

Forename(s)

Address

Postcode

Telephone

Email

Other Connected Person

Relationship

Scheme Administrator

Company name (if applicable)

Bespoke Pension Services LTD

Title

☒ Mr ☐ Mrs

☐ Ms ☐ Miss ☐ Other (please specify)

Surname

McCloskey

Forename(s)

Gavin

Address

Daws House

33-35 Daws Lane

London

Postcode

NW7 4SD

~~NW7 4SD~~

Telephone

02476010285

Email

info@bespokepension

services.co.uk

If there are additional Connected Persons, please enter the details in the Client notes Section on Page 24.

11 REPORTING

Please complete
For all clients

Periodic reports are available to clients and Connected Persons in printed format and/or online. We ask you to indicate below which individual should receive which reporting option.

Please note that, if you or a Connected Person selects the Online Portfolio Service rather than the printed options, a valid email address must be provided in Sections 4 and/or 10.

	Online Portfolio Service valuations	Printed valuations	Online Portfolio Service Taxation Papers[1]	Printed Taxation Papers[1] (tick one box only)	Annual Regulatory Report[2]	Contract notes[3]
Trustee/Director 1	☐	☐	☐	☐	☐	☐
Trustee/Director 2	☐	☐	☐	☐	☐	☐
Trustee/Director 3	☐	☐	☒	☒	☒	☐
Trustee/Director 4	☒	☒	☐	☐	☐	☐
Accountant	☐	☐	☐	☐	☐	☐
Solicitor	☐	☐	☐	☐	☐	☐
Financial Adviser/Intermediary	☐	☐	☐	☐	☐	☐
Other Connected Person	☐	☒	☐	☐	☐	☐

Valuation frequency

Please tick one of the following boxes to indicate how frequently valuations are to be received[4].

- ☐ Six monthly – March and September
- ☐ Six monthly – April and September
- ☒ Six monthly – June and December
- ☐ Three monthly

1 Please note that printed Taxation Papers will not be sent if you have selected the Online Portfolio Service option. Printed Taxation Papers will only be sent to one recipient, either an authorised officer as listed in Section 4 or a professional adviser, so please tick only one of the printed Taxation Papers boxes.

2 By default, the Annual Regulatory Report will be sent only to an authorised officer as listed in Section 4.

3 For discretionary Funds, by default, individual contract notes will not be provided. Details of all contract notes will be included in the online and printed valuations. However, if individual contract notes are required as well, please place ticks in this column to indicate who should receive them and these will be provided in a timely manner. Should you specifically require dispatch on a T+1 basis, please contact your Investment Manager. For all other Funds, these will be sent to the Fund holder.

4 Unless otherwise stated this will default to six monthly – 31 March and 30 September for charities and six monthly – 5 April and 30 September for trusts, companies and similar entities.

12 Client notes

Please attach additional sheets as necessary and specify the number of sheets in the box below.

☐ If additional sheets have been used please specify the number.

13 Client verification – Entity

Please ensure that all copies provided are clearly legible.

This page does not apply to Bare Trusts except for footnote 1 below.

Please note that a minimum of two trustees, directors or other authorised officers must sign this document for it to be valid. They must be listed in Section 4 and must provide identity verification documents as per this Section.

Please note that the information provided below applies to UK clients only and is not comprehensive.

For overseas clients and UK clients unable to provide the verification documents listed below, your Investment Manager will be pleased to explain what is required.

13.1 Getting your documents certified

We are required to verify the identity and address of every prospective client, both individuals and entities, by obtaining suitable certified documents. Certification may be performed either by a Rathbones staff member or a third party as follows:

Rathbones certification
You can bring the appropriate original documents (see below) with you to a meeting with your Investment Manager who will take a copy of the originals and complete the certification process for you.

Third party certification
If you prefer, certification can be performed by a professional who is governed by anti-money laundering regulations such as an accountant, banker, financial adviser, postmaster or solicitor. They will need to view the original document and write the following words on a copy of each document to be certified:

'I certify that this is a complete and true copy of the original document which I have seen.'

The professional should then sign underneath the words they have written and also write their name, the date they signed and the name and address of the company they work for.

13.2 Trust/Company agreements

Please provide an original or certified copy of the following documents.

- Copy of minutes appointing Rathbones as investment manager

The following document is required when not all of the trustees/directors are signing the form.

- Copy of resolution confirming full authority of signatories to sign on behalf of the applying entity (for trusts and charitable trusts this should be signed by a quorum of trustees)

13.3 Trust agreements

Please provide an original or certified copy of the following documents. Not applicable to company agreements.

- Trust deed
- Trust investment policy statement[2]
- Trust accounts or latest financial statements (if applicable)
- Details of additional trustees
- All deeds of appointment and retirement of all trustees not mentioned in the original trust deed

13.4 Company agreements

Please provide an original or certified copy of the following documents. Not applicable to trust agreements.

- Copy of certificate of incorporation
- Memorandum and articles of association
- Latest financial statements
- Details of additional directors

13.5 Trade union agreements

None of the above documents are required. Instead please provide the following.

- Trade union rules book

13.6 Charity agreements

If the charity is governed by a trust deed, please refer to Section 13.3 above. If the charity is registered with Companies House, please refer to Section 13.4 above.

1 If this agreement is for a Bare Trust and there is a trust deed available, we ask that you provide it.

2 Current UK legislation (the Trustee Act 2000) imposes a requirement on trustees to have in place a policy statement providing guidance to Investment Managers which we request that you provide.

13 Client verification – Individual

13.7 Identity verification

For EACH individual listed in Section 4 who will be providing instructions on the Portfolio, please verify their identity by providing ONE of the following. Either the original to be certified by Rathbones or a copy certified by a third party.

- Current passport
- Current full UK driving licence[1]
- HMRC tax notification[2]
- Government based correspondence[3]

For UK based company agreements only, please provide one identification verification document from the following list for all shareholders with a shareholding of 25% or more (10% or more for non UK based):

- Current passport
- Current full UK driving licence[1]
- HMRC tax notification[2]
- Government based correspondence[3]

For trust agreements only, please provide one identification verification document from the following list for all named beneficiaries of trust income (not relevant for charitable trusts):

- Current passport
- Current full UK driving licence[1]
- HMRC tax notification[2]
- Government based correspondence[3]

13.8 Address verification

For EACH individual listed in Section 4 who will be providing instructions on the Portfolio, please verify their address by providing ONE of the following. Either the original to be certified by Rathbones or a copy certified by a third party. Please note that documents used to verify identity may NOT also be used to verify address.

- Recent utility or council tax bill[4]
- Current full UK driving licence[1]
- Bank, building society, credit union statement/passbook[5]
- Mortgage statement from recognised lender[2]

For company agreements only, please provide one address verification document from the following list for all shareholders with a shareholding of 25% or more (10% or more for non UK based):

- Recent utility or council tax bill[4]
- Current full UK driving licence[1]
- Bank, building society, credit union statement/passbook[5]
- Mortgage statement from recognised lender[2]

For trust agreements only, please provide one address verification document from the following list for all named beneficiaries of trust income (not relevant for charitable trusts):

- Recent utility or council tax bill[4]
- Current full UK driving licence[1]
- Bank, building society, credit union statement/passbook[5]
- Mortgage statement from recognised lender[2]

13.9 Additional documentation

Each individual listed in Section 4 who has NOT met their Investment Manager prior to opening their Portfolio AND who will be providing instructions on the Portfolio should also provide ONE ADDITIONAL document from the following. Either the original to be certified by Rathbones or a copy certified by a third party.

- Personal portfolio statement from a UK investment manager (not older than 3 months)
- Bank, building society, credit union statement/passbook, (not older than 3 months). Credit card statements are not acceptable[6]

13.10 Non UK resident trust beneficiaries

Please provide the following

- A certified copy of either a non UK resident life tenant's passport or document, which includes an overseas Tax Identification Number (TIN)

1 Either the UK photocard licence or a current full old style paper licence. The paper counterpart of the photocard licence is not acceptable. Old style provisional licences are also not acceptable.

2 Not older than 12 months.

3 With relevant reference details eg date of birth or National Insurance number.

4 Not older than 3 months for utility bills (mobile telephone bills are not acceptable). The local authority council tax bill must be for the current year.

5 Not older than 3 months (credit card statements not acceptable).

6 Please note that if this proof has already been used to verify the client's address then it may NOT also be used as additional verification.

14 DECLARATIONS AND SIGNATURE(S)

We have received the documents making up the Rathbone Investment Management Limited Agreement and Contractual Packs as described on Page 3 of this document and confirm we have agreed to Rathbone Investment Management Limited managing and/or advising on the investments and maintaining as Banker, Capital, deposit and Income Accounts on our behalf, subject to the Terms of Business and other documents as referred to in the Terms of Business which make up our Agreement.

We confirm we are aware of the cancellation or withdrawal rights referred to in the Terms of Business (in Section 1 – Our Agreement and our services, under the subheadings, Cancellation rights and Withdrawal rights) under which our Funds are to be managed by Rathbone Investment Management Limited.

We accept that the information supplied in this form is only to enable Rathbone Investment Management Limited to manage or advise on our investment Portfolio in accordance with its Terms of Business.

We acknowledge that Rathbone Investment Management Limited is not our general financial adviser or pensions adviser, and any tax information provided is in the context of the investment advice and services offered. Rathbone Investment Management Limited is the principal trading company and a Subsidiary of Rathbone Brothers Plc, and is a bank.

We have read all of this Client Agreement and Profile and we confirm that we have provided full and accurate information on our personal and financial circumstances in order that you may manage or advise on our investments accordingly. We understand the service that is being provided and that Rathbone Investment Management Limited may decline to act on our behalf in the event that the information provided is incomplete.

We consent to Rathbone Investment Management Limited's dealing and best execution arrangements and acknowledge that on some occasions when Rathbone Investment Management Limited passes an order to another party for execution, the counterparty may execute the trade outside a regulated market or exchange.

We consent to the use of our Personal Data by Rathbone Investment Management Limited and its group companies (including but not limited to Rathbone Brothers Plc, Rathbone Unit Trust Management, Rathbone Trust Company, and Rathbone Pension and Advisory Services), in accordance with the Terms of Business, and the Data Protection Act 1998.

We confirm that we have full authority to sign on behalf of the company/trust and if all directors/trustees[1] do not sign, a resolution authorising us will be provided.

If there is anything you do not understand, please contact your Investment Manager before you sign and return this Agreement and associated forms.

Please note that a minimum of two trustees/directors or other authorised officers as listed in Section 4 and who have had their identity verified as per Section 13 must sign this document.

Trustee/Director[1]

Signed Pauric M'Grane

Name Pauric Terence McGrane

Date 22.7.13.

Signed Philip Michael McGrane

Name Philip Michal McGrane

Date 22.7.13

Signed M McGrane.

Name M M^c GRANE

Date 22.7.13

Signed C. M'Grane.

Name CARMEL MC GRANE

Date 22.7.13

1 Or other authorised officer as described in Section 4 – Authorised officer information.

If there are additional signatories and signatures, please enter these in the Client notes Section on Page 24.

Investment manager notes

Investment Manager

Extension

Time

Date

Notes

Signed

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RATHBONES
Established 1742