Cater Allen
PRIVATE BANK

ENHANCED GROWTH PLAN APPLICATION FORM FOR TRUSTS (INCLUDING PENSION TRUSTS)

For Non-Pension Trusts: please complete all Sections except 2.
For Pension Trusts: please complete all Sections.

Please complete this form in BLOCK CAPITALS and black ink and return it to: **TTS Team, Cater Allen Private Bank, 9 Nelson Street, Bradford BD1 5AN.** If you need any help to complete this form please call us on **0800 028 1200**.

For CAPB completion only
Marketing Code

For action by Financial Adviser only
Enhanced Growth Plan Tranche Number
Master Account Number
Network Name (if Network member)
Cater Allen Relationship Manager

If any information section is not completed, it will be assumed that there is no information to input.
The deadline for the receipt of the application form and cheque by Cater Allen is detailed in the relevant Term Sheet.

1 Trust Details — Applicant to complete

Full name of Trust

Contact name
Title Mr ☐ Mrs ☐ Ms ☐ Miss ☐ Other ☐
If 'Other' please state
Full forename(s)
Surname
Position
Type of Trust (Nature/Purpose of Trust)
Who is the Settlor?
Is the Settlor also the sole Beneficiary?
Yes ☐ No ☐ If **No**, then name all the Beneficiaries where named in the trust deed
First Beneficiary
Second Beneficiary
Date Trust started D D M M Y Y Y Y
Country of establishment ✓ UK
Number of Trustees
Address for correspondence*
Postcode
* Your Financial Adviser's address is not acceptable as your address for correspondence.
Daytime telephone
Fax
E-mail

2 Pension Scheme Details — Applicant to complete

Name of HMRC Registered Pension Scheme
Registered Pension Scheme Number
Scheme address
Postcode

3 Corporate Trustee's Details — Applicant to complete

Is a Corporate Trustee involved with this Plan?
Yes ☐ No ☐ If **Yes**, please supply the following details:
Name of Corporate Trustee
Contact name
Title Mr ☐ Mrs ☐ Ms ☐ Miss ☐ Other ☐
If 'Other' please state
Full forename(s)
Surname
Trading address* of Corporate Trustee
Postcode
Country of establishment/incorporation if outside the UK
Nature/purpose of the business (please tell us the main activities it is involved in)
Registered office address* (if different from trading address)
Postcode
Registered number
* For registered and correspondence addresses only UK and BFPO addresses are acceptable. C/O and PO Box addresses are not acceptable.

4 Recipient Bank Account Details

Applicant to complete

So that we can make any payments, such as your maturity proceeds, please provide us with details of a current or savings account which can be used for this purpose, if you have not given us alternative instructions. Please make sure you fill in this section, otherwise your application cannot be processed and any cheque you have sent us will be returned.

Sort code

– –

Account number

Name of Bank or Building Society

Account held in the name of (your name must appear on the account) Please note proceeds cannot be paid into a cash ISA or an internet account.

Branch address

Postcode

5 Total Deposit Amount

Applicant to complete

Please invest a lump sum of £

The minimum total deposit amount is £5,640. The maximum total deposit is £1 million.

Cheques should be made payable to 'Cater Allen Limited'.

Please indicate the source of funds/wealth

6 Appropriateness (if applicable)

Applicant to complete

Only complete this Section if you did **not** receive a personal recommendation from a Financial Adviser to invest in this product.

The questions below are designed to ensure you have fully considered all the important aspects regarding your proposed investment before deciding to go ahead.

Experience
Have you previously invested in a structured product? Yes ☐ No ☐

Please answer yes or no to the following questions. If you answer no to any of these questions you should not sign this form or invest in this product without seeking advice.

Product
Do you understand that this product is not risk free, but very low risk and that the capital protection that applies is only available on maturity and is dependent on Santander UK plc being solvent and able to meet its obligations? Yes ☐ No ☐

6 Appropriateness (if applicable) (cont)

Applicant to complete

Term
Can you leave your money untouched for the full length of the Plan's term? Yes ☐ No ☐

Early encashment
Do you understand that should you need to encash your Plan before maturity, there is a risk that you will not get all your money back? Yes ☐ No ☐

Savings for emergencies
Have you set aside enough savings to cover future plans and emergencies to be reasonably confident you will be able to maintain the trust's objectives should you suffer loss of capital in this Plan? Yes ☐ No ☐

Risk and reward
Do you understand how the final return from your Plan is calculated? Yes ☐ No ☐

Charges
Do you understand any charges associated with your Plan? Yes ☐ No ☐

Tax
Do you understand the tax implications of your Plan? Yes ☐ No ☐

Product information
Have you read the content of the following documents and have no further queries: Yes ☐ No ☐

- Key Features as set out in the Product Guide and Term Sheet
- Terms and Conditions

No advice
You accept that by signing the declaration in this form, you did not receive any advice from Cater Allen. Yes ☐ No ☐

7 Financial Adviser Information

Financial Adviser to complete (only if no Master Account is currently held with Cater Allen)

The details below must be completed if you do not already hold a Master Account with Cater Allen to ensure that any applicable remuneration is paid. On receipt and acceptance of this application, Cater Allen will create a Master Account for you and allocate you with a Master Account Number.

Full name of Registered Individual

Name of company

Address

Postcode

Telephone

E-mail

Are you a member of a Network? Yes ☐ No ☐

If 'Yes', are you directly authorised or an authorised representative? DA ☐ AR ☐

Name of Network/Support Service Company

FSA Registration Number

7a Terms and Conditions for Financial Advisers

1. We, Cater Allen Private Bank, will generally accept deposits referred by Financial Advisers authorised under the Financial Services and Markets Act 2000 ('Financial Advisers') acting on behalf of their clients but reserve the right to refuse any such deposit. Financial Advisers will supply details of their current FSA Registration Number and any other such proof requested to show that they are duly authorised.

2. Money Laundering

2.1 We generally accept CVICs (Confirmation of Verification of Identity Certificates) from FSA Regulated Financial Advisers confirming that they have verified the identity of their clients as required by the Money Laundering Regulations, but reserve the right to request further documentary proof of the client's identity. All other Financial Advisers must provide acceptable identification documentation.

2.2 In connection with all transactions with Cater Allen Private Bank, the Financial Adviser hereby undertakes that:

2.2.1 evidence of identity of all clients introduced by the Financial Adviser shall be obtained and recorded (prior to the placing of Business with Cater Allen Private Bank) under procedures maintained by the Financial Adviser in accordance with the provisions of the UK Money Laundering Regulations, the Joint Money Laundering Steering Group Guidance Notes for the Financial Sector (and all Directives, Regulations, Rules and Guidance Notes issued in substitution thereof or in amendment or addition thereto) and any requirements of Cater Allen Private Bank from time to time notified to the Financial Adviser; and

2.2.2 the Financial Adviser shall identify third parties and shall without detracting from the obligations in 2.2.1 above, forward to Cater Allen Private Bank with the documents for the transaction such duly completed forms relating to the verification of third party identity as Cater Allen Private Bank may require from time to time. Cater Allen Private Bank shall not be liable for any errors or omissions of the Financial Adviser in the provision of this information

7a Terms and Conditions for Financial Advisers (cont.)

2.2.3 the Financial Adviser shall retain the above information and provide it to Cater Allen Private Bank if required

2.2.4 Cater Allen Private Bank shall not be liable for any errors or omissions of the Financial Adviser in the provision of the information specified in this paragraph.

3. Financial Advisers must at all times ensure that the information supplied to clients about Cater Allen Private Bank, the Plans, or other products and services we offer, is accurate. We are not obliged to check the accuracy of information supplied to clients by Financial Advisers and are not liable for any inaccuracies in such information. Financial Advisers referring business to us will indemnify us accordingly for any inaccurate information that they may provide to clients.

4. We will provide Financial Advisers with information on their clients' Plans, products, accounts or services provided their clients have signed one of our standard applications authorising us to do so and this authority remains in force.

5. We will not normally accept third party authorities for Financial Advisers to operate their clients' Plans, or any other products or services.

6. We reserve the right to set off any commission payable to Financial Adviser against any amounts payable to us by that Financial Adviser.

7. We reserve the right to terminate this relationship with immediate effect. Arrangements with Financial Advisers will automatically terminate in the event of Regulated Financial Advisers ceasing to be authorised pursuant to the Financial Services and Markets Act 2000, or by another regulatory body or the Financial Adviser's Bankruptcy or Insolvency. We may also terminate this relationship in the event of a sale or change of control of your business. You have an obligation to advise us if these circumstances occur.

8. Nothing in these Terms and Conditions should be construed as indicating or giving rise to an agency, joint venture or partnership between us and the Financial Adviser.

9. All advertising material from the Financial Adviser (except individual letters to clients) which refer to us or our products shall be sent to us in draft at least 14 days in advance for our prior written approval.

10. These Terms and Conditions are Governed by the Law of the Country in the UK (i.e. England and Wales, Scotland and Northern Ireland) where the Financial Adviser is registered.

11. Cater Allen Private Bank reserves the right to ask for additional client information, including identity evidence, where it deems necessary.

12. On all business introduced other than Structured Products the following additional conditions apply.

12.1 The rates of commission payable by us will be decided and advised from time to time. The rate of commission may be varied at our discretion subject to one month's written notice unless we are forced to reduce this notice period as a result of any change in the law, regulation or HM Revenue & Customs practice. If there is any change in the law or regulations that renders payment of commission unlawful then commission will cease to be payable immediately.

12.2 In the event that an introduced customer instructs us to transfer an account to another Intermediary, then your eligibility to receive commission relating to their Account will cease as at the transfer date.

7b Financial Adviser Mandate and Declaration

Financial Adviser to complete

I/We apply to Cater Allen Limited for approval to introduce Cater Allen Private Bank products. We agree to introduce clients in accordance with the above Terms and Conditions as amended from time to time.

Data Protection Statement

This statement relates to the information I/we have given in this application and any other information which I/we provide to you or which you hold on me / us as a business. The information will be used to assist you in providing the Plan, product, account or service to my/ our clients that I/we have introduced. The information will be retained after the relationship has terminated. I/We note that I/we have a right to access certain records that you hold about me/us and that a 'Data Protection Act' leaflet is available on request.

Signature

Full Name

Director/Partner

Date

D D M M Y Y Y Y

7c Financial Adviser Commission

Financial Adviser to complete

If you are not a member of a National IFA company or a Network, please provide below details of the bank account to which any applicable remuneration is to be paid.

Financial Adviser commission as detailed in the relevant Term Sheet will be paid at the start of the Plan. As a Financial Adviser you may be required to disclose to your clients commission payments you may receive from us, therefore unless you have legal advice to the contrary, you must do so. From time to time we may ask you to prove that you are complying with this requirement, to enable us to continue to pay commission to you. If less than the maximum Financial Adviser commission as detailed in the relevant Term Sheet is to be paid, the difference will be used to enhance the allocation of the deposit. If less commission is to paid to your firm, please indicate the % to be paid.

%

Details of where commission is to be paid

Name of bank

Address of bank

Postcode

Account name

Sort Code

Account No

8 Mandatory: Personal Details for all Settlors; Non Corporate Trustees; Beneficiaries (where named in the Deed) and Scheme Members (where applicable)

In order to ensure that the Bank's information is always up to date, and to comply with Anti Money Laundering Regulations, please complete the form below. In some circumstances the Bank may not be able to process this request without this information. If this application form does not provide you with enough space for everyone's Personal Details, please photocopy this section of the form and complete for each additional person, then attach all relevant pages to this application. **The information provided will be used in accordance with the Data Protection statement in Section 9.**

Details of First Person

Applicant to complete

Please tick all appropriate boxes

☐ Existing Cater Allen Customer ☐ New Customer

Existing Account No: ☐☐☐☐☐☐☐☐

☐ Non Corporate Trustee ☐ Settlor

☐ Beneficiary ☐ Scheme Member

Title Mr ☐ Mrs ☐ Ms ☐ Miss ☐ Other

Full forename(s)

Surname

Any other name you have been, or are, known by

Male ☐ Female ☐ Date of birth D D M M Y Y Y Y

Nationality

Second nationality (if you have dual nationality)

Permanent residential address

Postcode

How long have you lived at this address? ☐ Years ☐ Months

Previous address if less than three years at address shown above (if more than one address, please provide details of all other addresses on a separate sheet)

Postcode

How long did you live at this address? ☐ Years ☐ Months

Country of residence

☐ I confirm that I have enclosed proof of identity in accordance with the Customer Identification Requirements in Section 11b or

☐ I confirm a Customer Verification of Identity (CVIC) is being supplied.

Details of Second Person

Applicant to complete

Please tick all appropriate boxes

☐ Existing Cater Allen Customer ☐ New Customer

Existing Account No: ☐☐☐☐☐☐☐☐

☐ Non Corporate Trustee ☐ Settlor

☐ Beneficiary ☐ Scheme Member

Title Mr ☐ Mrs ☐ Ms ☐ Miss ☐ Other

Full forename(s)

Surname

Any other name you have been, or are, known by

Male ☐ Female ☐ Date of birth D D M M Y Y Y Y

Nationality

Second nationality (if you have dual nationality)

Permanent residential address

Postcode

How long have you lived at this address? ☐ Years ☐ Months

Previous address if less than three years at address shown above (if more than one address, please provide details of all other addresses on a separate sheet)

Postcode

How long did you live at this address? ☐ Years ☐ Months

Country of residence

☐ I confirm that I have enclosed proof of identity in accordance with the Customer Identification Requirements in Section 11b or

☐ I confirm a Customer Verification of Identity (CVIC) is being supplied.

8 Mandatory: Personal Details for all Settlors; Non Corporate Trustees; Beneficiaries and Scheme Members (where applicable) (cont.)

Details of Third Person

Applicant to complete

Please tick all appropriate boxes

☐ Existing Cater Allen Customer ☐ New Customer

Existing Account No: ☐☐☐☐☐☐☐☐

☐ Non Corporate Trustee ☐ Settlor

☐ Beneficiary ☐ Scheme Member

Title Mr ☐ Mrs ☐ Ms ☐ Miss ☐ Other

Full forename(s)

Surname

Any other name you have been, or are, known by

Male ☐ Female ☐ Date of birth D D M M Y Y Y Y

Nationality

Second nationality (if you have dual nationality)

Permanent residential address

Postcode

How long have you lived at this address? ☐ Years ☐ Months

Previous address if less than three years at address shown above (if more than one address, please provide details of all other addresses on a separate sheet)

Postcode

How long did you live at this address? ☐ Years ☐ Months

Country of residence

☐ I confirm that I have enclosed proof of identity in accordance with the Customer Identification Requirements in Section 11b or

☐ I confirm a Customer Verification of Identity (CVIC) is being supplied.

Details of Fourth Person

Applicant to complete

Please tick all appropriate boxes

☐ Existing Cater Allen Customer ☐ New Customer

Existing Account No: ☐☐☐☐☐☐☐☐

☐ Non Corporate Trustee ☐ Settlor

☐ Beneficiary ☐ Scheme Member

Title Mr ☐ Mrs ☐ Ms ☐ Miss ☐ Other

Full forename(s)

Surname

Any other name you have been, or are, known by

Male ☐ Female ☐ Date of birth D D M M Y Y Y Y

Nationality

Second nationality (if you have dual nationality)

Permanent residential address

Postcode

How long have you lived at this address? ☐ Years ☐ Months

Previous address if less than three years at address shown above (if more than one address, please provide details of all other addresses on a separate sheet)

Postcode

How long did you live at this address? ☐ Years ☐ Months

Country of residence

☐ I confirm that I have enclosed proof of identity in accordance with the Customer Identification Requirements in Section 11b or

☐ I confirm a Customer Verification of Identity (CVIC) is being supplied.

9 Data Protection

Applicant to read

Providing you with information

I confirm that I am entitled to disclose information about any parties named on the application form. If this application is made in joint names "I" in the statement below should be read as "we" where appropriate.

Using my personal information

Whether or not I become a customer, you may use all the information I and/or my Financial Adviser give to you Cater Allen Private Bank, or you hold on me, including transactional data, to provide and run the account or service I have applied for. This includes information about the conduct (including details of transactions) of any account or policy that I have with you, a group company or an associated company. You may also use my information to help you develop and improve your products and services. You will keep information about me after my account is closed.

Sharing my personal information

You may share my information for the purposes described in this statement with the group of companies to which you belong (the Santander group) and your associated companies, and with service providers or agents. These companies may be based in other countries. I understand that you will make sure that my information is only used in line with your instructions and your own strict policies on confidentiality. If you transfer my information to another country, you will also make sure that you give it the same levels of protection as needed under the UK Data Protection Act.

You may also give essential information about my Plan to my Financial Adviser and others if necessary to run my Plan and for regulatory purposes. If money is sent electronically (e.g. by CHAPS or telegraphic transfer) from my Plan I understand that personal information about me contained in the transaction may be provided to overseas authorities and the beneficiary bank, in order to comply with applicable legal obligations and prevent crime. I accept that you may be required to supply the beneficiary bank, with my full name, address and Plan number and that this information may reach the beneficiary intact.

My marketing preferences

You may invite me to take part in market research surveys.

If I don't want to be included in market research, I can tick this box: ☐

If I have been introduced to you via a Financial Adviser I understand that you will not use my information for marketing purposes (although I may still receive details of products and services from other Santander group companies if I have agreed with them to receive such information).

If I am a customer dealing directly with Cater Allen Private Bank you may identify and let me know by post, telephone or electronic media (including email and SMS) of products or services which you think may interest me. (If I am aged over 18, when deciding whether to provide me with details of a credit product you may search the files of credit reference agencies, who will not make a record of this search available to other lenders who search my file).

If I don't want information on other products and services I can tick the following boxes:
Please do not contact me:

by telephone ☐ **by electronic media** ☐ **by post** ☐

Unless I have said otherwise, by continuing with this application I agree to you contacting me using any of the methods shown above.

I understand that I may receive details of products and services from other Santander group companies, if I have agreed with them to receive such information.

Verifying my identity and fraud checks

Before you can open this Plan, in order to prevent or detect fraud you will check and share the information provided in this application or at any stage with fraud prevention agencies, and may make searches at credit reference agencies who will supply you with information, including information from the electoral register, for the purposes of verifying my identity. Scoring methods may be used to verify my identity. A record of this process will be kept that may be used to help other companies to verify my identity. If false or inaccurate information is provided and fraud identified details will be passed to fraud prevention agencies. Law enforcement agencies may access and use this information.

You and other organisations may search and use the records held by credit reference and fraud prevention agencies to prevent and investigate crime, fraud and money laundering and for example:

9 Data Protection (cont.)

Trustee to complete

- to check details on applications for credit and credit related or other facilities
- to verify my identity if I or my financial associate applies for other facilities
- to undertake statistical analysis and system testing
- to manage credit and credit related accounts or facilities
- to recover debt
- to check details on proposals and claims for all types of insurance
- to check details of job applicants and employees.

You may also search and use your internal records for these purposes.

You and other organisations may search and use from other countries the information recorded at fraud prevention agencies. I understand further information on the credit reference agencies and fraud prevention agencies you use is available by telephoning you on 0800 092 3300.

Access to my information

I understand I have the right to see certain records you hold about me if I pay a fee* and I can get an information sheet (Subject Access Info Sheet) explaining my rights by calling 0800 092 3300.
*Please see Banking Tariff for details.

10 Trustee Declaration

Trustee to complete

(i) I/We have read the Data Protection statement opposite, the Product Guide (including the Key Features and Terms and Conditions) and the relevant Term Sheet for this Plan. I/we agree to the Terms and Conditions for this Plan and accept the terms under which the deposits will be managed.

(ii) I/We declare that, where applicable:

- I am/We are 18 years of age or over.
- I am/We are resident and ordinarily resident in the United Kingdom for tax purposes.
- I/We will inform Cater Allen Limited if I/we cease to be so resident and ordinarily resident.
- I am/We are not, and am/are not acting on behalf of, a resident of the United States.

(iii) I/We declare that this application form has been completed to the best of my/our knowledge and belief; and I/we undertake to tell Cater Allen Limited in writing (at the address on the front page of the application form) of any changes in the information contained in this application.

(iv) I/We declare that all/any ☐* of the Trustees (if applicable) are authorised to give all types of instructions relating to the Plan.

(v) I/We declare that no advice was sought or given by Cater Allen in relation to the purchase of this investment.

* Delete as appropriate and enter number.

A Corporate Trustee submitting a list of their authorised signatories must do so together with specimen signatures, on its company letter headed notepaper. This needs to be accompanied by an Extract of the Board Minutes authorising those signatories to sign for and on behalf of the Corporate Trustee.

Full name of First Trustee / Authorised Signatory

Signature of First Trustee / Authorised Signatory

D D M M Y Y Y Y

Full name of Second Trustee / Authorised Signatory

Signature of Second Trustee / Authorised Signatory

D D M M Y Y Y Y

10 Trustees Declaration (cont.)

Trustee to complete

Full name of Third Trustee / Authorised Signatory

Signature of Third Trustee / Authorised Signatory

D D M M Y Y Y Y

Full name of Fourth Trustee / Authorised Signatory

Signature of Fourth Trustee / Authorised Signatory

D D M M Y Y Y Y

11a Additional Documentation Required

SIPP or Wrap SIPP providers application

If your application is through a SIPP or Wrap SIPP provider please complete Sections 1 – 9 and forward it to your SIPP trustee or Wrap manager who will complete Section 10 and forward the form to: TTS Team, Cater Allen Private Bank, 9 Nelson Street, Bradford BD1 5AN.

11b Customer Identification Requirements

For Verification of Trust Accounts, Financial Advisers who are FSA regulated may supply a Confirmation of Verification of Identity Certificate (CVIC) for the Trust provided that it is fully completed and is of sufficient quality.

If a Confirmation of Verification of Identity Certificate (CVIC) is not provided for the Trust, the following documentation is required for the verification of the Trust Account.

- A copy of the portion of the Trust Deed showing the name of the Trust and names and addresses of all Trustees, Settlors, Beneficiaries, and Scheme Members (if applicable).
- A copy of the Will or Agreement.
- A copy of a Death Certificate (if applicable).
- Any relevant Deed of Removal and/or Appointment.
- Copies of any Legal Documents varying the appointment of Trustees should be provided in addition to this application.

For Verification of Personal Details, Financial Advisers who are FSA Regulated may supply a Confirmation of Verification of Identity Certificate (CVIC) for each named person on the application form provided that it is fully completed and is of sufficient quality.

If a Confirmation of Verification of Identity Certificate (CVIC) is not provided, the following persons must provide to us proof of their identity as detailed below – All Beneficiaries and all Non Corporate Trustees; Settlors; Authorised Signatories.

One identification item from List 1 and a different identification item from List 2. Documents from the same source cannot be used twice. Black and white photocopies of the identification should be provided for each applicant. If this is not a certified copy by an appropriate person (e.g. a bank official, solicitor or lawyer, accountant, notary or similar, as a true copy of the original) we will be required to carry out additional identity checks. Please do not provide original documents due to the dangers of postal interception and fraud – this is for your own protection.

11b Customer Identification Requirements (cont.)

List 1
Identification Type

Current signed Passport
Current UK or EEA Photocard Driving Licence (including Provisional)
EEA or Swiss National Identity Card
Firearms Certificate or Shotgun Licence
Northern Ireland Voters Card

List 2
Identification Type

Current signed Passport
Current UK old style Driving Licence (not Provisional)
Current UK or EEA Photocard Driving Licence (including Provisional)
EEA or Swiss National Identity Card
Firearms Certificate or Shotgun Licence
Northern Ireland Voters Card
Notification of entitlement to state or local authority pension/ tax credit/grant*
HMRC Coding/Assessment/Statement /Tax Credit/Correspondence*
Bank Statement (not internet printed)**
Mortgage Statement from a recognised lender*
Credit Card Statement (not internet printed)***
Utility Bill or Statement (not mobile phone, satellite/cable TV or internet printed bills)***
Local Authority Council Tax Bill/Demand Letter*
Local Council Rent Card or Tenancy Agreement*
Correspondence from DWP confirming Benefits or Pension*

*Must be the most recently issued document and less than 12 months old.
**The bank statement must be the most recently issued and less than 3 months old. We are unable to accept a Cater Allen bank statement for identity purposes.

***Must be the most recently issued and less than 3 months old (except water bills – less than 12 months old).

Checklist	Investor to check	
Signed and completed application form	Yes ☐	No ☐
Signed cheque	Yes ☐	No ☐
Completed Confirmation of Verification of Identity Certificate (Corporate and Other Non Personal Entity) from an FSA Regulated Firm, or copies of two identification documents as per the 'Customer Identification Requirements' in Section 11b	Yes ☐	No ☐
Letter of instruction (for SIPP or Wrap SIPP applications)	Yes ☐	No ☐
For a Corporate Trustee, a list of authorised signatories supplied on letterhead paper and Extract of Board Minutes as detailed in Section 10.	Yes ☐	No ☐

Cater Allen Private Bank is able to provide literature in alternative formats. The formats available are: Large Print (as recommended by RNIB), Braille, Audio Tape and PC Disk. If you would like to register to receive correspondence in an alternative format please contact us on 0800 028 1200. For the hard of hearing and/or speech impaired please use the Typetalk service via 18001 0800 028 1200.

Cater Allen Private Bank is the name used for banking services provided by Cater Allen Limited. Registered Office: 2 Triton Square, Regent's Place, London, NW1 3AN. Registered in England number 383032. Authorised and regulated by the Financial Services Authority, except in respect of its consumer credit products for which Cater Allen Limited is licensed and regulated by the Office of Fair Trading. FSA registration number 178737. Cater Allen Limited is part of the Santander group. Cater Allen and the flame logo are registered trademarks. All deposits held with Cater Allen Private Bank are fully and unconditionally guaranteed by Santander UK plc. Calls may be recorded or monitored. www.caterallen.co.uk. Telephone 0800 028 1200.

Cater Allen
PRIVATE BANK

CONFIRMATION OF VERIFICATION OF IDENTITY (TRUST ENTITY)

Introduction by an FSA-Regulated Firm

IFA and applicant to complete

1 Details of Customer (see explanatory notes below)

Full name of customer

Type of entity (corporate, trust, etc.)

Location of business/trust (full operating address)

Postcode

Registered office in country of incorporation (if appropriate)

Postcode

Registered number (if appropriate)

Relevant company registry or regulated market listing authority (if appropriate)

Names and Dates of Birth of Settlor/Trustees/Beneficiaries

2 Confirmation

I/We confirm that

(a) the information in Section 1 above was obtained by me/us in relation to the customer;

(b) the evidence I/we have obtained to verify the identity of the customer (tick only one):

☐ Meets the guidance for standard evidence set out within the guidance for the UK Financial Sector issued by JMLSG; **or**

☐ Exceeds the standard evidence (written details of the further verification evidence taken are attached to this confirmation)

Signature

Name

Position

Date

D D M M Y Y Y Y

3 Details of Introducing Firm (or Sole Trader)

Full name of regulated firm (or sole trader)

FSA reference number

Explanatory Notes

1. "Relevant company registry" includes other registers, such as those maintained by charity commissions (or equivalent) or chambers of commerce.
2. This form cannot be used to verify the identity of any customer that falls into one of the following categories:
   - those who are exempt from verification as being an existing client of the introducing firm prior to the introduction of the requirement for such verification;
   - those whose identity has not been verified by virtue of the application of a permitted exemption under the Money Laundering Regulations; or
   - those whose identity has been verified using the source of funds as evidence.
3. This confirmation must carry an original signature, or electronic equivalent.

Cater Allen Private Bank is able to provide literature in alternative formats. The formats available are: Large Print (as recommended by RNIB), Braille, Audio Tape and PC Disk. If you would like to register to receive correspondence in an alternative format please contact us on 0800 028 1200. For the hard of hearing and/or speech impaired please use the Typetalk service via 18001 0800 028 1200.

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