

For
clients

Personal Portfolio

Curated by  Marlborough

Application form

Personal Portfolio client application form V1.1

Completing the application

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Client requirements

Please complete all data fields in the applicable sections and sign this Application form to apply for an Account to be opened on Select Platform using Marlborough Personal Portfolio Service. If you are applying for a joint Account, the second applicant will also need to complete and sign this Application.

If you are applying for more than one Account, you can complete a duplicate of **Section B**. If you are requesting more than one transfer, please use a duplicate of **Section C**.

All defined terms in this Application shall have the same meaning as set out in the Personal Portfolio Client Terms or the Select Platform Client Terms (as applicable), unless as stated otherwise.

By signing this Application, you agree that:

- you have taken the time to read and understand the Personal Portfolio Client Terms and the Select Platform Client Terms (together the “**Terms**”) together with the key features document and agree to be bound by them; and
- you have full power and authority to enter into the Terms and this Application.

You will need to send the completed Application to your Adviser, and they will send this to us.

If you have any questions about the Application or the Terms, please ask your Adviser.

Adviser requirements

Upon receipt of the Application from your Client you will need to complete and sign Section E and return the completed Application to us.

Section A: Client personal details

Applicant 1:

Salutation:

Surname:

First name:

Middle name(s):

Date of birth:

Occupation:

Permanent Residential
Address including
postcode & country of
residence

Mobile number:

Email:

Country of birth:

Country of citizenship

National insurance no.

Bank details:

Sort code:

Account number and reference (where applicable):

Applicant 2:

Salutation:

Surname:

First name:

Middle name(s):

Date of birth:

Occupation:

Permanent Residential
Address including
postcode & country of
residence

Mobile number:

Email:

Country of birth:

Country of citizenship:

National insurance no.

Bank details:

Sort code:

Account Number and Reference (where applicable):

Source of wealth/funds:

Section B: Product account details

What type of Account do you wish to open? If you like more than one, then please use this page for each account.

General Investment Account	[]
ISA	[]
Third-Party Off-Shore Bond	[]
Third-Party On-Shore Bond	[]
Third-Party Pension	[]

Account name:

Product provider reference:

Investment amount:	Lump sum / regular
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Initial adviser fee	£
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On-going adviser charge:	%
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Portfolio risk level:

Portfolio investment restrictions or preferences
(if applicable):

Please include the name of any
asset that we should retain
within your account

**If this is a third-party account, please confirm if there is a provider's bank account for
withdrawals to be made to:**

Bank details:

Sort code:

Account number:

Reference number (if required):

Section C: Transfer details

Please provide us with the details of the account that you would like to transfer to us.

Providers name:

Providers address
(including postcode):

Providers reference
number:

Current value:

Transfer type:	Cash []	In-Specie []
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Section D: Client declarations

For your own benefit and protection, you should read our Personal Portfolio Client Terms and the Select Platform Client Terms carefully before committing to an investment. If you do not understand any points please ask us for further information. When you use our services, we will take this as acceptance and agreement of our terms, and you will be bound by them.

General Declaration

1. I confirm:
 - that I have read and understood the Terms and I agree to be bound by them.
 - that Marlborough has not provided me with any advice under the terms of the Financial Services and Markets Act 2000.
 - that I have read the Privacy Notice contained in the Personal Portfolio Client Terms Document and give my permission for my personal data to be processed as described in this statement and the General Data Protection Regulations.
2. I understand that:
 - Checks will be carried out to establish proof of my identity and residence. Should these checks prove unsatisfactory, I will be required to provide proof of identity that is deemed satisfactory before my account opening can be accepted.
 - I have entered into an adviser charges agreement, I authorise and request Select Platform to pay adviser charges on my behalf from the funds held in my account, until otherwise instructed.
 - Adviser charges will only be paid if my Adviser is authorised by the Financial

Conduct Authority and has agreed to the financial adviser terms of business.

3. I authorise and instruct Marlborough to make investments on my behalf in line with the Guidelines that my Adviser has provided. I understand that the suitability assessment has been and will continue to be conducted by my Adviser. On that basis, you agree that Marlborough can solely rely on the risk profile included within the Guidelines as an accurate representation of my investment objectives and capacity for loss, and that Marlborough will use their discretion when managing the investments in that portfolio
4. I authorise Select Platform to administer and arrange my investments held in my account that Marlborough may request on my behalf. I also authorise Select Platform to transfer money to and from bank accounts for the purposes of facilitating my account.
5. I will tell you in writing within 30 days if:
 - there is a change to my name, permanent residential address or residency status;
 - I am made bankrupt; or
 - there are any changes to the information provided in my application as soon as I am aware that what is stated is no longer true and complete

Transfer declaration*

(*This will apply for transfers being requested now or in the future)

Please take this authority to transfer my entire holdings to my Account held with Select Platform. If this transfer includes an ISA, please tick here if it includes subscriptions for the current year. ☐

01. By signing below, I authorise the current provider or ISA manager to provide Select Platform with any information they may require in respect of this transfer.
02. Either transfer my holdings to Select Platform or liquidate the assets within my account with immediate effect and forward the proceeds to Select Platform.
03. Stop collecting my regular savings with immediate effect if any are currently being collected.

ISA declaration*

(*This will apply for ISA's being opened now or in the future)

I apply to subscribe to a Stocks and Shares ISA for the current tax year and each subsequent tax year until it is closed.

04. I declare that:
 - all subscriptions made, and to be made, belong to me
 - I have not subscribed, and will not subscribe, to more than the overall ISA subscription limit total in the same tax year
 - I am resident in the United Kingdom (UK) for tax purposes: or, if not resident, either perform duties which, by virtue of section 28 of Income Tax (Earnings and Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in

the UK,

- or I am married to, or in a civil partnership with, a person who performs such duties

05. I will inform Select Platform if I cease to be resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.

06. I have received the terms and conditions for the ISA I'm applying to subscribe to and agree to them.

07. I am 18 years of age or over

08. I authorise Select Platform:

- to hold my subscriptions and any income earned on those subscriptions and to claim any relief from tax on my behalf
- to make a record in writing of this declaration and authorisation.

I declare that, to the best of my knowledge and belief, all the information I have supplied including any other documents completed in relation to my Application, and the statements made in this declaration are, to the best of my knowledge and belief, correct, complete and not misleading.

This Application may be executed in any number of counterparts, each of which so executed will be an original but together will constitute one and the same instrument. The Parties agree that an electronic signature, whatever form such a signature may take, shall be as conclusive of their intention to be bound by the Agreement as a manuscript signature.

First applicant declaration

Second applicant declaration

X

Client Name

Date

X

Client Name

Date

Section E: Adviser details and declaration

Firm name:

FCA registration number:

Firm address:

Postcode:

Telephone number:

General email address:

Adviser name:

Individual FCA number:

Adviser Declaration

By submitting this Application, I confirm that:

Financial Adviser Firm

I am submitting this Application either in my personal capacity as an authorised Financial Adviser or on behalf of an authorised firm for whom I have authority to act and, on whose behalf, I make this declaration.

09. I am personally, or the firm for whom I have authority to act, is permitted to do business with Marlborough Investment Managers Limited (Marlborough) and Select Platform Ltd (Select) and I have all necessary authority from my Client(s) to execute this business on their behalf.

10. By signing this Application, you, the Adviser, represents and warrants that:

- it has read and understands the Terms and agrees to be bound by them, and
- it has full power and authority to enter into the Personal Portfolio Client Terms and this Application.

11. My Client(s) has/have received, and been given sufficient time to read and understand, all the necessary documentation applicable to this application to open an account, including but not limited to:

- Personal Portfolio Client Terms
- Select Platform Client Terms (including Custody Terms)
- Fee Schedule
- Marlborough Privacy Policy

12. I have the instruction from my Client(s) to provide the bank account details they have given to use this account for cash withdrawals, where applicable.

13. I understand that Marlborough will automatically invest cash received into my Client(s)'s Portfolio, as soon as it has been reconciled and allocated.

14. My Client(s) has/have agreed to the deduction of charges as detailed in the Adviser Charges section of this Application.

15. I declare that this Application has been completed to the best of my knowledge and belief.

16. This Application may be executed in any number of counterparts, each of which so executed will be an original but together will constitute one and the same instrument. The Parties agree that an electronic signature, whatever form such a signature may take, shall be as conclusive of their intention to be bound by this Application as a manuscript signature.

Money laundering

My Client(s) has/have acknowledged that Marlborough and Select Platform may use approved credit reference agencies, tracing companies, financial crime prevention agencies, or publicly available information, to help verify their identity, as well as to prevent fraud and money laundering.

17. My Client(s) has/have acknowledged that where identity checks are unable to be electronically completed, anti-money laundering documentation will be required prior to proceeding with account opening and accepting transactions.

18. I confirm that I will provide copies of my Client verification document to Marlborough when requested. 1`

Data privacy

I have my Client's permission and all necessary rights to submit this Application in accordance with Data Protection Legislation and the Terms.

19. I have provided my Client(s) with the Marlborough Privacy Policy, which they have acknowledged.

20. I have collected explicit consent from my Client(s) for Marlborough and its third parties to process their sensitive personal information.

21. I have correctly collected consent from my Client(s) for this, where applicable, in each case so that Marlborough and any associated third party can lawfully process my Client(s) personal information in accordance with the Marlborough Privacy Policy.

This Application may be executed in any number of counterparts, each of which so executed will be an original but together will constitute one and the same instrument. The Parties agree that an electronic signature, whatever form such a signature may take, shall be as conclusive of their intention to be bound by the Agreement as a manuscript signature.

N.B. The Authorised Adviser must sign and date

X

Adviser Name

FCA Registration Number

Marlborough Group Holdings Limited is registered in England No. 10078930.

Issued by Marlborough Investment Management Limited, registered in England No. 01947598 (FRN 115231) on behalf of Marlborough Select Platform Limited, registered in England No. 09603561 (FRN 756360). Both firms are authorised and regulated by the Financial Conduct Authority in the UK. Registered Office: Marlborough House, 59 Chorley New Road, Bolton, BL1 4QP.