

Bespoke Portfolio Service

Application Pack for a Small
Self Administered Scheme (SSAS)

Suitability Responsibility: Professional Adviser



BROOKS MACDONALD

For Trustees

Welcome to Brooks Macdonald Asset Management Limited (**Brooks Macdonald**). This is an Application Pack for the Brooks Macdonald Bespoke Portfolio Service (BPS). Brooks Macdonald requires this Application Pack to be completed by the **Trustee(s)**. Brooks Macdonald will be treating the Trustee(s) as its **client**.

As a client, you should only complete this if you have a Professional Adviser, who will need to conduct a full Suitability assessment. **Brooks Macdonald will not be seeking enough information in this Application Pack to conduct its own Suitability assessment.** This Application Pack is important both at the commencement of our Services and on an ongoing basis.

The Trustee(s) should complete this Application Pack where indicated on pages 5 to 26.

Brooks Macdonald will be entitled to assume that the authorised persons named on pages 5 to 8 of this Application Pack may provide instructions in relation to the operation of the Account with Brooks Macdonald. Brooks Macdonald acknowledges that the Trustees may have or wish to put in place specific authority/signatory rules. **If so, please provide an Authorised Signatory list.** Changes to the authorised persons and/or Authorised Signatory lists shall be effective on Brooks Macdonald's express acknowledgement of receipt. Brooks Macdonald reserves the right to seek proof of authority of the Authorised Signatory list and/or any individual signatory.

Additionally, we will ask you to identify a Lead Trustee who is the Trustee who will normally operate the account.

Professional Advisers should complete this Application Pack where indicated on pages 17 and 27.

As a client you should:

- read the Application Pack carefully
- ensure that answers to questions or requests for information are **completed accurately and in full**
- inform us immediately if your circumstances change. You should also discuss this with your Professional Adviser who may wish to review the Suitability of your investment portfolio

Your Professional Adviser is responsible for:

- collecting information about the financial position of the SSAS
- carrying out a Suitability assessment for the BPS
- advising you on Investment Objectives and Risk Profile

Brooks Macdonald is responsible for:

- creating and managing the BPS Portfolio on a discretionary basis in accordance with the Investment Objectives and Risk Profile of the SSAS

If you have any questions relating to the Application Pack you should contact your Professional Adviser.

Important: This Application Pack forms part of your legal agreement with Brooks Macdonald. You should refer to Section 2 of the Brooks Macdonald Terms and Conditions for an explanation of the legally binding obligations applicable to you.

This Application Pack is designed to collect information to ascertain:

- details of the Account holder(s)
- Investment Objectives and Risk Profile
- Professional Adviser details
- identity and verification information
- important information relating to the operation of the SSAS Account(s)

For Trustees

Important – Legal Entity Identifier (LEI)

Under new legislation known as MiFID II (Markets in Financial Instruments Directive), in order to trade in investments through Brooks Macdonald it is a requirement for all Entities and Trusts (with the exception of Bare Trusts) to have a valid LEI.

An LEI is a unique 20 digit alpha numeric code which allows identification of legal entities participating in financial transactions. Where the Trust or Entity has an LEI, please complete this on page 5 of this Application Pack, and note the date that this is valid from. If the Trust or Entity does not have an LEI, we can apply for it on your behalf. Please do speak to your Investment team if you wish us to undertake this service for you. Please be aware there is a charge for obtaining an LEI levied by the London Stock Exchange which will be deducted from your account at Brooks Macdonald.

The completed Application Pack should be returned to your Brooks Macdonald regional office.

Important: This Application Pack should only be returned to Brooks Macdonald once all sections have been completed, including those sections to be completed by the Professional Adviser.

If you require additional space to answer a question, please use the space provided on page 28 of this document.

For Professional Advisers

This Application Pack forms part of our legal agreement with a Professional Adviser and enables our respective client to understand the extent of our respective roles and responsibilities. Professional Advisers are required to complete this Application Pack on pages 17 and 27 in order to:

- confirm appointment as a Professional Adviser
- confirm that a Suitability assessment of the client for the BPS has been undertaken
- confirm agreement to the Adviser charges applicable to the client

The Professional Adviser is responsible for:

- carrying out a Suitability assessment of the client for the BPS
- advising the client on Investment Objectives and Risk Profile
- completing the Adviser charges section on the fees and charges page

The Professional Adviser accepts responsibility for the ongoing obligations to assess that the investment service is suitable for the client.

Brooks Macdonald is responsible for managing the client portfolio in accordance with the client's investment profile.

Important: Professional Advisers should **only** complete those sections of this Application Pack marked '**Professional Adviser to complete**'.

Verification of identity

It is important that Brooks Macdonald has access to appropriate information about you in order to meet its obligations to identify and verify clients. Your Professional Adviser (or Investment Manager) will collect this information.

We are required to verify the identity of any Trustee who has control over the SSAS including:

- the Member Trustees
- Professional Trustees

Where the Professional Trustee(s) is a regulated Entity, we do not need to verify the identity of the Professional Trustee(s). The identity of all Member Trustee(s) must be verified.

We will attempt to verify your identity using our online electronic verification system. However, in instances where this is unsuccessful, we will require certified copies of two of the following items for each individual covered in this Application Pack. These documents should be included when returning this Application Pack to Brooks Macdonald. Please ensure at least one form of ID contains a photograph and one other states your address.

- driving licence (certified copy)
- passport (certified copy)
- national identity card (certified copy)
- a recent utility bill or bank statement (within the last three months)

Original bills and statements will be returned immediately. Where originals are unavailable Brooks Macdonald will require certified copies of original documentation.

In addition, Trustees will also need to provide a certified copy of the Acknowledgement of Registration of the Scheme issued by HMRC and Trust Deed. We require a copy of the Trust Deed to meet our anti-money laundering obligations but we will not rely on the Trust Deed to determine the scope or extent of the powers of the Trustees. We are relying on the details provided in this Application Pack to determine the powers of the Trustees to act for the SSAS.

Verification of an unregulated Professional Trustee:

Where a Professional Trustee is a corporate Entity, the following documents must be provided in order to verify the identity:

- Certificate of Incorporation
- Memorandum and Articles of Association
- names and addresses of Directors
- Authorised Signatory list

Verification of identity

Verification of a regulated Professional Trustee

Where a Professional Trustee is a regulated Entity, we will require an Authorised Signatory list.

Certified copies

Where Brooks Macdonald requires certified copies of original documentation such certification must be made by a regulated professional person having sight of the original documentation. This can include a FCA registered individual, Solicitor, Barrister, Justice of the Peace, Accountant, Notary public, who is a member of a recognised professional body, or persons equivalent to such persons in other jurisdictions.

These should always bear a stamp or hand written declaration in addition to a signature that follows the requirements detailed below:

1. that the original document has been seen
2. that the document is a certified copy of the original
3. in the case of Photo ID, the photo on the document bears a good and true likeness to the individual

SSAS details

Full name of SSAS:	
SSAS correspondence address:	
	Postcode:
Telephone number:	
Legal Entity Identifier:	
Date Legal Entity Identifier effective from:	

Principal employer

Company name:	
Registered office address:	
	Postcode:
Company registration number:	

SSAS Administrator details (if applicable)

If there has been a SSAS Administrator appointed, please complete the section below:

Name:	
Address:	
	Postcode:
Daytime telephone number:	
Contact email address:	

Lead Trustee

This is the Trustee who will normally operate the SSAS.

Is there a Lead Trustee for the SSAS:	Yes	No
Name of Lead Trustee:		

Professional Trustee details – corporate (if applicable)

If there has been a Professional Trustee appointed, which is a corporate entity, please complete the section below:

Company name:

Address:

Postcode:

Contact person:

Telephone number:

Contact email address:

I am happy to receive market related news and articles by email:

Professional Trustee details – individual (if applicable)

If an individual Professional Trustee has been appointed please complete the section below:

Title: Forename(s):

Surname:

Permanent residential address:

Postcode:

Nationality:

Country of birth:

Second nationality
(if applicable):

Citizenship:

Date of birth:

Daytime telephone number:

Mobile telephone number:

Contact email address:

I am happy to receive market related news and articles by email:

Member Trustee details

Title:	Forename(s):
Surname:	
Permanent residential address:	
	Postcode:
Nationality:	Country of birth:
Second nationality (if applicable):	
Citizenship:	Date of birth:
Daytime telephone number:	
Mobile telephone number:	
Contact email address:	
I am happy to receive market related news and articles by email:	

Title:	Forename(s):
Surname:	
Permanent residential address:	
	Postcode:
Nationality:	Country of birth:
Second nationality (if applicable):	
Citizenship:	Date of birth:
Daytime telephone number:	
Mobile telephone number:	
Contact email address:	
I am happy to receive market related news and articles by email:	

Member Trustee details

If there is not enough space on this form for all of the Trustees, please copy this page and complete accordingly.

Title: Forename(s):

Surname:

Permanent residential address:

Postcode:

Nationality:

Country of birth:

Second nationality
(if applicable):

Citizenship:

Date of birth:

Daytime telephone number:

Mobile telephone number:

Contact email address:

I am happy to receive market related news and articles by email:

Title: Forename(s):

Surname:

Permanent residential address:

Postcode:

Nationality:

Country of birth:

Second nationality
(if applicable):

Citizenship:

Date of birth:

Daytime telephone number:

Mobile telephone number:

Contact email address:

I am happy to receive market related news and articles by email:

Financial information

This section is designed to assist with anti-money laundering verification.

Source of wealth

Please confirm the source of the contributions held within the SSAS:

Employer contributions only

Member contributions only

Both employer and member contributions

Please provide details of any other assets held within the SSAS:

Net asset value

Please provide an estimate of the net worth of the SSAS: £

Transfer of funds

Electronic transfer of funds by CHAPS or Faster Payments are welcome. Alternatively, cheques are accepted and can be made payable to 'BMAM Ltd re: Client name'.

However, please do not send any funds to us until we have confirmed to you that your accounts are open and provided you with your account number. Your account number will need to be quoted on all electronic transfers to us. Funds or cheques sent to us before we have confirmed your account is open will need to be returned to you.

Instructions relating to income

Accumulated income should be:

Held on deposit/reinvested

Paid monthly into SSAS bank account
(please provide details below)

Paid quarterly into SSAS bank account
(please provide details below)

Paid semi-annually into SSAS bank account
(please provide details below)

Paid annually into SSAS bank account (please provide details below)

On which date of the month would you like this paid? 5th 20th

Date effective from:

Please provide the SSAS bank account details where income payments will be transferred to and from:

Bank: Sort code: | - | - |

Account name: Account number: | | | | | | | |

Please note, if you require more income to be paid than is in the income account, capital will be used to supplement this and as a result will be eroded. It is the responsibility of the Trustees to ensure the SSAS members and its accountants are aware of this and that the SSAS rules permit this.

Investment profile

The investment profile of the SSAS consists of the Investment Objective(s), the Risk Profile and the time horizon.

Your Professional Adviser will assess the Suitability of your investment requirements. This includes:

- helping you to determine the **investment profile** for the SSAS
- ensuring that you fully understand the **risks** of investments that we may purchase for the SSAS
- assessing whether the SSAS can afford to sustain potential **investment losses** consistent with the level of risk you have chosen

Our BPS provides a portfolio designed to meet the specific investment requirement of the SSAS. We will provide you with a detailed investment proposal that will set out the type of investment portfolio we will construct so that it is consistent with the investment requirements of the SSAS.

Where you wish to split the SSAS across differing investment profiles, we will provide you with a BPS Additional Account form to confirm the different investment profile.

Please refer to the Client Investing Guide for more information about choosing the investment profile.

Investment Objectives

Please tick **one** box below to indicate the outcome that you wish the portfolio to achieve:

Income

You want an investment portfolio designed to produce a regular income. Growing the value of the portfolio is less important to you than achieving a steady income.

Growth

You want to grow the value of the investment portfolio over time. Producing a level of income is less important than increasing the value of the investment portfolio.

Income & Growth

You want the portfolio to produce a level of income and to increase in value over time.

Do you envisage drawing a tax free lump sum, buying an annuity or drawing an income from the SSAS in the short term?

Time horizon

The time horizon defines the period of time over which you wish us to invest.

Some investment types are more suitable if held for a period of years; a typical Brooks Macdonald portfolio is intended for clients who plan to invest for at least five years. It is therefore important for us to understand how long you intend to keep your investment portfolio.

Please note, for new accounts, if you have a time horizon of less than 3 years, then you will need to seek advice from a Professional Adviser who is authorised to give advice as none of the products and services offered by Brooks Macdonald will be suitable for your needs.

A number of different factors may be relevant in choosing your time horizon. You should consider how likely it is that you will want to sell some of your portfolio in order to cover a particular financial commitment in the future.

Please indicate your time horizon below by ticking **one** box:

3 – 5 years

5 – 10 years

More than 10 years

This investment

Please give further details about the money the SSAS wishes to invest.

Initial investment amount: £

What percentage of your total SSAS assets does this represent? %

Please indicate any additional money the SSAS intends to invest: £

When will these funds be added?

Understanding risk

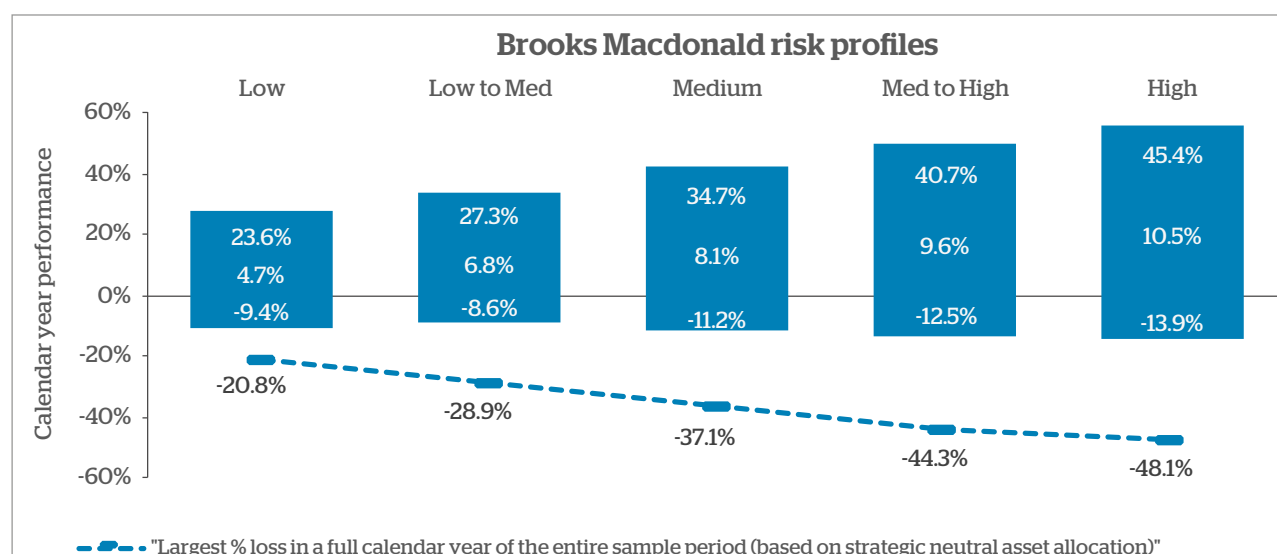
All investments involve a degree of risk. Investments which provide higher returns typically have higher risks. Taking more risks increases both the possibility that you might lose money and the amount of money that you might lose. You should never accept more risk than you are comfortable with.

To determine the level of risk you are prepared to accept you should consider your ability to absorb investment losses. Your Brooks Macdonald Investment Manager will help you to understand how your portfolio might be affected in difficult economic conditions.

Portfolios managed by Brooks Macdonald may include investments that are not able to be sold immediately for cash (these investments are known as illiquid). Owning illiquid investments may increase the risk in your portfolio. The higher the Risk Profile of any given portfolio, the greater the likelihood that it will contain some illiquid investments. The chart below is designed to help you choose your Risk Profile. The chart records the range of investment outcomes over a calendar year of the five Risk Profiles we offer.

We have used the Barclays Equity Gilt Study (an authoritative survey of annual investment returns going back to 1900) to estimate how each Risk Profile would have performed over each calendar year if the asset allocation was unchanged throughout the period 1900 to 2020. We excluded the most extreme annual investment gains and losses to avoid distorting the results. Please refer to the Client Investing Guide for more information as to how we calculated the results.

Calendar year returns from 1900 to 2020



The indicative returns shown above are all based on a portfolio designed to produce income and growth, aside from the Low Risk portfolio, which is an income-focused portfolio. The performance of a portfolio with different investment objectives will not be the same. Calculated returns are gross of fees.

The chart also records the average annual investment return for each risk profile using the full sample (with the most extreme results included). For a medium-risk portfolio, this would have been 8.1% per annum.

The chart provides only an estimate. Some types of investments are relatively new and did not exist throughout the period; as such, we have had to estimate their performance using investments that did exist that we consider similar.

The sole purpose of the chart is to help you to determine your risk profile. It is important to realise that the returns shown are not a record of our actual investment performance, while the figures do not provide a guarantee of future investment performance. Your investments might perform better than or worse than the figures shown.

Risk Profile

Please indicate the level of risk you have chosen to accept by ticking **one** appropriate box below.

Please refer to the 'Investment Profile' section of the Client Investing Guide for more information about the different types of investments that a Brooks Macdonald portfolio might own.

Please note, if you are a no risk investor, i.e. someone who is not prepared to risk losing any money, then you need to seek advice from a Professional Adviser who is authorised to give financial advice as none of the products and services offered by Brooks Macdonald will be suitable for your needs.

1. Low Risk

minimum 3-year time horizon

- you are a cautious investor seeking to protect your wealth
- you are more interested in avoiding losing money than in maximising potential investment gains
- you are prepared to tolerate small fluctuations in the value of the portfolio in order to achieve greater investment returns than a bank or building society deposit
- equity exposure is likely to range between 0-30%

2. Low/Medium Risk

minimum 5-year time horizon

- you are a conservative investor seeking to maintain your capital
- you are prepared to accept a lower investment return than equity markets over the longer term in exchange for trying to minimise potential losses
- you accept that the portfolio will be subject to fluctuations in value to achieve above inflation investment returns over the longer term
- equity exposure is likely to range between 30-55%

3. Medium Risk

minimum 5-year time horizon

- you aim to achieve a greater investment return from the portfolio
- you are prepared to own a significant proportion of higher risk investments in order to try to produce a higher investment return
- you are prepared to accept that the value of the portfolio may fluctuate significantly in order to achieve potentially greater investment returns over the longer term
- equity exposure is likely to range between 55-75%

4. Medium/High Risk

minimum 5-year time horizon

- you aim to achieve large investment gains
- you are prepared to own a very significant proportion of higher risk investments in order to try and achieve large investment gains. Most of your portfolio will be invested in risky investments
- you are willing (and can afford) to sustain significant investment losses over a prolonged period of time in order to achieve better long term investment returns
- equity exposure is likely to range between 75-95%

5. High Risk

minimum 5-year time horizon

- you aim to maximise your investment returns over the long term
- you are prepared to be fully invested in equities or other higher risk investments to achieve the highest possible investment returns
- you are willing to sustain and can afford substantial investment losses over a prolonged period of time

Investment profile confirmation

We will now ask that you that you re-confirm the investment profile selections that you have made on the previous pages.

The table below records the different possible investment profile outcomes, for Risk Profile, Investment Objectives and Time Horizon. Please tick **one** box in each column, checking that you have made the same selection for each element as before.

Please speak to your Professional Adviser if your investment profile is not available.

Risk Profile	Investment Objectives	Time Horizon
Low	Income	3 – 5 years
Low/Medium	Growth	5 – 10 years
Medium	Income & Growth	10 years+
Medium/High		
High		

Investment requirements

For our core investment service we utilise a guidance portfolio appropriate to your Risk Profile, the asset class composition of which is determined by our Asset Allocation Committee. Our Investment Managers use the guidance portfolios as a reference point for construction of your investment portfolio. In some instances, your portfolio investment requirements may fall outside the boundaries of our guidance portfolios, however Brooks Macdonald can construct and manage a fully bespoke portfolio especially designed to meet your requirements.

Please record below any specific investment requirements, such as asset classes you wish us to include or to avoid. We will not be able to accept any instructions that are unclear, imprecise, not compatible with your investment profile or that may impair our ability to manage your portfolio according to your investment profile.

In addition, your Professional Adviser will review these requirements to ensure your portfolio is suitable for you.

Your specific investment requirements:

Investment preferences (that do not relate to ethical investments)

Please describe any investments that you wish to avoid. This may be either because you are associated with the company or have a large position in a stock elsewhere. We will make our best efforts to avoid such investments, however we cannot guarantee that we will avoid any particular investment if we purchase collective investments for you.

Please complete our separate Responsible Investment Service Application Addendum if you are wanting to avoid certain sectors or businesses for ethical reasons.

Your specific investment preferences:

Operation of the account

Third party authority

In this section you can authorise another party to view your account(s) online and request information and valuation statements regarding the current value and performance of your account(s). Please note, the Professional Adviser will automatically be granted view access to your online account(s).

The Professional Adviser will also be able to receive information upon request regarding the current value and performance of your account(s) including valuation statements and tax packs.

Authority to another person

Name of other person with authority:

Relationship of other person with authority
(*e.g. spouse, family member, solicitor, other*):

Address:

Postcode:

Date of birth:

Telephone number:

Email address:

We will require certified copies of two of the items below in order to verify the identity of the authorised person.

These documents should be included when returning this Application Pack to Brooks Macdonald. Please ensure at least one form of ID contains a photograph and a signature and one other states the third party address.

- driving licence (certified copy)
- passport (certified copy)
- national identity card (certified copy)
- a recent utility bill or bank statement (within the last three months)

Original bills and statements will be returned immediately. Where originals are unavailable Brooks Macdonald will require certified copies of original documentation. Please see page 4.

Lawyer/Accountant(s) details

Occupation:

Title:

Forename(s):

Surname:

Firm name:

Address:

Postcode:

Office telephone number:

Email address:

Please tick if you would like copies of valuation statements and/or tax packs to be sent to the address above:

Valuation statements

Tax packs

Please note, if details of the person named above change, it is your responsibility to let Brooks Macdonald know so we can amend the details we have on file.

Occupation:

Title:

Forename(s):

Surname:

Firm name:

Address:

Postcode:

Office telephone number:

Email address:

Please tick if you would like copies of valuation statements and/or tax packs to be sent to the address above:

Valuation statements

Tax packs

Please note, if details of the person named above change, it is your responsibility to let Brooks Macdonald know so we can amend the details we have on file.

Fees and charges

Brooks Macdonald fees and charges

I/We confirm **(by ticking this box)** that I/we are in receipt of the Brooks Macdonald Fee Schedule, and my/our Investment Proposal, setting out the applicable initial and annual management charges.

Please do refer to this before ticking the below.

The annual management charge is an ongoing percentage of the total assets under management plus VAT. Please indicate below the annual management charge option that you have agreed for this service. Please choose only **one** box.

Option 1: Annual Management Charge plus dealing

Option 2: Increased Annual Management Charge with no additional dealing charges

Adviser charges

The Professional Adviser should complete the Adviser charges with the client.

Initial charge: £ / % of all new funds invested into your portfolio.

Is VAT applicable to the initial charge? Yes No

Ongoing charge: £ / % of the total assets under management on a continuing basis.

Is VAT applicable to the ongoing charge? Yes No

It is the responsibility of the Adviser to determine whether or not VAT should be applied to any Adviser charge. Brooks Macdonald will not accept any liability arising out of any decision to charge or not to charge VAT on any Adviser charge.

Adviser details

Adviser name:

Adviser firm name:

Address:

Postcode:

Email address:

Self-certification for Trusts

For the purposes of the Automatic Exchange of Financial Account Information

All Trusts must complete sections A, B, C, D and F and may also need to complete section E and/or the Annex.

Financial Institutions are required under UK law to review and collect details of accounts held by all account holders and to report details about US persons and those who are tax resident outside the UK. Brooks Macdonald Asset Management has to ascertain whether there are any reportable US persons (Section C) or other reportable non-UK tax residents (Section E).

Please refer to the accompanying Explanatory Notes and Glossary and/or contact your tax adviser to help complete this form.

If the Trust is resident in the United States you must instead complete and return IRS (Internal Revenue Service) form W-9.

Section A: Trust information

Trust name:

Address:

Postcode:

Country:

Section B: Trust tax residency

Please indicate the country in which the Trust is resident for tax purposes and the relevant Tax Identification Number or Equivalent Tax Reference Number

Country of tax residency

Tax Identification Number (TIN)
or equivalent Tax Reference Number

Please tick if no TIN
or Tax Reference Number

If you ticked the 'No TIN' box, please explain below why you do not have a TIN:

Section C: Trust classification for the purposes of FATCA

Under FATCA, any non-US Trust will either be:

- a Financial Institution (FI), in which case only complete Section C.1(a) or C.1(b) below, or
- a Non-Financial Foreign Entity (NFFE/NFE)*, in which case only complete Section C.2 below.

* For the rest of this form 'NFFE' will be referred to as 'NFE' (Non-Financial Entity), the term used in the CRS (see Section D below).

C.1 The trust is a Financial Institution:

(a) please provide a Global Intermediary Identification Number (GIIN)

GIIN: | | | | | / | | | | / | / | |

Please confirm whether it is the GIIN of the Trust or of the Corporate Trustee FI/Sponsoring FI. In the case of a Corporate Trustee FI or Sponsoring FI, please provide the name of the Entity:

Trust

Corporate Trustee FI/Sponsoring FI

Name of Corporate Trustee FI/Sponsoring FI:

If you have completed Section C.1 (a) please complete Section D, Section E if applicable and then proceed to Section F.

(b) If unable to provide a GIIN, please give a reason by ticking one of the boxes below:

- i) The Trust is or intends to be an ‘Owner-Documented FI’ with Brooks Macdonald Asset Management*
- ii) The Trust is a ‘Certified or otherwise Deemed Compliant FI’ (e.g. UK registered charitable trust)
- iii) The Trust is an ‘Exempt Beneficial Owner’
- iv) The Trust is a ‘Non-Participating FI’
- v) Other reason (*please specify*)

* Please note that Owner-Documented FIs are only allowed under FATCA and not under CRS.

If you have completed section C.1(b) above please complete Section D, Section E if applicable and then proceed to section F.

In addition, if you have indicated that the Trust is an ‘Owner-Documented FI’ please also complete the Annex.

C.2 The trust is NOT a Financial Institution:

If the Trust is not an FI, it will be considered to be an NFE. It can be an Active, Passive, Direct Reporting or Sponsored Direct Reporting NFE.

Please note that the concepts of a ‘Direct Reporting NFE’ and a ‘Sponsored Direct Reporting NFE’ are only applicable to FATCA and do not apply to the CRS.

If you are unsure of the status of the Trust, please contact your tax adviser.

Active NFE – please complete Section D and then proceed to Section F

Passive NFE – please complete Section D, Section E and then proceed to Section F

Direct Reporting NFE – please provide the NFE’s GIIN and complete Section D and then proceed to Section F

Sponsored Direct Reporting NFE – please provide the GIIN of the NFE’s Sponsoring Entity and complete Section D and then proceed to Section F

GIIN: | | | | | / | | | | / | / | |

Section D: Trust classification for the purposes of the Common Reporting Standard (CRS)

Please tick one of the boxes below:

Managed Investment Entity – if you tick this box, please proceed to Section E if applicable and then proceed to Section F

Financial Institution (other than a Managed Investment Entity) – if you tick this box, please proceed to Section F

Non-Reporting Financial Institution – if you tick this box, please proceed to Section F

Active NFE – if you tick this box, please proceed to Section F

Passive NFE – if you tick this box, please proceed to Section E and then proceed to section F

Section E: Controlling persons self-declaration of tax residency

Please complete this section **only** if

- i. you have declared the Trust to be a ‘Passive NFE’ in Sections C or D, **or**
- ii. the Trust is a Managed Investment Entity tax resident in a jurisdiction that is not a Participating Jurisdiction (see Glossary).

Please could you list below each controlling person*, confirming ALL countries of tax residency and ALL Tax Identification Numbers for EACH controlling person. If a controlling person is a US citizen, US Green Card holder, or US resident, you must include United States in this table along with his/her US Tax Identification Number.

*A ‘controlling person’ is defined as a natural person who exercises control over an Entity. In the case of a Trust this will mean the Settlor, the Trustees, the Protector (if any), the Beneficiaries (where they are entitled to a vested interest in at least 25% of trust property) and any other natural person exercising ultimate control over the Trust.

Full name	Type of controlling person	Country of tax residency (<i>do not abbreviate</i>)	Permanent residence address (<i>including postcode and country</i>)	Tax Identification Number	Country of birth	Date of birth (DD-MM-YY)
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Please attach additional sheets if necessary.

Section F: Declarations (to be completed by all Trusts)

1. I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete.
2. I undertake to advise Brooks Macdonald Asset Management promptly of any change in circumstances which causes the information contained herein to become incorrect or incomplete and to provide Brooks Macdonald Asset Management with an updated declaration within 30 days of such a change in circumstances.
3. I am aware that in certain circumstances Brooks Macdonald Asset Management will be obliged to share this information with UK tax authorities, who may pass it on to other tax authorities

Trustee Signature:

Date:

Full name:

Trustee Signature:

Date:

Full name:

Annex

Please only complete if you are an Owner-Documented FI

Please note that the concept of ‘Owner-Documented FI’ is only applicable to FATCA and not to the CRS.

Section A: ‘Owner-Documented FI’ with Brooks Macdonald Asset Management

This section must be completed by any Trust that declares in Section C.1.(b) (i) to be an FI and intends to be an ‘Owner-Documented FI’ with Brooks Macdonald Asset Management.

UK legislation based on international information exchange agreements provides that a Trust which qualifies as an ‘Owner-Documented FI’ will not have to register with the IRS nor obtain a GIIN.

Section A: Qualification for Owner-Documented FI status

In order to qualify as an Owner-Documented FI, the Trust must meet **all** of the conditions in section A. To confirm that the Trust meets the requirements to qualify as an Owner-Documented FI please answer the following three questions by ticking either Yes or No:

- | | | |
|-----|----|---|
| Yes | No | 1. The 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. |
| Yes | No | 2. The 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. |
| Yes | No | 3. The Trust provides Brooks Macdonald Asset Management (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 |

Information regarding equity and debt holders of the Trust is required in order to enable Brooks Macdonald Asset Management to determine whether it is obliged to submit certain information regarding the Trust account to UK tax authorities. The information required to be provided to Brooks Macdonald Asset Management applies to:

- all beneficial owners of all or a portion in the Trust
- all beneficiaries that are entitled to receive directly or indirectly a mandatory distribution from the Trust
- all beneficiaries that received a discretionary distribution from the Trust in the calendar year
- all settlors, Trustees and all persons exercising ultimate effective control over the Trust
- all persons that hold a direct or indirect debt interest in the Trust (including direct or indirect equity interests in a debt holder of the Trust)

Only where all responses to the questions in Section A are Yes will the Trust qualify for Owner-Documented FI status and you may proceed to Section B of this Annex. Otherwise please refer to your tax adviser for instruction.

Annex

Section B: Trust owner information

Please provide information regarding the Trust owners as required by Section A.3 of this Annex. Include all persons – both natural and legal persons – that hold direct or indirect equity or debt interest in the Trust as defined above. Indicate all countries of tax residence of each person and where such person is a US citizen, US Green Card holder, or US resident or US entity, you must include United States in this table along with his/her US Tax Identification Number.

Note that additional information may be required by Brooks Macdonald Asset Management and this may include appropriate documentation already obtained for UK regulatory purposes. Nevertheless Brooks Macdonald Asset Management may be obliged to request further documentation from you.

Please complete the table below.

Trust owner information: Direct/Indirect Owners

Please provide the following information for each direct and indirect owner that holds equity/debt interests in the Trust and indicate if the owner is an individual or an Entity.

Where an owner of the Trust is itself an Entity, the owners of that Entity are ‘indirect’ owners of the Trust. The identification of indirect owners must be made by looking through all direct and indirect owners who are themselves Entities.

Name of owner	Are you an Individual/ Entity	Country of tax residency <i>(do not abbreviate)</i>	Permanent residence/ registered address <i>(including postcode and country)</i>	Tax Identification Number	Country of birth/ Country of organisation	Date of birth/ incorporation <i>(DD-MM-YY)</i>
	Individual					
	Entity					
	Individual					
	Entity					
	Individual					
	Entity					
	Individual					
	Entity					

Please attach additional sheets if necessary.

Annex

Section C: Declaration

1. I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete.
2. I undertake to advise Brooks Macdonald promptly of any change in circumstances which causes the information contained herein to become incorrect or incomplete and to provide Brooks Macdonald with an updated declaration within 30 days of such a change in circumstances. **This includes in particular details of beneficiaries who receive a discretionary distribution in future and whose details have not yet been included in Section B: 'Trust owner information' above.**
3. I am aware that in certain circumstances Brooks Macdonald will be obliged to share this information with UK tax authorities, who may pass it on to the tax authorities of other countries.
4. I am aware that this Owner-Documented FI (ODFI) Agreement is only applicable to the reporting of US persons under FATCA regulations and therefore the Trust remains responsible for meeting any reporting obligations under the CRS regulations.

Trustee
Signature:

Date:

Full name:

Trustee
Signature:

Date:

Full name:

Declarations and authority

It is important that you understand the BPS, and the Terms and Conditions applicable to the BPS.

Therefore, please read these declarations and consents carefully. They are important and if inaccurate may affect Brooks Macdonald's ability to provide the Service requested or any Service at all.

I/We have received:

- Brooks Macdonald Terms and Conditions
- Client Investing Guide

I/We acknowledge that:

1. Brooks Macdonald is required to provide the BPS only on and subject to the Terms
2. Brooks Macdonald relies on the information provided in this Application Pack being full and accurate and failure to provide full and accurate information may adversely affect the ability of Brooks Macdonald to perform its Services and may mean that it could cease to provide Services (in whole or part)
3. when Brooks Macdonald is providing the BPS it is not acting as a Tax Adviser, Financial Planner or Pensions Adviser
4. where specific consents in relation to Instructions by Email or Electronic Communication have been given there are risks associated with such means of communication (see section 14.2 of the Terms)
5. there is a right to cancel or withdraw from the Terms in accordance with section 14.8
6. all charges will be paid in accordance with the amounts detailed on page 17 and in your Investment Proposal
7. my/our Personal Data may be retained and/or processed in accordance with section 14.11 of the Terms

I/We consent to the following:

1. the Order Execution Policy has been provided as part of the Client Agreement and, in particular, to the explicit disclosure that orders may, in certain circumstances, not be executed through a regulated market, exchange or multilateral trading facility

Declarations and authority (continued)

Please check that all required boxes are completed before signing below.

Member Trustee

Signature:

Date:

Full name:

Member Trustee

Signature:

Date:

Full name:

Member Trustee

Signature:

Date:

Full name:

Member Trustee

Signature:

Date:

Full name:

Professional Trustee – corporate (if applicable)

Signature:

Date:

Name:

Professional Trustee - individual (if applicable)

Signature:

Date:

Name:

Declaration and authority

The Professional Adviser is required, as part of the legal agreement between Brooks Macdonald and the Professional Adviser to confirm the following:

- I have carried out anti-money laundering identification and verification to the standards required by the Money Laundering Regulations 2017
- I have been appointed by the client as their Professional Adviser
- I have carried out an assessment of the Suitability of the BPS for the client in accordance with applicable requirements
- I have discussed the BPS with the client and advised them based on their Investment Objectives and Risk Profile
- I have full and continuing authority from the client in respect of any instructions given by me in the context of my agreement with the client

Signature:

Date:

Full name:

FCA reference number:

Additional notes

Clients:

Office use only:

London Stock Exchange Plc
FAO: LEI Operations Department
4th Floor
10 Paternoster Square
London
EC4M 7LS
UK

Date _____

Dear Sirs,

Re: Authorisation to apply for Legal Entity Identifier (LEI)

The below named firm is authorised to apply for an LEI on our behalf. I understand the cost of the LEI will be a maximum of £70 plus VAT for the initial application. I agree and understand that the cost of this will be deducted from my Brooks Macdonald Account.

Requestor Firm name	Brooks Macdonald Asset Management
Requestor Firm address	21 Lombard Street, London EC3V 9AH
Requestor contact details	LEI Team LEI@brooksmacdonald.com

Regards

Name of Entity

Authorising Signature

Print name

Email:

Telephone number

Position within organisation:

Director Company Secretary Compliance Officer Treasurer

Other (please specify): _____

Fee Schedule



BROOKS MACDONALD

Fee Schedule

This document is referred to in Clause 14.9 of the Terms as the 'Fee Schedule'.

Our fees include charges for managing your investments, dealing charges and other administrative and regulatory charges. We offer different charging arrangements depending on your preference and the nature of your account. Our standard charges, and the charging options, are set out below.

The specific initial and annual management charges we have agreed with you are set out in your Investment Proposal and Welcome letter.

Brooks Macdonald fees

Initial charge:

The maximum that you can be charged is:

- 3% + VAT on all new funds invested into your portfolio

Management charges:

You can choose whether to select an annual management charge plus dealing arrangement (Option 1), or a higher annual management charge with no additional costs for dealing (Option 2).

Option 1: Charges applicable

Annual management charge

- Maximum charge: 1.5% + VAT

Execution only charge

- If you decide to have an execution only element to your portfolio the ongoing charge for this service will be a maximum 0.4% + VAT plus dealing

ISA charges

- 0.50% + VAT on the first £30,000
- 0.10% + VAT thereafter

ISA charges are calculated on a six monthly basis and taken against the value of your ISA portfolio at as at the end of June and December.

Dealing charges - purchases and sales

UK

- 1% on the first £10,000 (minimum £15 per trade)
- 0.15% from £10,001 to £250,000
- 0.11% thereafter

Overseas

- 1% on the first £10,000 (minimum £65 per trade)
- 0.15% thereafter

Our annual management charge is calculated quarterly and taken against the value of your portfolio at the end of March, June, September and December.

Suitability (see Clause 4.4 e)

An additional charge will apply if Brooks Macdonald is to carry out the Suitability Functions described in clause 4.4(e) of the Terms.

Option 2: Charges applicable

Annual management charge

- Maximum charge: 2% + VAT

Execution only charge

- Not available

ISA charges

- None

Dealing charges - purchases and sales

- None

Administration charges

Administration charges applicable to all accounts

- All transactions are subject to an administration charge where we hold your assets in nominee - £15 per transaction
- Transfer of holdings to another institution (by CREST, electronically or into a paper share certificate) - £25 per security + VAT
- Conversion of share classes requested before transfer to another institution - £25 per security + VAT*
- CHAPS payments - £10 per transaction
- Same day faster payments - £2.75 per transaction
- Historic valuation and Probate services – 0.2% of the value of the portfolio (minimum £100/maximum £250) + VAT

Lifetime ISA specific administration charges

- Withdrawal of funds for purchase of first house - £250 + VAT
- Other withdrawal of funds - £50 + VAT

*The availability of this is at the discretion of Brooks Macdonald and will only normally be offered where a sale would result in an adverse Capital Gains Tax (CGT) position for the client. Brooks Macdonald cannot offer guidance on the CGT impact of such transactions.

Professional Adviser fees

If you have a Professional Adviser, they may charge fees in addition to the fees charged by Brooks Macdonald. Your Professional Adviser's initial and ongoing fees will be set out in the Application Pack and Brooks Macdonald can, if instructed to do so, facilitate the payment of such fees from your portfolio. Any fees you pay to your Professional Adviser from your portfolio will appear in your valuation.

Regulatory fees

- Stamp duty: 0.5% payable on the purchase of UK shares (excluding certified shares on AIM and other recognised growth markets). Other rates may apply to shares listed outside the UK
- Panel of Takeovers and Mergers (PTM) levy: £1.00 on all transactions over £10,000, in shares of UK incorporated companies trading on a UK regulated market or multilateral trading facility
- Other charges may apply, depending on the country. Please ask for further details if required
- Legal Entity Identifier (LEI): £70 + VAT for a new LEI, maximum of £60 + VAT for a renewal of an existing LEI

Variations

Brooks Macdonald may change the Fee Schedule as set out in this document from time to time and will notify you of any changes with a reasonable period of notice of at least 30 days before they are applied. Brooks Macdonald will only make changes for good reasons, including, but not limited to:

- reflecting legitimate increases or reductions in the cost of providing a service to you
- providing for the introduction of new systems, services, changes in technology and products
- reflecting a change in applicable law or regulation

Interest Rates

We will publish our current rates of interest on our website at www.brooksmacdonald.com/cashrates. Alternatively, please contact your Investment Manager at any time for full details.