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Managed Portfolio Service
Application form

How to apply

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Please complete the application form in full, taking care to sign the declaration and authority section. You may find it easier to complete the application with the help of your professional adviser who can explain how the service works and help clarify your investment objectives. **Please note that the fields marked with an asterisk (*) are mandatory, and that we will be unable to finalise your application should these fields be incomplete.**

There are various ways to fund your new investment portfolio, either by electronic bank transfer (account details available on request) or alternatively by personal cheque payable to "Bordier & Cie (UK) PLC - Client Account"

Time horizon

When considering investing in the Managed Portfolio Service (MPS), you should normally look to invest for a minimum of five years, however there may be occasions where a shorter time horizon is appropriate. Should you be in any doubt, please consult your professional adviser.

Verification of identity

We are required by our regulator to confirm the identity of our new clients. To complete this process, we need to verify your identity, via photographic ID and your home address.

Please provide one document from each category below:

(1) Proof of ID:
- Passport
- Driving licence
- Gun licence

(2) Proof of address:
- Bank statement
- Council tax bill
- Utility bill (gas or electric bill)

All copy documents must be certified by an appropriate professional. Bank statements or utility bills must have been issued within the past three months. Please speak with your professional adviser if you need assistance with this.

Application checklist

- ☐ Personal details
- ☐ Investment objectives
- ☐ Structure of portfolio
- ☐ Introducing agent's details
- ☐ Declaration and authority
- ☐ Verification of identity documents

Contact us

Please return the application and all supporting documentation to:

Managed Portfolio Team
Bordier & Cie (UK) PLC
23 King Street, St James's
London
SW1Y 6QY

Email: client.services@bordieruk.com

Telephone: 020 7667 6600

Further information about the service is available via our website www.bordieruk.com/bmps

Important

Please retain the terms of business at the back of the application form for your records. A duplicate copy of the application will be sent to you once the account opening process has been completed. If you have questions with regards to the model based approach of the service and how it may impact your investment objectives, please consult your professional adviser.

Personal details
First applicant

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Title: Forename(s):

Surname:

or name of account:

Permanent residential address:

Postcode:

Nationality*: Country of residence*:

Domicile*: Country of birth*:

Daytime telephone number:

Mobile telephone number:

Contact email address:

I would like to receive general market news and articles by email: Yes ☐ No ☐

Date of birth: DD MM YYYY

National Insurance number*:

Tax Identity Number (TIN) / Unique Taxpayer Reference (UTR)*:

Gender: (tick appropriate) O Male O Female

Marital status: (tick appropriate) O Single O Married O Civil Partnership

O Widowed O Divorced O Separated

Number of dependants:

Bank name:

Bank address:

Postcode:

Account name:

Account number:

Sort code:

Personal details
Second applicant

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Title: Forename(s):

Surname:

or name of account:

Permanent residential address:

Postcode:

Nationality*: Country of residence*:

Domicile*: Country of birth*:

Daytime telephone number:

Mobile telephone number:

Contact email address:

I would like to receive general market news and articles by email: Yes No

Date of birth: DD MM YYYY

National Insurance number*:

Tax Identity Number (TIN) / Unique Taxpayer Reference (UTR)*:

Gender: (tick appropriate) O Male O Female

Marital status: (tick appropriate) O Single O Married O Civil Partnership

O Widowed O Divorced O Separated

Number of dependants:

Bank name:

Bank address:

Postcode:

Account name:

Account number:

Sort code:

Investment strategy and risk profile

Initial investment amount or anticipated transfer value: ☐ Anticipated further investments: ☐

Time horizon 2-4 years O 5-10 years O 10+ years O

Please indicate which investment strategy you would like to invest in (select one). You should discuss the suitability of each investment strategy with your professional adviser. We have produced a guide to risk and suitability, which is designed to give you a better understanding of investment risk and the various factors you and your professional adviser should take into consideration when assessing the suitability of a particular investment strategy.

Defensive Strategy Growth O Income O
A lower risk strategy with an *exposure to stockmarkets of between 0-20%*

Cautious Strategy Growth O Income O
A cautious strategy with an *exposure to stockmarkets of between 20-40%*

Balanced Strategy Growth O Income O
A balanced strategy with an *exposure to stockmarkets of between 40-60%*

Growth Strategy Growth O Income O
A strategy with a *high exposure to stockmarkets of between 60-80%*

Adventurous Strategy Growth O Income O
A strategy with a *very high exposure to stockmarkets of between 80-100%*

Please complete an Additional Account form for each additional portfolio that requires a separate risk profile.

Income

If all income should be reinvested in line with the chosen investment strategy, please select the following box: ☐

If income is required, please select one of the following options:

all income should be paid: ☐ or a fixed amount of: ☐

What is the desired frequency of these payments? Annually O Quarterly O Monthly O

All income payments will be made to the first applicant's bank account unless otherwise specified here.

(Income from a SIPP account can only be remitted into a pension scheme bank account)

Bank name:

Bank address:

Postcode:

Account name:

Account number:

Sort code:

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Please indicate if you like to hold your MPS portfolio, either:

As an individual MPS account in your name: O joint name: O

or

Within an investment vehicle: O

If within an invested vehicle please provide details:

O **Self-invested personal pension (SIPP)**

Name of provider:

Policy number:

O **Offshore bond**

Name of provider:

Policy number:

O **Other** (Trust or company etc, please give details)

Origin of wealth for investment

O Employment/Savings O Family/Inheritance O Sale of asset/business

O Investments O Pension transfer O Other (please specify):

Reporting and administration

You will receive quarterly investment reports and an annual tax pack electronically via our secure client web portal (user name and password details will be issued prior to the first investment report). In the event you do not wish to receive your reports electronically, please tick the box below:

I/We do not wish to receive investment reports electronically: ☐

Please be aware that if you have chosen not to receive reports electronically, physical copies of your investment reports will be sent to you on a quarterly basis which will incur an administration charge of £20.00 per report (no charge is applied for the annual tax pack). Please note that investment reports will be sent to the first applicant's address unless otherwise stated.

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Initial charge

Clients transferring assets in cash:
No initial fee

Clients transferring in assets in specie:
Initial fee 0.5% + VAT of the portfolio value and future transfers

Other charges

Regular payments to client bank account: free of charge
Payments to HMRC: free of charge
Ad hoc BACS payments: £25 per payment
Ad hoc CHAPS payments: £50 per payment
In-specie transfer to a third party: £75 per security + VAT

Annual management charge

0.75% +VAT
Our annual management charge is calculated monthly in arrears

Example: On a £20,000 portfolio, a 0.75% fee would equate to £150 per annum plus VAT at 20%. This would give a total fee of £180 per annum. This figure would be divided by 12 (the number of months in a year) and would mean £15 would be charged in that month.

Professional adviser details

Adviser name:

Company name:

Address (or stamp):

Postcode:

Telephone number:

FCA number:

Email address:

Professional adviser remuneration

Please delete as appropriate

Ongoing annual fee payable to professional adviser	%	VAT Yes/No
Introductory fee payable to professional adviser	%	VAT Yes/No

Professional adviser declaration

I confirm that the fees and charges laid out above have been fully explained and agreed with the client

(Adviser signature)

Please note, the adviser must sign in the box provided for the introductory remuneration payment to be processed. Without a signature, we are unable to process the application which will be returned.

Special category data consent

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New standards introduced by European Union data protection regulation, the General Data Protection Regulation ('GDPR'), defines certain types of information as 'special category data', which we may require your consent to hold.

During meetings and discussions with you, we may record certain information that is relevant to how we provide our services to you. This information may pertain to your:

- Health
- Political opinions
- Religious beliefs
- Trade union memberships
- Children

This information may be recorded to help us ensure that we provide you with the highest levels of client service and the most appropriate investment strategy. You have the right to ask us not to record this information and may withdraw your consent at any time by contacting dataprotection@bordieruk.com.

This data will only be processed to provide services to you which you have requested and to comply with legal and regulatory requirements.

Please confirm whether you consent to us recording this data (please tick only one box):

First applicant

☐ Yes, I consent to Bordier UK processing special category data about me.

☐ No, I do not consent to Bordier UK processing special category data about me.

Second applicant

☐ Yes, I consent to Bordier UK processing special category data about me.

☐ No, I do not consent to Bordier UK processing special category data about me.

Pension trustee/Bond provider

☐ Yes, I consent to Bordier UK processing special category data about me.

☐ No, I do not consent to Bordier UK processing special category data about me.

Declaration and authority

The discretionary investment management within the Managed Portfolio Service will be provided by Bordier & Cie (UK) PLC. Any advice pertaining to the suitability of this service will be provided by your professional adviser. Your attention is drawn to our Terms of Business upon which we intend to rely. For your own benefit and protection, you should read the terms of the Client Agreement carefully before signing the declaration below. If you do not understand any aspect of the terms of business, please ask for further information.

I/We understand that Bordier & Cie (UK) PLC are my/our investment managers and will direct the investment decisions on my/our account. My/our professional adviser will be responsible for providing the advice as to the suitability of my/our account, taking into consideration my/our investment objectives and risk profile.

I/We agree to the Bordier & Cie (UK) PLC initial and annual management charges as set out in the fees and charges section of this application form.

I/We agree to the introductory remuneration payment as set out in the professional adviser details section of this application form.

I/We confirm to have read and understood the risk guidelines and warnings contained in the Terms of Business.

I/We confirm to have read and understood the Bordier UK Privacy Policy.

I/We declare that to the best of my/our knowledge and belief all statements made in this application form (whether in my/our handwriting or not), including the contents of this declaration, are correct and complete.

First applicant

Signature: Date: DD MM YYYY

Second applicant

Signature: Date: DD MM YYYY

Pension trustee/Bond provider

Signature: Date: DD MM YYYY

This document is issued and approved by Bordier & Cie (UK) PLC. Incorporated in England No: 1583393, registered address 23 King Street, St James's, London, SW1Y 6QY. The company is authorised and regulated by the Financial Conduct Authority.

Bordier & Cie (UK) PLC is a specialist investment manager dedicated to providing portfolio management services. We offer Restricted advice as defined by the FCA, which means that if we make a personal recommendation of an investment solution to you, it will be from Bordier UK's range of investment propositions, and will reflect your needs and your approach to risk.

The value of investments, and the income arising from them, can go down as well as up and is not guaranteed. This means that you may not get back what you invested.

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