

Financial Adviser Private Client Agreement

RATHBONES

Incorporating
Investec Wealth &
Investment (UK)

1	Account holder(s) name/ Sub-account name	Account holder(s) <input type="text"/>	Sub account <input type="text"/>
2	Financial Adviser details	Financial Adviser company name <input type="text"/>	Financial Adviser name <input type="text"/>
3	Financial Adviser's agency number	Investec agency number (Portfolio data will be provided to your back office system. NB not all services are supported.) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	I am/we are applying as: 1. Individual Client <input type="checkbox"/> 2. Joint Clients <input type="checkbox"/> 3. Multiple Clients (complete additional parties form) <input type="checkbox"/>

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Stocks & Shares ISA – ISA Subscription & ISA Transfer Forms

Section: 1

Client details and Tax Information

Section A: Beneficial Owner Information

1.1 Client(s) name(s) and title(s)

Applicant 1

If you have any difficulties completing this section,
please contact your tax adviser.

Title & full name

1.2 Client(s) address(es)

Residential address only

NB to specify a c/o or correspondence
address, add in to Additional
Information section

Permanent residence address/postcode

1.3 Telephone number(s)

Landline (home)

Landline (business)

1.4 Mobile number(s)

Mobile (inc. international call prefix e.g. +44)

+

Applicant 2

If you have any difficulties completing this section,
please contact your tax adviser.

Title & full name

Permanent residence address/postcode

Landline (home)

Landline (business)

Mobile (inc. international call prefix e.g. +44)

+

Investec Wealth & Investment (UK) is a trading name of Investec Wealth & Investment Limited

Section: 1 (continued)

Client details and Tax Information

1.5	Email address(es)	Email address <input type="text"/>		Email address <input type="text"/>	
1.6	Date(s) of birth	Date of birth (dd/mm/yyyy) <input type="text"/>		Date of birth (dd/mm/yyyy) <input type="text"/>	
1.7	Country(ies) of birth/place(s) of birth	Country of birth <input type="text"/>	Place of birth (town or city) <input type="text"/>	Country of birth <input type="text"/>	Place of birth (town or city) <input type="text"/>
1.8	Occupation(s)	Occupation/previous occupation <input type="text"/>		Occupation/previous occupation <input type="text"/>	
1.9	Nationality(ies) and NCI(s)	Primary nationality <input type="text"/>	Primary national client identifier (NCI)** <input type="text"/>	Primary nationality <input type="text"/>	Primary national client identifier (NCI)** <input type="text"/>
1.10	Dual nationality(ies) (if applicable)	Second nationality <input type="text"/>	Secondary national client identifier (NCI)** <input type="text"/>	Second nationality <input type="text"/>	Secondary national client identifier (NCI)** <input type="text"/>

Section B: Tax Residency

Please indicate ALL countries in which you are resident for the purposes of that country's income tax. You must provide your tax identification number (TIN) for each country you are tax resident in. Example TIN's include NI number (UK and Isle of Man), Social Security Number (Guernsey, Jersey, Gibraltar), and US Tin (US).

If you are unable to provide a relevant Tax Identification Number (e.g. Minor) then please explain the reason why in the Tax Identification Number box, e.g. Minor. If you are a US citizen, Green Card holder, US resident, or have a substantial presence in the US* (see definition below), you must complete and return to Investec Wealth & Investment an IRS (Internal Revenue Service) W-9 form and include US and any additional non-US tax residencies in the table below.

* Substantial presence is defined as if you were physically present in the US on at least: 31 days during the current year; and 183 days during the 3 year period that includes the current year and the 2 years immediately before that.

**National Client Identifiers (NCI's), for guidance see NCI table underneath declarations section.

1.11	Main tax residency(ies) Please complete even if the same as 1.9	Country of tax residency (1) <input type="text"/>	Tax identification number (1) <input type="text"/>	Country of tax residency (1) <input type="text"/>	Tax identification number (1) <input type="text"/>
1.12	Specify additional countries of which you are a resident for tax purposes If you do not have a Tax identification number for said countries, please use the space and state why.	Country of tax residency (2) <input type="text"/>	Tax identification number (2) <input type="text"/>	Country of tax residency (2) <input type="text"/>	Tax identification number (2) <input type="text"/>
		Country of tax residency (3) <input type="text"/>	Tax identification number (3) <input type="text"/>	Country of tax residency (3) <input type="text"/>	Tax identification number (3) <input type="text"/>
		Country of tax residency (4) <input type="text"/>	Tax identification number (4) <input type="text"/>	Country of tax residency (4) <input type="text"/>	Tax identification number (4) <input type="text"/>

1.13	Tax position	Please be aware that Capital Gains Tax (CGT) calculations are indicative and should be checked by an accountant or tax adviser. We will endeavour to meet your preferences, but cannot guarantee this.	
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		Applicant 1		Applicant 2	
1.14	CGT exemption available to us each year:	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
1.15	Is it acceptable to realise gains in excess of the annual CGT allowance?*	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
1.16	If yes, please state the maximum tax liability you are prepared to pay*	£ <input type="text"/>		£ <input type="text"/>	
1.17	Are there any carry forward losses available?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
1.18	If yes, what figure has been agreed by the Inland revenue?	£ <input type="text"/>		£ <input type="text"/>	
1.19	Marginal tax rate?	% <input type="text"/>		% <input type="text"/>	
1.20	Would you like us to take advantage of your ISA allowance each year?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Yes <input type="checkbox"/>	No <input type="checkbox"/>

* There can be circumstances where the crystallisation of a capital gain is beyond our control (e.g. takeover for cash). In such circumstances, it may not be possible to remain within the CGT allowance or restrict the amount of tax payable.

Section: 2

Details of the service

2.1 Initial investment amount

GBP unless otherwise specified

NB Minimum investment : AIM IHT Planner - £100,000.

For electronic payments our bank details can be found on the Investec website, or contact your investment manager.

2.2 Time horizon

1-5 years

☐

6-10 years

☐

10 years+

☐

Select one of our two services below and complete the relevant questions in:

A. Portfolio Managed Service

☐

B. AIM IHT Planner

☐

A Portfolio Managed Service (Discretionary only)

*UK residents only

General Investment Account
Only (GIA)

☐

General Investment Account and
Individual Savings Account (GIA & ISA)*

☐

Individual Savings Account
Only (ISA)*

☐

2.3 Mandates

This client agreement confirms that, as detailed in your Portfolio Suitability Report 'Our Investment Recommendation', and in line with our Managing your Investments document, your GIA & ISA(s) will be operated on the following investment mandate:

2.4 Risk profile

Low

☐

Low/Medium

☐

Medium

☐

Medium/High

☐

High

☐

2.5 Investment objective

Balanced

☐

Income

☐

Growth

☐

B AIM IHT Planner (Discretionary only)

*UK residents only

General Investment Account
Only (GIA)

☐

General Investment Account and
Individual Savings Account (GIA & ISA)*

☐

Individual Savings Account
Only (ISA)*

☐

2.6 Mandates

NB AIM IHT will be classified as **High Risk** with a **Growth Objective**, using the **FTSE AIM All Share benchmark**, assets invested in this product are intended to be passed on to the beneficiaries of your estate, after your death.

Section: 3

Your money

Any funds which we hold for you will be held in a bank account on your behalf subject to the FCA Client Assets Rules. If you request us to pay money to you, we will normally only pay money by automated transfer to the bank or building society nominated by you below. If your account changes or you wish money to be paid to another account we ask that you confirm this in writing in advance of payment.

3.1 UK bank details

Account name	Bank/building society name
<input type="text"/>	<input type="text"/>
Sort code	Account number
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Payment reference (if applicable)	Building society roll number
<input type="text"/>	<input type="text"/>

3.2 Foreign bank details

Beneficiary's bank (not all fields apply to each currency)

Currency	Account name
<input type="text"/>	<input type="text"/>
Beneficiary Swift code/BIC	IBAN/account number
<input type="text"/>	<input type="text"/>
Reference	ABA
<input type="text"/>	<input type="text"/>
Intermediary bank (if applicable)	Swift code/BIC
<input type="text"/>	<input type="text"/>

3.3 Additional bank details

If you have any additional bank details, add them into the Additional Information Section and tick here ☐

3.4 Income instructions

Please reinvest into my/our IW&I capital account	Transfer to my/our bank account as indicated above	Transfer to separate Accumulation of Income account
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

NB Income will be paid to your capital or other account on a quarterly basis.

3.5 Standing orders (regular withdrawals)

Leave blank if not required
NB not available for AIM IHT

Monthly	Quarterly	Half yearly	Annually
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

The date of the first payment should be (dd/mm/yyyy):

<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Standing Order Amount (default currency GBP unless specified).
<input type="text"/>	<input type="text"/>

Financial background

In order to comply with anti-money laundering regulations, we are required to form a complete understanding of how our clients accumulated their overall wealth and the assets that we are being asked to manage. We are unable to accept funds for investment without this information.

3.6 Origins of wealth

Describe the principal sources of your overall wealth. e.g. earnings from employment and job sector / inheritance and relationship.

3.7 Your investment

Specify how the capital sum that you wish to invest with IW&I has arisen, including source and business activity.

3.8 Source of funds

The funds to be invested with IW&I will be remitted from the following institution/location, also indicate from which country the funds originate. (e.g. bank account held at HSBC; portfolio transferred from another investment manager, UK).

Section: 4

Communication preferences

4.1 Valuation dates

Valuations produced quarterly as at 31st March / 30th June / 30th September / 31st December (unless specified below)

4.2 Valuation currency

Valuation currency GBP (unless specified below)

4.3 Online access

Investec Online

Investec Online is a digital portal that gives you secure access to real-time holdings, asset allocation, valuations, and more. To use this service, each applicant must have their own email address and mobile number. We will send instructions to the email address you have provided in this form to help you login for the first time.

You will also need a memorable, **six-character** security word/number

Applicant 1

Or existing users provide email address or GCN

Applicant 2

Or existing users provide email address or GCN

Investec Online users have access to valuations and reports online and so will not receive these by post. To continue to receive paper copies by post, please select the relevant options.

Annual tax report	Annual valuation (calendar year end)	or	Quarterly valuations
<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>

Please note:

- Each applicant must have their own email address and mobile telephone number.
- Kindly ensure that you have provided both the email address and mobile telephone number within section 1 of this form.
- We will send you an email outlining how to log in for the first time. You will be required to have your six character memorable word/number above to hand.
- Please refer to our full terms and conditions document for details of the terms and conditions applicable for Investec online.

4.4 Communication by email

Many clients choose email as their preferred method of communication with IW&I. However, you should be aware that unencrypted email is not a secure medium. Therefore, the following conditions apply to our email communications with you or any nominated person on your behalf.

Receiving instruction by email

When communicating by email, you give us authority to receive instruction on:

- The transfer of funds between accounts in your name(s)
- The processing, amendment, or cancellation of other information relating to this account
- Adding payment details
- Transfer instructions for electronic transfer of assets

When we receive instruction by email, we take no responsibility for verifying its authenticity. While we reserve the right not to action the instruction if we believe it to be fraudulent, we take no liability for fraudulent or false instruction.

We can also give no guarantee that the instruction will be executed within a specific timeframe, particularly in cases where the addressee is unavailable, or our email system is inaccessible.

Providing information by email

When requesting that we provide information to you by email, you confirm that you are responsible for access to your email account and its security. We will provide information to the email address you have shared with us in this form and will assume that this remains current unless you inform us otherwise.

Authority to communicate by email shall continue in full force and effect until we receive different instructions from you in writing, in a medium other than email.

4.5 Marketing communications

We would like to keep in touch to make sure you receive exclusive event invites, market update information and news relevant to you. In order to make these more relevant to our audience we may use your information (e.g. location) for internal marketing analytics. To opt in to hear from us, please use the tick box below:

☐ Yes, I'm happy to receive further invites and communications from Investec

In order to develop exclusive products and services tailored to our clients' interests we work closely with a handful of carefully selected third-party partners. To allow us to do this effectively we must share a limited amount of your information. Please opt in if you're happy to help.

☐ Yes, I'm happy for my information to be shared

You can change your mind at any time. To update your preferences, contact your Investment Manager or email communications@investecwin.co.uk.

For more information on how your data is stored and shared, please see our **Privacy Policy** in our Terms and Conditions.

Section: 5

Relationship with other Individual(s)/Organisation(s)

5.1 Information to my Financial Adviser

Your Financial Adviser will receive Valuations, Annual Reports, confirmation of trades and copy general correspondence via the Investec Online portal. If you would prefer we undertake all communication solely via your Financial Adviser please select box (by selecting this box you confirm that no correspondence will be sent to you, until instructed otherwise and your Financial Adviser will be responsible for forwarding all these communications to you in a timely manner).

☐

5.2 Information to other persons

If you wish us to give information to other persons in respect of the operation of your account (e.g. Individual, Solicitor, Accountant), please list them below. If after the date of this Client Agreement your wishes change, please notify us in writing in accordance with our Terms and Conditions.

Please send the following information to the following individual/organisation:
(for additional parties, please note in Additional Information section)

Correspondence

☐

Annual tax report

☐

Valuations

☐

Provide adhoc
information by
request only

☐

5.3 Full name/organisation

Individual name

Name of organisation

5.4 Address

Address/postcode

5.5 Telephone

Home/landline

Mobile

5.6 Email address(es)

Email address 1

Email address 2 (if applicable)

If you are happy for us to contact the above correspondent to set up Online access please tick below

(This allows the named correspondent to view the Annual tax pack and quarterly valuations online)

☐

If you wish this party to issue instructions, tick box to request a Nominated Authority form.

☐

Section: 6

Charges

Section A: IW&I Charges

6.1 Charges

Your portfolio is subject to the below fees:

The basis of ongoing fees for the provision of continued servicing of the above products/services will be as follows, VAT will be added to annual fees, including ongoing advice fees where IW&I do not manage your investments at the standard rate. In some circumstances VAT may not be chargeable on this sum, IW&I will confirm the nature of the VAT chargeable prior to requesting payment.

6.2 Fee rate

Annual fee rate

6.3 Bargain charges & minimum fee (*or currency equivalent)

Bargain administration charge £ per transaction*. Minimum annual fee

There is an additional £25.00 bargain administration charge for all non UK settled business excluding Eurobonds*.

6.4 Foreign charges

Foreign exchange charges

External custodian charges:
As per Rate Card

6.5 Investec contact name(s)

Investment manager name

Section: 6 (continued)

Charges

Section B: Financial Adviser Charges

6.6 Financial Adviser remuneration

I/We confirm that I/we agree to the payment of the Adviser Agreed Remuneration below, (enter £ value or % of investment) inclusive of any VAT that may be applicable:

Non recurring*	£	or	%
Recurring**	£	or	%

*Note: Non-Recurring Adviser Agreed Remuneration (% or £) can be paid at commencement. This will be paid in full on receipt of any cash and on the completion of the entire transfer of assets into the portfolio. (Please note that it is not intended to undertake interim payments).

**Please note we will continue to pay your Financial Adviser at the agreed rate unless we hear from you in writing. Note: Recurring Adviser Agreed Remuneration (% or £) is calculated quarterly in arrears based on the value of the portfolio on the last business day of February, May, August and November at the rate agreed in the Client Agreement or subsequent Client of Financial Adviser Amendment form.

Section: 7

Declarations

Section A: Declarations by the Financial Adviser

I/We certify that:

- I/We confirm that I/we have undertaken a full fact find for the client(s) and assessed suitability of this service in accordance with FCA requirements.
- I/We confirm that I/we will notify IW&I of any change in our client(s) circumstances that may affect the management of the portfolio.

This information will be used by us for the purposes of fulfilling our Know Your Client obligations with regards to the management of your client(s) portfolio. It will not be used for any other purpose.

- I/We confirm that the information in Section 1 above was obtained by me/us in relation to the client(s).
- I/We understand that IW&I will endeavour to verify the details of the client(s), based on the information provided in Section 1. Where IW&I is unable to verify the identity of the client(s), I/we agree to provide IW&I with certified copies of documentation that I/we have obtained in order to verify the client's identity and furthermore I/we accept that failure to do so will prevent the commencement of this Agreement.
- I/We understand that where my/our client(s) has requested that valuations (including any digital valuations), annual reports, loss notifications and/or all communications are sent to me/us that I/we accept the responsibility of forwarding all of these communications to my/our client(s) in a timely manner.
- I/We understand that for digital valuations and annual reports that I/we will have to either email the valuation or annual report or print and post these to my/our client(s) if they do not use Investec Online.
- I/We understand that any remuneration paid to me/us on behalf of my/our client(s) is inclusive of any VAT that may be applicable.
- I/We confirm that I/we have been informed verbally or in writing, that the basis of any advice within the service will be 'restricted'. I/We also confirm that I/we have notified the client(s) accordingly.

7.1 Financial Adviser declaration

Financial Adviser signature

Please print name

Date (dd/mm/yyyy)

Section B: Client declaration

Words and phrases used in this Client Agreement have the definitions set out in the Definitions section at the end of the Terms and Conditions. For the purpose of this Agreement, references to "we", "our" or "us" refer to Investec and references to "you" or "your" refer to the party or parties named above, unless otherwise stated. This Client Agreement and the other documents (as set out in Our Agreement and the Terms and Conditions) which form the Agreement between us and you set out the basis upon which IW&I will provide these services to you. It replaces all prior arrangements or understandings between us and you.

Please ensure this document is fully completed; any gaps should be marked 'not applicable'.

Important

- Please complete, sign and return a copy of this Client Agreement to us. We can only act as your Investment Manager if a copy of this Client Agreement is signed and returned to us. We will tell you when we begin to provide you with services, and will send you a Commencement Letter.
- You should ensure that you have received and read our Investment Management Terms and Conditions and all other documents referred to in section 1 of the Terms and Conditions before signing. Please let us know if you don't understand anything in any of the documents.
- You should make sure you are fully aware of our charges currently in force, as set out in our Rate Card.
- You should notify us immediately if any of the information set out in this Client Agreement (or which you provide to us in the future) changes.

Please note that it is your Financial Adviser, not IW&I, who is responsible for obtaining from you sufficient personal and financial information about you and for advising you, based upon that information, on an investment strategy which is appropriate to your circumstances. We are not responsible or liable for the accuracy of that information or for any advice which you are given by your Financial Adviser. Please note, where the Financial Adviser is part of a large network of advisers, regulatory responsibilities rest with the networks.

I/We certify that:

- I/We confirm that the basis of any Adviser Agreed Remuneration has been fully explained to me/us by our Financial Adviser Firm.
- I/We authorise you to facilitate the Adviser Agreed Remuneration payment as outlined in the Financial Adviser charges section to my/our Financial Adviser Firm.
- I/We authorise you to accept instructions in relation to my/our investment mandate from my/our Financial Adviser Firm.
- I/We authorise you to release information in relation to my/our investments and myself/ourselves to my/our Financial Adviser Firm.
- I/We authorise you to accept instructions in relation to updating my/our address and/or bank details from my/our Financial Adviser Firm.
- I/We authorise you to accept instructions in relation to payments from my/our account from my/our Financial Adviser Firm.
- I/We agree to the details of IW&I's charges.

Section B: Client declaration (continued)

- I/We confirm that I/we have read and understood the provisions of the Agreement (including the Terms and Conditions and other documents referred to in section 1 of the Terms and Conditions and details of our charges) and agree to be bound by their terms.
- I/We confirm that I/we agree to the Order Execution Policy in Appendix 7 of the Investment Management and Dealing Terms and Conditions.
- In the case of joint accounts this Client Agreement must be signed by all parties. The account will be operated on the instruction of one signatory unless specified differently.
- I/We confirm that I/we have been informed, both in writing and verbally, that the basis of any advice within the service will be 'restricted'.
- I/We confirm that information about my/our financial circumstances including capacity for loss, attitude to risk and investment objective as documented in 'Our Investment Recommendation' is correct to my/our knowledge, including where such information is provided by a person nominated by me/us to do so.
- I/We confirm that I/we give you prior express consent, where in exceptional circumstances you agree to retain a limit order for more than one day, not to publish those limit orders.
- I/We confirm that I/we give you prior express consent to deal off-market as detailed in the Order Execution Policy in the Annexes of the Terms and Conditions.

Tax statements

- I/We undertake to advise Investec Wealth & Investment promptly of any change in circumstances which causes the information contained herein to become incorrect or incomplete and to provide Investec Wealth & Investment with an updated declaration within 30 days of such a change in circumstances.
- I am/We are aware that in certain circumstances Investec Wealth & Investment will be obliged to share this information with UK tax authorities, who may pass it on to other tax authorities.
- I/We declare that the information provided in this form is, to the best of my/our knowledge and belief, accurate and complete.

7.2 Client(s) signature(s)

Client signature 1

Client signature 2

7.3 Client name(s)

Please print name

Please print name

7.4 Date(s)

Date (dd/mm/yyyy)

Date (dd/mm/yyyy)

7.5 Signatories capacity

Capacity in which signing
Beneficial Owner unless specified below
Capacity in which signing
Beneficial Owner unless specified below

National client identifiers (NCIs)

In order to combat market abuse, we are required by regulators to report unique codes known as national client identifiers (NCIs) for all individuals associated with a financial transaction. Without these we are unable to execute any financial transactions on your behalf.

Alongside is the list of NCIs for each nationality. Where No NCI Requirement is listed, please add this wording to the relevant field(s) of this agreement.

Country name	NCI requirement
United Kingdom	UK national insurance number
Austria	No NCI requirement
Belgium	Belgian national number
Bulgaria	Bulgarian personal number
Croatia	Personal identification number
Cyprus	National passport number
Czech Republic	National identification number
Denmark	Personal identity code
Estonia	Estonian personal identification code
Finland	Personal identity code
France	No NCI requirement
Germany	No NCI requirement
Greece	10 DSS digit investor share
Hungary	No NCI requirement
Iceland	Personal identity code
Ireland	No NCI requirement

Country name	NCI requirement
Italy	Fiscal code
Latvia	Personal code
Liechtenstein	National passport number
Lithuania	Personal code
Luxembourg	No NCI requirement
Malta	National identification number
Netherlands	National passport number
Norway	11 digit personal ID
Poland	National identification number
Portugal	Tax number
Romania	National identification number
Slovakia	Personal number
Slovenia	Personal identification number
Spain	Tax identification number
Sweden	Personal identity number
All other countries	National passport number

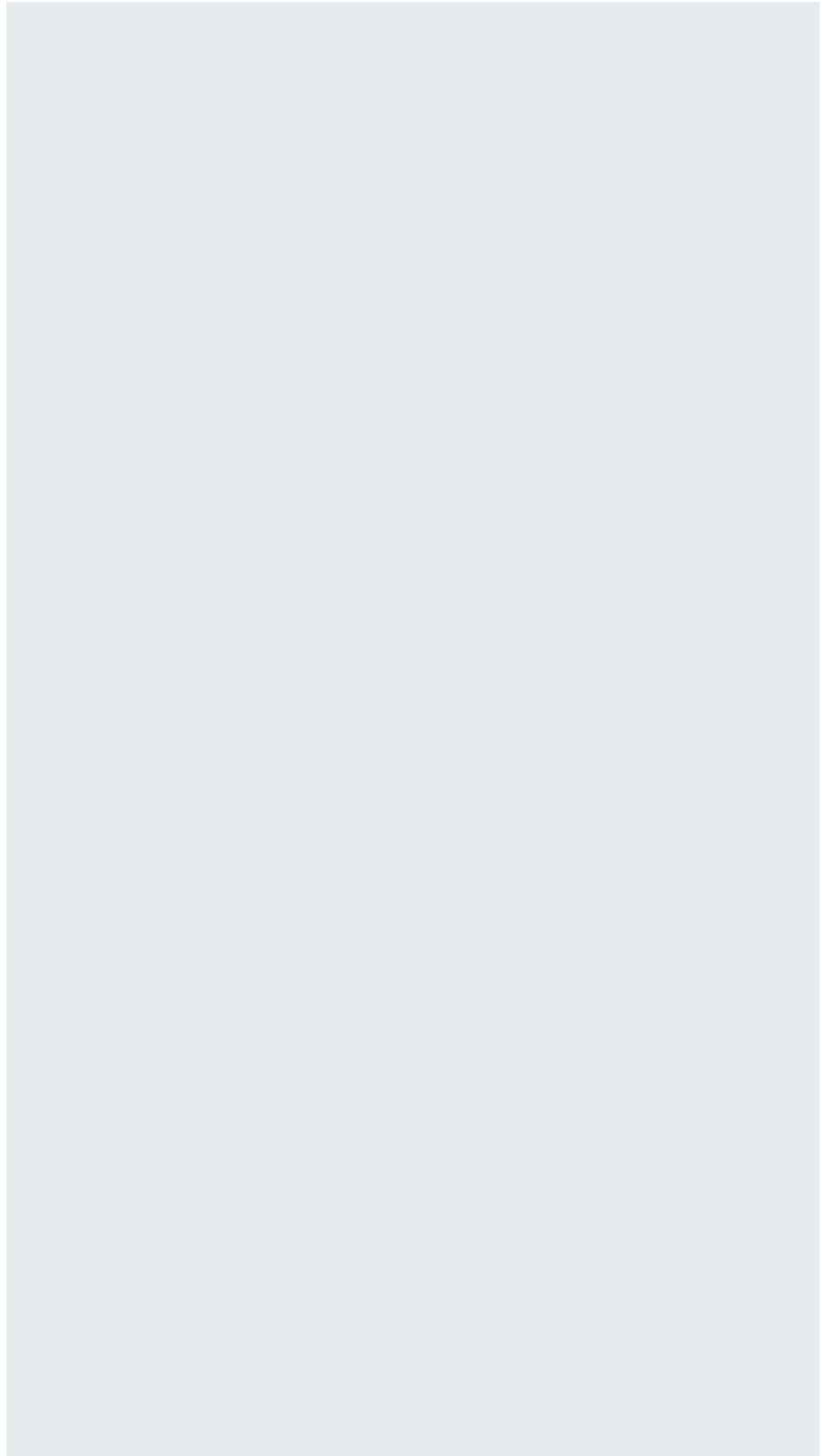
Our nominee service

Your stock will normally be registered in the name of our pooled nominee company and held on trust on your behalf. Our nominee company is a member of the CREST Settlement System and, wherever practicable, will hold your stock in uncertificated form. Assets held in our nominee company are subject to rules of the FCA. Should you prefer to have your investments within our nominee company or those held at a Central Securities Depository (CSD) individually designated, this is available at an additional cost. Please contact your Investment Manager for more information. You should be aware that the time taken to re-register cash, assets, shares and/or securities in the name of our nominee company will vary dependent on a number of factors outside of our control. As such we may not be able to effect any transaction you instruct us to carry out prior to the date set out in the Commencement Letter and we do not accept liability for any loss you may suffer as a result of being unable to deal in your assets whilst they are in the process of re-registration in the name of our nominee company. In the event that you continue to receive correspondence direct from companies or their registrars (particularly in respect of corporate actions), you should inform us immediately and retain any such documentation pending our recommendation.

Section: 8

Additional information

8.1 Additional information



investecwin.co.uk

Member firm of the London Stock Exchange.
Authorised and regulated by the Financial Conduct Authority.
Investec Wealth & Investment Limited is registered in England.
Registered No. 2122340. Registered Office: 30 Gresham Street, London, EC2V 7QN.

Please accept this document as my/our authority to transfer my/our account detailed below to Investec Wealth & Investment and accept the instructions below with regard to the stocks/cash to be transferred.

Please also supply the following:
Recent valuation (including SEDOLS / ISINs) and stock histories (including book costs).

1.1	Existing investment manager / company details	Contact name <div></div>	Company name <div></div>
		Email address <div></div>	Contact number of existing manager <div></div>
		Company address/postcode <div></div>	
1.2	Title and full name	Transferor/Transferee account name at existing manager <div></div>	Existing account number <div></div>
1.3	Address	Transferor/Transferee address and postcode <div></div>	
1.4	Transfer instruction	<div>I wish to transfer the whole of my account: <div><input type="checkbox"/> In Cash (Liquidate Stocks & Shares)</div><div><input type="checkbox"/> In Specie (Stocks & Cash)</div></div> <div><input type="checkbox"/> I wish to transfer part of my holdings, as follows / attached (specific holdings to be transferred/sold): <div></div></div>	
1.5	Signature(s)	Signature 1 <div></div>	Signature 2 <div></div>
1.6	Client name(s)	Please print name <div></div>	Please print name <div></div>
1.7	Date(s)	Date (dd/mm/yyyy) <div></div>	Date (dd/mm/yyyy) <div></div>
1.8	Signatories capacity	Capacity in which signing (e.g. Beneficial Owner, Trustee, Director) <div></div>	Capacity in which signing (e.g. Beneficial Owner, Trustee, Director) <div></div>
For office use only Investec Wealth & Investment contact details			
		Investec investment manager: <div></div>	Investec reference: <div></div>

Note to client: You will need to complete a separate transfer form for each existing Manager.
Investec Wealth & Investment is not responsible for any CGT liability you may incur from your existing Manager.
Note to broker: To arrange the transfer of the securities please email: BrokerTransfers@investecwin.co.uk



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Registered No. 2122340. Registered Office: 30 Gresham Street, London, EC2V 7QN.



Investec Stocks and Shares ISA – Applicant 1

RATHBONESIncorporating
Investec Wealth &
Investment (UK)

1 Personal details

In order to comply with HM Revenue & Customs requirements, the personal details section must be completed in full.

1.1 Client full name

Title/full name

Existing client code
(if applicable)

1.2 Client address

Permanent residential address/Postcode

If AIM IHT tick box

☐

1.3 Date of birth and national insurance number

Date of birth (dd/mm/yyyy)

National Insurance number

Tick if you have no NI no.

☐

2 Subscription

I wish to subscribe to a Stocks and Shares ISA for the current tax year **20** / and each subsequent year until further notice.

ISA limits can be found on the Government website. I apply to subscribe for an Investec Wealth & Investment Stocks and Shares Individual Savings Account for the current tax year and for subsequent years where applicable.

I agree that such subscriptions will be subject to Investec's standard charges and terms applicable at that time.

Maximum ISA subscription Or Initial ISA subscription amount £

For all electronic payments our bank details can be found on the Investec website or you can contact your investment manager. When making payments, please include your ISA portfolio code as the payment reference. Alternatively, cheques made payable to "Investec Wealth & Investment Limited".

3 Authority to Transfer ISA(s)

I apply to transfer my existing ISA account number(s)

From (current provider)

Address/Postcode

To: Investec Wealth & Investment (UK), Port of Liverpool Building, Pier Head, Liverpool L3 1NW

I authorise you to provide information to, and accept the instructions of Investec Wealth & Investment with regard to the transfer of cash balances and securities of my ISA(s) and provide them with a valuation.

For my ISA I wish to:

☐**In specie**
(Stocks and Cash ISA)☐**In cash**
(Cash ISA)☐**In cash**
(Liquidate Stocks and Shares ISA)☐Transfer **part of my cash ISA** to the value of: £ ☐Transfer **part of my Stocks and Shares ISA** holdings (please provide specific holdings to be transferred/sold on a separate sheet):

4 ISA declaration

I declare that:

- (a) I am eighteen years of age or over.
- (b) I have not subscribed and will not subscribe to another Stocks and Shares ISA in the same tax year that I subscribe to this ISA. Nor will I subscribe to more than the overall subscription limit of any combination of permitted ISAs within the same tax year.
- (c) I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of the Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform Investec Wealth & Investment if I

cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.

I hereby authorise Investec directly or through its appointed nominee company to:

- (a) Hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash.
- (b) Make on my behalf any claims to relief from tax in respect of ISA investments.

I acknowledge that:

- (a) My ISA is subject to the Terms and Conditions for Investment Management and Dealing Services, in particular the section entitled Terms and Conditions. For your own benefit and protection you

should read these terms carefully before signing them. If you do not understand any point please ask for further information.

- (b) My ISA will be operated on the same service, risk and objective profile stated in the Client Agreement and signed by me.
- (c) The information contained in this Application Form will be held and processed in accordance with Data Protection Legislation as defined in the relevant section of the Terms and Conditions for Investment Management and Dealing Services.

I agree to the Terms and Conditions and declare that, to the best of my knowledge and belief, the information provided by me herewith is true and correct. I agree to inform Investec of any changes in this information without delay.

5 Signature

In order to comply with HM Revenue & Customs requirements, you must put your signature in the client signature box below and also fill in the date box.

Client signature

Date (dd/mm/yyyy)

Note to client: You will need to complete a separate form for the transfer of each existing ISA Manager.

Note to broker: To arrange the transfer of the securities please email: BrokerTransfers@investecwin.co.uk

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IWI1512 v6 08/24



Investec Stocks and Shares ISA – Applicant 2

RATHBONES

Incorporating
Investec Wealth &
Investment (UK)

1 Personal details

In order to comply with HM Revenue & Customs requirements, the personal details section must be completed in full.

1.1 Client full name

Title/full name

Existing client code
(if applicable)

1.2 Client address

Permanent residential address/Postcode

If AIM IHT tick box

☐

1.3 Date of birth and national insurance number

Date of birth (dd/mm/yyyy)

National Insurance number

Tick if you have no NI no.

☐

2 Subscription

I wish to subscribe to a Stocks and Shares ISA for the current tax year **20** / and each subsequent year until further notice.

ISA limits can be found on the Government website. I apply to subscribe for an Investec Wealth & Investment Stocks and Shares Individual Savings Account for the current tax year and for subsequent years where applicable.

I agree that such subscriptions will be subject to Investec's standard charges and terms applicable at that time.

Maximum ISA subscription

Or Initial ISA subscription amount

£

For all electronic payments our bank details can be found on the Investec website or you can contact your investment manager. When making payments, please include your ISA portfolio code as the payment reference. Alternatively, cheques made payable to "Investec Wealth & Investment".

3 Authority to Transfer ISA(s)

I apply to transfer my existing ISA account number(s)

From (current provider)

Address/Postcode

To: Investec Wealth & Investment (UK), Port of Liverpool Building, Pier Head, Liverpool L3 1NW

I authorise you to provide information to, and accept the instructions of Investec Wealth & Investment with regard to the transfer of cash balances and securities of my ISA(s) and provide them with a valuation.

For my ISA I wish to:

☐

In specie
(Stocks and Cash ISA)

☐

In cash
(Cash ISA)

☐

In cash
(Liquidate Stocks and Shares ISA)

☐

Transfer **part of my cash ISA** to the value of: £

☐

Transfer **part of my Stocks and Shares ISA** holdings (please provide specific holdings to be transferred/sold on a separate sheet):

4 ISA declaration

I declare that:

- (a) I am eighteen years of age or over.
- (b) I have not subscribed and will not subscribe to another Stocks and Shares ISA in the same tax year that I subscribe to this ISA. Nor will I subscribe to more than the overall subscription limit of any combination of permitted ISAs within the same tax year.
- (c) I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of the Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform Investec Wealth & Investment if I

cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.

I hereby authorise Investec directly or through its appointed nominee company to:

- (a) Hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash.
- (b) Make on my behalf any claims to relief from tax in respect of ISA investments.

I acknowledge that:

- (a) My ISA is subject to the Terms and Conditions for Investment Management and Dealing Services, in particular the section entitled Terms and Conditions. For your own benefit and protection you

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I agree to the Terms and Conditions and declare that, to the best of my knowledge and belief, the information provided by me herewith is true and correct. I agree to inform Investec of any changes in this information without delay.

5 Signature

In order to comply with HM Revenue & Customs requirements, you must put your signature in the client signature box below and also fill in the date box.

Client signature

Date (dd/mm/yyyy)

Note to client: You will need to complete a separate form for the transfer of each existing ISA Manager.

Note to broker: To arrange the transfer of the securities please email: BrokerTransfers@investecwin.co.uk

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