Form 500 RAYMOND JAMES

Trust and Self-Certification Account Form

Includes Charity Accounts structured as a Trust

Please complete all sections electronically
or in BLOCK capitals using blue or black ink.

Client Name: Julie Elizabeth McMahon

Wealth Manager Details

Location Code

Responsibility Code

Investment Decision Maker Code

Wealth Manager

Raymond James Head Office Use Only

Account reference **RK**

Raymond James Investment Services Limited is a company registered in England and Wales (Reg. No. 03779657).
Our registered office is at Ropemaker Place, 25 Ropemaker Street, London EC2Y 9LY, which is also our principal place of business.

Pershing Securities Limited (PSL) is a company registered in England and Wales (Reg. No. 02474912).
Its registered office is at Royal Liver Building, Pier Head, Liverpool L3 1LL.

Both Raymond James Investment Services Limited and Pershing Securities Limited are members are of the London Stock Exchange and are authorised and regulated by the Financial Conduct Authority which is located at 12 Endeavour Square, London E20 1JN.

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TRUST AND SELF-CERTIFICATION ACCOUNT FORM

RAYMOND JAMES

Account Type

Trust [ ] Charity [ ] SSAS [x] QROPS [ ] QNUPS [ ]

Trust Details

Legal name of the Trust/Charity/Scheme	Triumph Pension Fund
Registered Charity No. *if applicable*	
Country of Incorporation	United Kingdom
Legal Entity Identifier No.*	
Registered Address	
Address Line 1	Venture Wales Building
Address Line 2	Pentrebach
Address Line 3	
City/Town	Merthyr Tydfill
Post Code	CF48 4DR
Country	UK
Correspondence address *if different to above*	
Primary contact telephone number	
Primary email address	mcmahonjulie6@aol.com
Countries of Tax Residency *state primary first*	US
Tax Identification Number (TIN/UTR)	Yes [ ] No [ ] TIN/UTR:
If 'No' please state the reason	
Pension Scheme Tax Reference (PSTR) *if applicable*	00526605RC
Nature and purpose of the Trust *please list the main activities the Trust is involved in*	Retirement Benefits Scheme

* A LEI must be in place on entity accounts prior to transferring or trading MiFID II reportable instruments. If you are unsure whether this account requires one, please refer to the MiFID II Transaction Reporting guidance on the Portal or contact Client Services.

Trustee Details

	Trustee 1	Trustee 2
Title	Mrs	
Forename	Julie	
Middle name	Elizabeth	
Surname	McMahon	
Date of birth	DD MM YYYY	DD MM YYYY
Gender	Male [ ] Female [x]	Male [ ] Female [ ]
Primary Residential Address		
Address line 1	1400 Lemon Bay Dr	
Address line 2	Venice	
Address line 3	Florida	
City/Town		
Postcode	34293-6165	
Country	USA	
Correspondence address *if different from above*		
Primary contact telephone number		
Email address	mcmahonjulie6@aol.com	
Countries of Tax Residency *state primary first*	USA	
Tax Residency Identifier No.*		
Are you a US Person?**	No [ ] Yes [x]	No [ ] Yes [ ]
Countries of Citizenship *state primary first*		
Nationality *state primary first*		
Place of birth — Town		
Place of birth — Country		
Occupation		

* If you have a National Insurance number, this can be found on your National Insurance Card, payslip, form P45 or P60, pension order book or letters from HM Revenue and Customs or Department for Work and Pensions.

** We have limited options for US Persons. For a definition of US Person please refer to the IRS website: https://www.irs.gov/individuals/international-taxpayers/foreign-persons

RAYMOND JAMES

	Trustee 3		Trustee 4	
Title				
Forename				
Middle name				
Surname				
Date of birth	DD MM YYYY		DD MM YYYY	
Gender	Male ☐	Female ☐	Male ☐	Female ☐
Primary Residential Address				
Address line 1				
Address line 2				
Address line 3				
City/Town				
Postcode				
Country				
Correspondence address *if different from above*				
Primary contact telephone number				
Email address				
Countries of Tax Residency *state primary first*				
Tax Residency Identifier No.*				
Are you a US Person?**	No ☐	Yes ☐	No ☐	Yes ☐
Countries of Citizenship *state primary first*				
Nationality *state primary first*				
Place of birth — Town				
Place of birth — Country				
Occupation				

* If you have a National Insurance number, this can be found on your National Insurance Card, payslip, form P45 or P60, pension order book or letters from HM Revenue and Customs or Department for Work and Pensions.

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Beneficiary Details

	Beneficiary 1	Beneficiary 2
Beneficiary Type *Settlor, Protector, Trustee, Beneficiary, Controlling Person*	Trustee	
Personal Details the same as Trustee	1 [x] 2 [ ] 3 [ ] 4 [ ]	1 [ ] 2 [ ] 3 [ ] 4 [ ]
Title	Mrs	
Forename	Julie	
Middle name	Elizabeth	
Surname	McMahon	
Date of birth	11-09-1959	DD MM YYYY
Gender	Male [ ] Female [x]	Male [ ] Female [ ]
Primary Residential Address		
Address line 1	1400 Lemon Bay Drive	
Address line 2		
Address line 3		
City/Town	Venice, Florida.	
Postcode	34293	
Country	USA	
Correspondence address *if different from above*		
Primary contact telephone number	941-223-1760	
Email address		
Countries of Tax Residency *state primary first*	USA	
Tax Residency Identifier No.*	768 20 7062.	
Are you a US Person?**	No [ ] Yes [ ]	No [ ] Yes [ ]
Countries of Citizenship *state primary first*	England / USA.	
Nationality *state primary first*	England / USA.	
Place of birth — Town	Burnley, Lancashire	
Place of birth — Country	England	
Occupation	Real Estate.	
Holding %	100 %	%

* If you have a National Insurance number, this can be found on your National Insurance Card, payslip, form P45 or P60, pension order book or letters from HM Revenue and Customs or Department for Work and Pensions.

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RAYMOND JAMES

	Beneficiary 1	Beneficiary 2
Qnups and Qrops only		
National Identifier Type: *NINO/Passport/TIN/CONCAT*	N ☐ P ☐ T ☐ C ☐	N ☐ P ☐ T ☐ C ☐
National Identifier No.***		

*** Please be aware that the National Identifier no. can be different to your Tax Residency Identifier no.; please refer to page 18 and 19
http://ec.europa.eu/finance/securities/docs/isd/mifid/rts/160728-rts-22-annex_en.pdf

RAYMOND JAMES

	Beneficiary 3	Beneficiary 4
Beneficiary Type *Settlor, Protector, Trustee, Beneficiary, Controlling Person*		
Personal Details the same as Trustee	1 ☑ 2 ☐ 3 ☐ 4 ☐	1 ☐ 2 ☐ 3 ☐ 4 ☐
Title		
Forename		
Middle name		
Surname		
Date of birth	DD MM YYYY	DD MM YYYY
Gender	Male ☐ Female ☐	Male ☐ Female ☐
Primary Residential Address		
Address line 1		
Address line 2		
Address line 3		
City/Town		
Postcode		
Country		
Correspondence address *if different from above*		
Primary contact telephone number		
Email address		
Countries of Tax Residency *state primary first*		
Tax Residency Identifier No.*		
Are you a US Person?**	No ☐ Yes ☐	No ☐ Yes ☐
Countries of Citizenship *state primary first*		
Nationality *state primary first*		
Place of birth — Town		
Place of birth — Country		
Occupation		
Holding %		

* If you have a National Insurance number, this can be found on your National Insurance Card, payslip, form P45 or P60, pension order book or letters from HM Revenue and Customs or Department for Work and Pensions.

** We have limited options for US Persons. For a definition of US Person please refer to the IRS website: https://www.irs.gov/individuals/international-taxpayers/foreign-persons

	Beneficiary 3	Beneficiary 4
Qnups and Qrops only		
National Identifier Type: *NINO/Passport/TIN/CONCAT*	N ☐ P ☐ T ☐ C ☐	N ☐ P ☐ T ☐ C ☐
National Identifier No.***		

*** Please be aware that the National Identifier no. can be different to your Tax Residency Identifier no.; please refer to page 18 and 19
http://ec.europa.eu/finance/securities/docs/isd/mifid/rts/160728-rts-22-annex_en.pdf

Service Level* *Tick one box only*

Managed Discretionary Service	[X]	Advisory Portfolio Service	[ ]	Advisory Dealing Service	[ ]	Execution Only Service	[ ]

*Please refer to our *Raymond James Terms of Business* for definitions of service levels.

Investment Strategy *Managed Discretionary Service and Advisory Portfolio Service Accounts only – tick one box only*

For all Managed or Advisory accounts, a completed ISAT must accompany this account form before an account can be opened. The strategies below are indicative only and used for general reporting purposes and may not precisely match the investment strategy agreed with your Wealth Manager. Please ask your Wealth Manager if you want further information about these generic strategies.

100% defensive investment	[ ]	75% defensive investment and 25% growth investment	[ ]
50% defensive investment and 50% growth investment	[ ]	25% defensive investment and 75% growth investment	[ ]
100% growth investment	[ ]		

Benchmark *Required for Managed Discretionary Accounts*

We establish benchmark(s) using the relevant indices by which your Portfolio performance can be assessed. The benchmark(s) and indices used will depend on your agreed investment strategy; your Wealth Manager will discuss this with you. Please select between one and five indices for your Portfolio:

Portfolio Benchmark(s)	Benchmark Code *Wealth Manager to complete*	Total or Capital Return*	
		[ ] TR	[ ] CR
		[ ] TR	[ ] CR
		[ ] TR	[ ] CR
		[ ] TR	[ ] CR
		[ ] TR	[ ] CR

**The default for each Index will be Total Return (TR) unless Capital Return (CR) is requested.*

Dividends and Interest

Investment income will be paid into the dealing ledger as **default**.
However, if you would prefer your investment income to be paid into an income ledger please tick here: ☐

If you have selected for an income ledger all investment income may either be retained, or paid out of your income ledger at a set frequency to the primary bank/building society account you have specified. Please choose your income preference below:

Income Ledger Preference

Paid on receipt	☐	Paid monthly	☐	Paid quarterly (March, June, Sept, Dec)	☐
Paid half yearly (June, December)	☐	Paid annually (December)	☐	Retained on income ledger	☐

Primary Bank/Building Society Account Details

Bank name		Sort code	00 - 00 - 00
Account name		Building Society roll no *if applicable*	
Account number		SWIFT *if applicable*	
Currency*: GBP, EUR, USD, other – *specify*		IBAN *required for Euro payments*	

Additional routing instructions *if applicable*
e.g. intermediary bank details

These bank details must be in the same name as the Account Owner. These will be the primary bank details on your Account. To add additional bank details, please contact your Wealth Manager.

**Whilst it is possible to make ad hoc payments to a non-GBP bank account, it is not possible to set up regular payments in a currency other than GBP.*

Regular Withdrawal Requirements

Please specify your regular withdrawal requirement below:

Amount: £ 2125.00

Frequency: Monthly ☐ Half-yearly ☐ Quarterly ☑ Yearly ☐

Start date: 01 05 2021

All regular withdrawals will be established on your dealing ledger.

Important Note: *if there are insufficient funds to make a payment, no payment will be made.*

Reporting

Custody Statement

You will receive a period record of your holdings, held in nominee on your behalf by PSL in the form of a Custody Statement. This is sent to you by PSL in order to meet its regulatory obligations as custodian of your assets. Please note; future Custody Statements may be incorporated into your quarterly valuation.

Valuation Frequency

For Managed Discretionary Portfolios, valuations will be provided on a quarterly basis.

For Advisory Portfolio/Advisory Dealing/Execution Only Portfolios please select a frequency below:

Quarterly (March, June, September, December) ☑ Half Yearly (June, December) ☐ Yearly (December) ☐

Valuation Reporting Currency

Valuations are reflected in GBP as **default**.

If you wish for your valuation to report in a different currency please specify the currency here: ☐

Important note: *once transactions have taken place on the account, the reporting currency cannot be changed.*

Valuation Consolidation

Option 1

☐ We would like a standalone valuation for this new account.

Valuation Title*
**Maximum of 32 characters*

Option 2

☐ We wish to consolidate this new account with another existing Raymond James Account:

Account Reference No. **RK** | Relationship to Account
Account Name | Account Type

Important Note: *The existing Raymond James Account will remain the Master Valuation account. If you require the valuation title to be updated (e.g. from Mr Smith to Mr & Mrs Smith) please detail the new valuation title below:*

Valuation Title*
**Maximum of 32 characters*

Option 3

☐ We wish to consolidate this new account with another new Raymond James Account:

Account Name | Account Type

Relationship to account

Which of these accounts will be considered the Master Valuation account?

Valuation Title*
**Maximum of 32 characters*

Important Note: *If this option is selected we must receive the relevant new account packs at the same time to facilitate the consolidation.*

Contract Notes *Managed Discretionary Accounts only*

If you have selected 'Managed Discretionary Service' in the Service Level section, we will provide all trade confirmations within your valuation on a quarterly basis.

However, if you wish to receive a contract note for each trade that your Wealth Manager executes on your behalf, please tick below:

☐ Yes, please provide a contract note for each trade executed on our behalf.

Contract notes will be sent or made available to you as soon as possible, and no later than the first business day following the transaction.

Client Access

Where you already have Client Access, this account along with any other new accounts will automatically be linked and viewable through your existing access.

Trustee/Owner 1

Do you require access/continued access to view your accounts online? Yes ☑ No ☐

Trustee/Owner 2

Do you require access/continued access to view your accounts online? Yes ☐ No ☐

Trustee/Owner 3

Do you require access/continued access to view your accounts online? Yes ☐ No ☐

Trustee/Owner 4

Do you require access/continued access to view your accounts online? Yes ☐ No ☐

By selecting yes, you are asking Raymond James to provide you with login details to your account(s) via the Raymond James Client Access Portal. Terms and Conditions of usage will be made available to you and will need to be accepted prior to you using this tool for the first time.

Important note: *If you have selected yes please ensure you have provided an email address and telephone number in the personal details section.*

Third Party Instructions

As the Trustee(s) we authorise:

- Raymond James to accept any and all instructions, as described in the 'Your Instructions' section in the *Raymond James Terms of Business*, from the undermentioned party. ***Please tick where appropriate:***

Requests for copies of valuations* and contract notes [x] Client Access [ ]

If you wish for the third party to be set up to receive copies of any valuations* or contract notes you receive, please indicate below:

Contract Notes [ ] Valuations* [x]

**A charge will be incurred for additional copies of valuations*

Relationship to account	Administrator
Title	Mr
Forename	Gavin
Middle name	
Surname	McCloskey
Date of birth	14/12/1968
Gender	Male [x] Female [ ]

Primary Residential Address

Address line 1	1st Floor
Address line 2	World Trade Centre
Address line 3	
City/Town	Gibraltar
Postcode	GX11 1AA
Country	
Correspondence address *if different from above*	Please only email valuation data.
Primary contact telephone number	0800 634 4862
Email address	gavinm@pensionpractitioner.com

Authorised Third Party Signature

Full name *Please print*	Gavin McCloskey
Signature	Please sign here
Date	DD MM YYYY

Please note Raymond James reserves the right, in its absolute discretion, whether to deal with and accept instructions from the aforementioned third party.

Trust Self-Certification

FATCA Classification

Is this Trust a **Financial Institution (FI)**?

If yes, please provide the Global Intermediary Identification Number (GIIN): ☐☐☐☐☐☐.☐☐☐☐☐.☐☐.☐☐☐

If unable to provide a GIIN, please tick one of the following:

i. Exempt Beneficial Owner ☒ X

ii. Owner Documented FI ☐ *Please complete the below section:*

In order to qualify as Owner-Documented the Trust must meet the below criteria. Please declare you meet each criteria by by using the tick boxes provided:

1. Trust does not maintain a financial account for any Non-Participating Financial Institution, i.e. a Non-Participating FI does not hold an equity interest or debt interest in the Trust. ☐
2. Trust is not owned by, nor a member of, a group of related Entities with any FI that is a depositary, custodial or specified insurance company as defined in UK legislation. ☐
3. Trust provides Raymond James (i.e. the reporting entity) information regarding all persons – both natural and legal persons – that hold direct or indirect equity or debt interest in the Trust. ☐

RAYMOND JAMES

Trust Owner Information – *Direct Interest Holders*

	Trust Owner 1	Trust Owner 2
Trust owner type *Settlor, Protector, Trustee, Beneficiary, Controlling Person*	Trustee	
Personal Details the same as Trustee	1 [x] 2 [ ] 3 [ ] 4 [ ]	1 [ ] 2 [ ] 3 [ ] 4 [ ]
Title	Mrs	
Forename	Julie	
Middle name	Elizabeth	
Surname	McMahon	
Date of birth	11/09/1959x MM YYYY	DD MM YYYY
Gender	Male [ ] Female [x]	Male [ ] Female [ ]
Primary Residential Address		
Address line 1	1400 Lemon Bay	
Address line 2	Drive	
Address line 3		
City/Town	Venice, Florida	
Postcode	34293	
Country	USA	
Correspondence address *if different from above*		
Primary contact telephone number	941-223-1760	
Email address	mcmahonjulie6@aol.com	
Countries of Tax Residency *state primary first*	USA	
Tax Residency Identifier No.*		
Are you a US Person?**	No [ ] Yes [✓]	No [ ] Yes [ ]
Countries of Citizenship *state primary first*	England / USA	
Nationality *state primary first*	England / USA	
Place of birth — Town	Burnley, Lancashire	
Place of birth — Country	England	
Occupation	real estate	
Holding %	100	

* If you have a National Insurance number, this can be found on your National Insurance Card, payslip, form P45 or P60, pension order book or letters from HM Revenue and Customs or Department for Work and Pensions.

** We have limited options for US Persons. For a definition of US Person please refer to the IRS website: https://www.irs.gov/individuals/international-taxpayers/foreign-persons

RAYMOND JAMES

Trust Owner Information – *Direct Interest Holders*

	Trust Owner 3	Trust Owner 4
Trust owner type *Settlor, Protector, Trustee, Beneficiary, Controlling Person*		
Personal Details the same as Trustee	1 ☐ 2 ☐ 3 ☐ 4 ☐	1 ☐ 2 ☐ 3 ☐ 4 ☐
Title		
Forename		
Middle name		
Surname		
Date of birth	DD MM YYYY	DD MM YYYY
Gender	Male ☐ Female ☐	Male ☐ Female ☐
Primary Residential Address		
Address line 1		
Address line 2		
Address line 3		
City/Town		
Postcode		
Country		
Correspondence address *if different from above*		
Primary contact telephone number		
Email address		
Countries of Tax Residency *state primary first*		
Tax Residency Identifier No.*		
Are you a US Person?**	No ☐ Yes ☐	No ☐ Yes ☐
Countries of Citizenship *state primary first*		
Nationality *state primary first*		
Place of birth – Town		
Place of birth – Country		
Occupation		
Holding %		

* If you have a National Insurance number, this can be found on your National Insurance Card, payslip, form P45 or P60, pension order book or letters from HM Revenue and Customs or Department for Work and Pensions.

** We have limited options for US Persons. For a definition of US Person please refer to the IRS website: https://www.irs.gov/individuals/international-taxpayers/foreign-persons

Trust Owner Information – *Indirect Interest Holders*

	Trust Owner 3	Trust Owner 4
Trust owner type *Settlor, Protector, Trustee, Beneficiary, Controlling Person*		
Personal Details the same as Trustee	1 ☐ 2 ☐ 3 ☐ 4 ☐	1 ☐ 2 ☐ 3 ☐ 4 ☐
Title		
Forename		
Middle name		
Surname		
Date of birth	DD MM YYYY	DD MM YYYY
Gender	Male ☐ Female ☐	Male ☐ Female ☐
Primary Residential Address		
Address line 1		
Address line 2		
Address line 3		
City/Town		
Postcode		
Country		
Correspondence address *if different from above*		
Primary contact telephone number		
Email address		
Countries of Tax Residency *state primary first*		
Tax Residency Identifier No.*		
Are you a US Person?**	No ☐ Yes ☐	No ☐ Yes ☐
Countries of Citizenship *state primary first*		
Nationality *state primary first*		
Place of birth — Town		
Place of birth — Country		
Occupation		
Holding %		

* If you have a National Insurance number, this can be found on your National Insurance Card, payslip, form P45 or P60, pension order book or letters from HM Revenue and Customs or Department for Work and Pensions.

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RAYMOND JAMES

Declaration

We declare, we:

- have read this form and to the best of our knowledge and belief, the information we have provided is correct; and
- shall notify our Wealth Manager immediately of any change to: i) the information in this *Account Form*; ii) our personal circumstances; and/or iii) our objectives; and
- are the Trustee(s) for the beneficiary named in this *Account Form*.

By completing and signing this Account Form, we:

- confirm we have been provided with *Raymond James' Terms of Business* and the *Schedule of Fees and Charges* which we have had the opportunity to read;
- confirm we wish to enter into the Agreement with Raymond James and understand the Agreement consists of this *Account Form*, the *Raymond James Terms of Business*, the *Schedule of Fees and Charges* and the *Rates and Charges* document; and
- consent to Raymond James validating our personal identification and verifying my address internally or through a third party.

Trustee 1

Full name *Please print*: Julie Elizabeth McMahon

Capacity: Trustee [x] or state capacity in which you are acting: Trustee

Signature: Julie E McMahon

Date: 04 04 2021.

Trustee 2

Full name *Please print*:

Capacity: Trustee [ ] or state capacity in which you are acting:

Signature: X Please sign here

Date: DD MM YYYY

Trustee 3

Full name *Please print*:

Capacity: Trustee [ ] or state capacity in which you are acting:

Signature: X Please sign here

Date: DD MM YYYY

Trustee 4

Full name *Please print*:

Capacity: Trustee [ ] or state capacity in which you are acting:

Signature: X Please sign here

Date: DD MM YYYY

Wealth Manager Declaration

I declare, I:

- have read this form and confirm that the information provided is correct to the best of my knowledge;
- agree to notify Raymond James immediately of any significant changes; and
- agree to notify Raymond James of any change to the agreed portfolio mandate or service level.

Full name *Please print*: Julie Elizabeth McMahon

Signature: Julie E McMahon

Date: 04 04 2021