

# Form to capture details of Beneficial Owners, Directors and Controllers of corporate bodies, partnerships or trusts (except for those regulated in the UK/EU or listed on a recognised exchange)

To be used in conjunction with the Rathbone Multi Asset or Rathbone Unit Trust application forms where details of the principal applicants should be recorded.

## Beneficial Owners

Under the UK Anti-Money Laundering legislation we are required to obtain details of beneficial owners or controllers who own or control more than 25% of the voting rights or are entitled to more than 25% of the company's profits. The exception to this is in relation to UK/EU regulated firms, nominees majority owned by an UK/EU regulated firm or listed on a recognised exchange. We are also required to establish the identity of any directors, trustees or other controllers that are not named on the application.

For applicants who are corporate bodies or partnerships, please provide details below of any natural person(s) that directly own or control more than 25% of the voting rights in the body or partnership or who own or are entitled to more than 25% of its capital or profits.

Should the applicant not be directly owned by a natural person(s), please send details of the ownership structure to us and upon receipt we will advise you of any further information that may be required from you.

For applicants acting as Trustee(s) or similar, please provide details of all Settlor(s) (even if deceased), any further trustees or others (including Protectors) that have any control over the management of the trust or arrangement, and any named individuals or classes that have a potential entitlement to 25% or more of the property of the trust assets (even where discretion exists).

### Beneficial Owner 1

Title (Mr/Mrs/Miss/Ms/Other) \_\_\_\_\_

Surname \_\_\_\_\_

Forename(s) in full \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_

Postcode \_\_\_\_\_ Date of birth \_\_\_\_\_

Capacity\* \_\_\_\_\_

### Beneficial Owner 2

Title (Mr/Mrs/Miss/Ms/Other) \_\_\_\_\_

Surname \_\_\_\_\_

Forename(s) in full \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_

Postcode \_\_\_\_\_ Date of birth \_\_\_\_\_

Capacity\* \_\_\_\_\_

### Beneficial Owner 3

Title (Mr/Mrs/Miss/Ms/Other) \_\_\_\_\_

Surname \_\_\_\_\_

Forename(s) in full \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_

Postcode \_\_\_\_\_ Date of birth \_\_\_\_\_

Capacity\* \_\_\_\_\_

### Beneficial Owner 4

Title (Mr/Mrs/Miss/Ms/Other) \_\_\_\_\_

Surname \_\_\_\_\_

Forename(s) in full \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_

Postcode \_\_\_\_\_ Date of birth \_\_\_\_\_

Capacity\* \_\_\_\_\_

\* e.g. trustee, settlor, beneficiary, partner, shareholder etc.

Please also provide below details of any other Directors or Controllers who exercise control over the management of the corporate body, partnership or trust who are not beneficial owners.

### Directors or Controllers

#### Person 1

Title (Mr/Mrs/Miss/Ms/Other) \_\_\_\_\_

Surname \_\_\_\_\_

Forename(s) in full \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_

Postcode \_\_\_\_\_ Date of birth \_\_\_\_\_

#### Person 2

Title (Mr/Mrs/Miss/Ms/Other) \_\_\_\_\_

Surname \_\_\_\_\_

Forename(s) in full \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_

Postcode \_\_\_\_\_ Date of birth \_\_\_\_\_

#### Person 3

Title (Mr/Mrs/Miss/Ms/Other) \_\_\_\_\_

Surname \_\_\_\_\_

Forename(s) in full \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_

Postcode \_\_\_\_\_ Date of birth \_\_\_\_\_

#### Person 4

Title (Mr/Mrs/Miss/Ms/Other) \_\_\_\_\_

Surname \_\_\_\_\_

Forename(s) in full \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_

Postcode \_\_\_\_\_ Date of birth \_\_\_\_\_

### Declaration

All beneficial owners and other associated parties are known to me/us and I/we undertake to make those named above aware that they may be subjected to the same data protection and money laundering verification provisions as outlined in the Supplementary Information Document.

#### First principal applicant's signature

(these must correspond to the name(s) given on the application form.)

**Signature**

**Date**

\_\_\_\_\_

#### Second principal applicant's signature

**Signature**

**Date**

\_\_\_\_\_

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Financial Conduct Authority

A member of the  
Investment Association

A member of the Rathbone Group.  
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