



CASTERBRIDGE WEALTH
INVESTMENTS

Form 400W

SIPP Account Form

Investment Management Platform

Please complete all sections electronically
or in BLOCK capitals using blue or black ink.

Client Name

Affiliated Firm Contact Details

Location Code

Responsibility Code

Investment Decision Maker Code

Affiliated Firm Contact

Raymond James Head Office Use Only

Account reference RK

RAYMOND JAMES

Casterbridge Wealth Limited, your Financial Intermediary, is authorised and regulated by the Financial Conduct Authority.

Raymond James Investment Services Limited is a company registered in England and Wales (Reg. No. 03779657). Our registered office is at Ropemaker Place, 25 Ropemaker Street, London EC2Y 9LY, which is also our principal place of business.

Pershing Securities Limited is a company registered in England and Wales (Reg. No. 02474912). Its registered office is at Royal Liver Building, Pier Head, Liverpool L3 1LL.

Both Raymond James Investment Services Limited and Pershing Securities Limited are members of the London Stock Exchange and are authorised and regulated by the Financial Conduct Authority which is located at 12 Endeavour Square, London E20 1JN.

Section 1 *To be completed by the underlying client.*

Name of SIPP Provider

Member Personal Details

These are the details of the underlying client.

Member

Relationship to account

Owner

Title

Forename

Middle name

Surname

Date of birth

DD MM YYYY

Gender

Male

Female

Primary Residential Address

Address line 1

Address line 2

Address line 3

City/Town

Postcode

Country

Correspondence address

if different from above

Primary contact telephone number

Email address

Countries of Tax Residency

state primary first

Tax Residency Identifier No.*

Are you a US Person?***

No

Yes

Countries of Citizenship

state primary first

Nationality

state primary first

National Identifier No.***

National Identifier Type:

NINO/Passport/TIN/CONCAT

N

P

T

C

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Place of birth

Town

Country

Occupation

- * If you have a National Insurance number, this can be found on your National Insurance Card, payslip, form P45 or P60, pension order book or letters from HM Revenue and Customs or Department for Work and Pensions.
 - ** We have limited options for US Persons. For a definition of US Person please refer to the IRS website:
<https://www.irs.gov/individuals/international-taxpayers/foreign-persons>
 - *** Please be aware that the National Identifier no. can be different to your Tax Residency Identifier no.; please refer to page 18 and 19
http://ec.europa.eu/finance/securities/docs/isd/mifid/rtts/160728-rtts-22-annex_en.pdf
-

Attorney Details *if acting under power of attorney*

Attorney 1

Attorney 2

Attorney type

Title

Forename

Middle name

Surname

Date of birth

DD MM YYYY

DD MM YYYY

Gender

Male

Female

Male

Female

Primary Residential Address

Address line 1

Address line 2

Address line 3

City/Town

Postcode

Country

Correspondence address

if different from above

Primary contact telephone number

Email address

Reporting

Custody Statement

You will receive a period record of your holdings, held in nominee on your behalf by PSL in the form of a Custody Statement. This is sent to you by PSL in order to meet its regulatory obligations as custodian of your assets. Please note; future Custody Statements may be incorporated into your quarterly valuation.

Valuation Frequency

For Managed Discretionary Portfolios, valuations will be provided on a quarterly basis.

For Advisory Portfolio/Advisory Dealing/Execution Only Portfolios please select a frequency below:

Quarterly (March, June, September, December)

Half Yearly (June, December)

Yearly (December)

Valuation Reporting Currency

Valuations are reflected in GBP as **default**.

If you wish for your valuation to report in a different currency please specify the currency here:

Important note: once transactions have taken place on the account, the reporting currency cannot be changed.

Valuation Consolidation

Option 1

I would like a standalone valuation for this new account.

Valuation Title*

*Maximum of 32 characters

Option 2

I wish to consolidate this new account with another existing Raymond James Account:

Account Reference No. **RK**

Relationship to
Account

Account Name

Account Type

Important Note: The existing Raymond James Account will remain the Master Valuation account. If you require the valuation title to be updated (e.g. from Mr Smith to Mr & Mrs Smith) please detail the new valuation title below:

Valuation Title*

*Maximum of 32 characters

Option 3

I wish to consolidate this new account with another new Raymond James Account:

Account Name

Account Type

Relationship to account

Which of these accounts will be considered the Master Valuation account?

Valuation Title*

*Maximum of 32 characters

Important Note: If this option is selected we must receive the relevant new account packs at the same time to facilitate the consolidation.

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Contract Notes

Raymond James will generate a contract note confirming details of the trade(s) executed on your behalf.

If you would prefer for your Financial Intermediary to receive your contract notes on your behalf, please review the following declaration and confirm accordingly.

I understand:

- by ticking this box, I am instructing Raymond James to send any contract notes to my Financial Intermediary, as named in the *Raymond James' Investment Management Platform Terms of Business*, who has agreed to receive these on my behalf;
- this means that I will not receive contract notes following the execution of any trades placed on my account; and
- should I require copies of these contract notes, these will be available from my Financial Intermediary upon request.

Contract notes will be sent or made available to you as soon as possible, and no later than the first business day following the transaction.

If required, a separate trade confirmation will be dispatched to the SIPP Provider.

Client Access

Where you already have Client Access, this account along with any other new accounts will automatically be linked and viewable through your existing access.

Do you require access/continued access to view your accounts online? Yes No

By selecting yes, you are asking Raymond James to provide you with login details to your account(s) via the Raymond James Client Access Portal. Terms and Conditions of usage will be made available to you and will need to be accepted prior to you using this tool for the first time.

Important note: *If you have selected yes please ensure you have provided an email address and telephone number in the personal details section.*

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Declaration

I declare, I:

- have read this form and confirm that the information provided is correct to the best of my knowledge; and
- agree to notify Raymond James immediately of any significant changes.

I acknowledge that:

- by signing this Account Form Raymond James will open an account within the SIPP;
- Raymond James will manage the assets within your SIPP account in accordance with the *Raymond James' Investment Management Platform Terms of Business* and the conditions of the SIPP Provider; and
- the SIPP Provider may issue instructions in respect of these assets which contradict the preferences I have expressed and that Raymond James would be obliged to follow such instructions.

By completing and signing this Account Form, I:

- confirm I have been provided with *Raymond James' Investment Management Platform Terms of Business* and the *Schedule of Fees and Charges* which I have had the opportunity to read;
- confirm I wish to enter into the Agreement with Raymond James and understand the Agreement consists of this *Account Form*, the *Raymond James Investment Management Platform Terms of Business*, the *Schedule of Fees and Charges* and the *Rates and Charges* document; and
- consent to Raymond James validating my personal identification and verifying my address internally or through a third party.

Member

Full name *Please print*

Capacity

Account Owner

or state capacity in
which you are acting

Signature

 Please sign here

Date

DD MM YYYY

Financial Intermediary Declaration

I declare, I:

- have read this form and confirm that the information provided is correct to the best of my knowledge;
- agree to notify Raymond James immediately of any significant changes; and
- may only invest in assets which are permissible under UK HM Revenue & Customs (HMRC) regulations and that are within the chosen SIPP Administrator's current permitted investments list.

Full name *Please print*

Signature

 Please sign here

Date

DD MM YYYY

Section 2 *To be completed by the SIPP Administrator if applicable*

Trustee Details and Approval

SIPP Administrator

Correspondence Address

Address line 1

Address line 2

Address line 3

City/Town

Postcode

Country

SIPP Account Name

Member's Policy Number

SIPP Bank/Building Society Account Details *If applicable*

Bank name

Account number

Account name

Sort code

00 - 00 - 00

Authorised signatory for the bank account

Full name *Please print*

Signature

X Please sign here

Date

DD

MM

YYYY

Do the SIPP Trustees authorise Raymond James to accept sale or purchase instructions from the Wealth Manager directly? Yes No

Declaration

I declare, I:

- have read this form and confirm that the information provided is correct to the best of my knowledge; and
- agree to notify Raymond James immediately of any significant changes.

First approved signatory

Full name *Please print*

Signature

X Please sign here

Date

DD

MM

YYYY

Second approved signatory

Full name *Please print*

Signature

X Please sign here

Date

DD

MM

YYYY