For clients

Personal Portfolio

Curated by Marlborough

Trust application form

Personal Portfolio trust application form V1.0

Completing this application

Contents

Trustee requirements

Please complete all applicable sections and sign this Application form to apply for an Account to be opened on the Select Platform to use the Marlborough Personal Portfolio Service. You can complete a duplicate of **Section B** to provide details of more than one Trustee.

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

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

If you have any questions about this 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 G** and return the completed Application to us.

Section A: Trust details

Name of Trust:	
Trust Legal Entity Identifier (LEI):	
Registered address of the Trust (including country):	
	Postcode:
Trust Type:	
Trust Registration Number:	
Bank Details:	
Sort code:	
Account Number:	
Reference (where applicable):	

Section B: Trustee details (Complete if Trustees are Individuals)

Trustee 1:	
Title:	Surname:
First Name:	Middle Name:
Date of Birth:	
Permanent Residential Address including country of residence	
	Postcode:
Mobile Number	Email address
Country of Birth	
Country of Citizenship	
National Insurance Number	

Trustee 2:	
Salutation:	Surname:
First Name:	Middle Name:
Date of Birth:	
Permanent Residential Address including country of residence	
	Postcode:
Mobile Number	Email address
Country of Birth	
Country of Citizenship	
National Insurance Number	

Section C: Corporate trustee information

This information will be used to identify the relevant Directors

Name of Corporate Entity:	
Company registration number:	
Contact Name:	
Full operating business address:	
	Postcode:
Legal Entity Identifier:	
Telephone Number:	
Email:	

Section D: Beneficiary personal details

Beneficiary 1:	
Title:	Surname:
First Name:	Middle Name:
Date of Birth:	
Permanent Residential Address including country of residence	
	Postcode:
Mobile Number	Email address
Country of Birth	
Country of Citizenship	
National Insurance Number	

Beneficiary 2:	
Title:	Surname:
First Name:	Middle Name:
Date of Birth:	
Permanent Residential Address including country of residence	
	Postcode:
Mobile Number	Email address
Country of Birth	
Country of Citizenship	
National Insurance Number	

Section E: 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 [ ]

Third-Party Off-Shore Bond [ ]

Third-Party On-Shore Bond [ ]

Account Name		
Product Provider reference		
Investment Amount		Lump Sum/ Regular
On-going Adviser Charge		
On-going DFM Charge		
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 F: 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	
Please indicate transfer type	Cash / In-Specie

Section G: 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

01. We, the trustee(s) of ____(name of the trust where applicable) do solemnly and sincerely declare that, to the best of our knowledge and belief:

    We hold money on trust for the beneficiaries named on this Application form;

    - The Trust is registered in ____________________________ (name of country); and
    - We are empowered under the terms of that Trust to invest Trust money on behalf of the Trust, and we make this statutory declaration conscientiously believing the same to be true.

02. We confirm:

    that we have read and understood the Terms and agree to be bound by them.

    - that Marlborough Investment Management Limited has not provided me with any advice under the terms of the Financial Services and Markets Act 2000; and
    - that we have read the Privacy Notice contained in the Personal Portfolio Client Terms Document and give permission for our personal data to be processed as described in this statement and the General Data Protection Regulations.

03. We understand that:

    Checks will be carried out to establish proof of identity and residence. Should these checks prove unsatisfactory, We will be required to provide proof of identity that is deemed satisfactory before the account opening can be accepted;

- We have entered into an adviser charges agreement. We authorise and request Select Platform to pay adviser charges on behalf of the Trust from the funds held in the account, until otherwise instructed; and
- Adviser charges will only be paid if our Adviser is authorised or exempt from authorisation by the Financial Conduct Authority and has agreed to the financial adviser terms of business.

04. We authorise and instruct Marlborough Investment Management Limited to make investments on behalf of the Trust in line with the Guidelines that our Adviser has provided. We understand that the suitability assessment has been and will continue to be conducted by our Adviser. On that basis, we agree that Marlborough Investment Management Limited can solely rely on the risk profile included within the Guidelines as an accurate representation of the investment objectives and capacity for loss for the Trust, and that Marlborough will use their discretion when managing the investments in that portfolio

05. We authorise Select Platform to administer and arrange investments held in the trust account that Marlborough Investment Management Limited may request on our behalf. We also authorise Select Platform to transfer money to and from bank accounts for the purposes of facilitating the trust account.

06. We will tell you in writing within 30 days if there are any changes to the information provided in the Application as soon as we are 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 the entire holdings to the trust Account held with Select Platform.

By signing below, we authorise the current provider to provide Select Platform with any information they may require in respect of this transfer.

Either transfer the holdings to Select Platform or liquidate the assets within the trust account with immediate effect and forward the proceeds to Select Platform.

Stop collecting any regular savings with immediate effect if any are currently being collected.

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 Trustee(s) on behalf of the Trust 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.

First trustee signature	**Second trustee signature**
X	X
Trustee Name	Trustee Name
Date	Date

Section H: Adviser details & 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 on behalf of an authorised or exempt from authorisation firm for whom I have authority to act and, on whose behalf, I make this declaration.

07. The adviser firm for whom I have authority to act, is permitted to do business with

Marlborough Investment Managers Limited (Marlborough) and Marlborough Select Platform Limited (Select) and I have all necessary authority from my client(s) to execute this business on their behalf.

08. By signing this Application, 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.

09. 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; and
- Marlborough Privacy Policy.

10. 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.

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

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

13. I declare that this Application has been completed on behalf of the Adviser firm to the best of my knowledge and belief.

Money laundering

14. 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.

15. 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.

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

Data privacy

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

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

19. I have collected explicit consent from my Client(s) for Marlborough and its third parties

to process their sensitive personal information.

20. 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.

N.B. The Authorised Adviser must sign and date

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.

X

Adviser Name

FCA Registration Number