

PERSONAL REPRESENTATIVES / EXECUTORS, ATTORNEYS AND RECEIVERS / DEPUTIES APPLICATION FORM AND MANDATE

For action by Professional Adviser only

Master Account number

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Account number allocated

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Please ensure you visit www.caterallen.co.uk to download the FSCS Information Sheet and Exclusions List before completing this application form.

You will be asked to acknowledge receipt of the Information Sheet in the Acceptance section of this application form.

Please complete this form in BLOCK CAPITALS and black ink and return it to: Cater Allen Private Bank, 9 Nelson Street, Bradford, BD1 5AN in the pre-paid envelope provided. If you need any help to complete this form please call us on 0800 092 3300.

1 Choose which Account(s)		Applicant(s) to complete		
Are you (please tick as appropriate – one box only):				
a Personal Representative / Executor <input type="checkbox"/>		an Attorney <input type="checkbox"/>		a Receiver / Deputy <input type="checkbox"/>
Please let us know the account(s) you would like to open, by ticking the relevant box. Tell us the amount you would like to deposit as an opening balance, and in which currency. Then decide whether you would like a chequebook, paying-in book and/or Visa Debit Card.				
		Chequebook	Postal deposit Paying-in Book	Visa Debit Card ²
Sterling Bank Account¹ (minimum £5,000)				
£ Sterling	<input type="text" value="£"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Investment Account¹ (minimum £5,000)				
£ Sterling	<input type="text" value="£"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sovereign 30 Account¹ (minimum £5,000)				
£ Sterling	<input type="text" value="£"/>	<input type="checkbox"/>		
Term Deposit³ (minimum £50,000)				
£ Sterling	<input type="text" value="£"/>			

(For notes, please refer to page 16).

2 Personal Details for all Personal Representatives / Executors, Attorneys and Receivers / Deputies, Beneficial Owners and Authorised Signatories

Applicant(s) to complete

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.

First applicant

If you are an existing Cater Allen Client, please provide your Cater Allen account number

Personal Representative	<input type="checkbox"/>	Executor	<input type="checkbox"/>
Attorney	<input type="checkbox"/>	Receiver / Deputy	<input type="checkbox"/>
Authorised Signatory	<input type="checkbox"/>	Beneficial Owner	<input type="checkbox"/>

Are you acting in a professional capacity, e.g. a Solicitor or Accountant?

Yes No

Mr Mrs Ms Miss

Other If 'Other' please state

Forename(s)

Middle name(s)

Surname

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

Nationality

Date of birth

Do you have dual nationality?
Yes No

If 'Yes' please specify which country

Current home address (permanent residential address). This is the address to where your Personal Access Code (PAC) and Internet Banking Password (IBP) will be posted. **C/O and PO Box addresses are not acceptable.**

 Postcode

Country of residence

How long have you been at your current home address?

Years Months

Telephone (day)

Telephone (eve)

Mobile

Email

Previous home address if less than three years at address shown within 'Current home address' field. (If more than one address in the last three years, please provide details of all other addresses on a separate sheet.)

 Postcode

How long did you live at this address?

Years Months

Country of birth

Country of Fiscal residence (i.e. the country in which you are currently resident and employed)

Do you make a tax contribution in any other country due to residence or citizenship?
Yes No

If yes, please specify the countries to which you make tax contributions and provide your corresponding TIN (Tax Identification Number)

Country

TIN

Country

TIN

Country

TIN

Internet Banking Access for Customer⁴

Please do not tick the following box if you already have Cater Allen Internet Banking Access.

I would like Internet Banking access (all accounts will appear within Internet Banking):

Second applicant

If you are an existing Cater Allen Client, please provide your Cater Allen account number

Personal Representative	<input type="checkbox"/>	Executor	<input type="checkbox"/>
Attorney	<input type="checkbox"/>	Receiver / Deputy	<input type="checkbox"/>
Authorised Signatory	<input type="checkbox"/>	Beneficial Owner	<input type="checkbox"/>

Are you acting in a professional capacity, e.g. a Solicitor or Accountant?

Yes No

Mr Mrs Ms Miss

Other If 'Other' please state

Forename(s)

Middle name(s)

Surname

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

Nationality

Date of birth

Do you have dual nationality?
Yes No

If 'Yes' please specify which country

Current home address (permanent residential address). This is the address to where your Personal Access Code (PAC) and Internet Banking Password (IBP) will be posted. **C/O and PO Box addresses are not acceptable.**

 Postcode

Country of residence

How long have you been at your current home address?

Years Months

Telephone (day)

Telephone (eve)

Mobile

Email

Previous home address if less than three years at address shown within 'Current home address' field. (If more than one address in the last three years, please provide details of all other addresses on a separate sheet.)

 Postcode

How long did you live at this address?

Years Months

Country of birth

Country of Fiscal residence (i.e. the country in which you are currently resident and employed)

Do you make a tax contribution in any other country due to residence or citizenship?

Yes No

If yes, please specify the countries to which you make tax contributions and provide your corresponding TIN (Tax Identification Number)

Country

TIN

Country

TIN

Country

TIN

Internet Banking Access for Customer⁴

Please do not tick the following box if you already have Cater Allen Internet Banking Access.

I would like Internet Banking access (all accounts will appear within Internet Banking):

Third applicant

If you are an existing Cater Allen Client, please provide your Cater Allen account number

Personal Representative	<input type="checkbox"/>	Executor	<input type="checkbox"/>
Attorney	<input type="checkbox"/>	Receiver / Deputy	<input type="checkbox"/>
Authorised Signatory	<input type="checkbox"/>	Beneficial Owner	<input type="checkbox"/>

Are you acting in a professional capacity, e.g. a Solicitor or Accountant?

Yes No

Mr Mrs Ms Miss

Other If 'Other' please state

Forename(s)

Middle name(s)

Surname

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

Nationality

Date of birth

Do you have dual nationality?
Yes No

If 'Yes' please specify which country

Current home address (permanent residential address). This is the address to where your Personal Access Code (PAC) and Internet Banking Password (IBP) will be posted. **C/O and PO Box addresses are not acceptable.**

 Postcode

Country of residence

How long have you been at your current home address?

Years Months

Telephone (day)

Telephone (eve)

Mobile

Email

Previous home address if less than three years at address shown within 'Current home address' field. (If more than one address in the last three years, please provide details of all other addresses on a separate sheet.)

 Postcode

How long did you live at this address?

Years Months

Country of birth

Country of Fiscal residence (i.e. the country in which you are currently resident and employed)

Do you make a tax contribution in any other country due to residence or citizenship?

Yes No

If yes, please specify the countries to which you make tax contributions and provide your corresponding TIN (Tax Identification Number)

Country

TIN

Country

TIN

Country

TIN

Internet Banking Access for Customer⁴

Please do not tick the following box if you already have Cater Allen Internet Banking Access.

I would like Internet Banking access (all accounts will appear within Internet Banking):

Fourth applicant

If you are an existing Cater Allen Client, please provide your Cater Allen account number

Personal Representative	<input type="checkbox"/>	Executor	<input type="checkbox"/>
Attorney	<input type="checkbox"/>	Receiver / Deputy	<input type="checkbox"/>
Authorised Signatory	<input type="checkbox"/>	Beneficial Owner	<input type="checkbox"/>

Are you acting in a professional capacity, e.g. a Solicitor or Accountant?

Yes No

Mr Mrs Ms Miss

Other If 'Other' please state

Forename(s)

Middle name(s)

Surname

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

Nationality

Date of birth

Do you have dual nationality?
Yes No

If 'Yes' please specify which country

Current home address (permanent residential address). This is the address to where your Personal Access Code (PAC) and Internet Banking Password (IBP) will be posted. **C/O and PO Box addresses are not acceptable.**

 Postcode

Country of residence

How long have you been at your current home address?

Years Months

Telephone (day)

Telephone (eve)

Mobile

Email

Previous home address if less than three years at address shown within 'Current home address' field. (If more than one address in the last three years, please provide details of all other addresses on a separate sheet.)

 Postcode

How long did you live at this address?

Years Months

Country of birth

Country of Fiscal residence (i.e. the country in which you are currently resident and employed)

Do you make a tax contribution in any other country due to residence or citizenship?

Yes No

If yes, please specify the countries to which you make tax contributions and provide your corresponding TIN (Tax Identification Number)

Country

TIN

Country

TIN

Country

TIN

Internet Banking Access for Customer⁴

Please do not tick the following box if you already have Cater Allen Internet Banking Access.

I would like Internet Banking access (all accounts will appear within Internet Banking):

3 Details about your Professional Adviser

Applicant(s) to complete

Have you been introduced by a Professional Adviser?

Yes No

If 'Yes', please complete the details below. If 'No', go to section 5.

Name of company

Address for correspondence

Postcode

Telephone

Contact name

Email

4 Confirmation of Verification of Identity (CVIC)

FCA authorised and regulated Financial Adviser to complete

For completion by Financial Conduct Authority (FCA) authorised and regulated Financial Advisers only

If you are a FCA authorised and regulated Financial Adviser who has fully verified the identities of your client(s) as listed in section 2 of this form, please read and confirm the following details by completing and signing this section.

If you do not have an FCA authorised and regulated Financial Adviser, please proceed to section 5.

Full name of introducing firm

Regulator reference number

First applicant

Full name (including any middle names)

Date of birth

Current home address

Postcode

Second applicant

Full name (including any middle names)

Date of birth

Current home address

Postcode

Third applicant

Full name (including any middle names)

Date of birth

Current home address

Postcode

Fourth applicant

Full name (including any middle names)

Date of birth

Current home address

Postcode

4 Confirmation of Verification of Identity (CVIC) (continued)

PRA/FCA regulated Financial Adviser to complete

Confirmation

I/We confirm that:

- (a) the information provided in this section was obtained by me/us in relation to the customer;
- (b) the evidence I/we have obtained to verify the identity of the customer(s) (tick only one):

Meets the standard evidence set out within the guidance for the UK Financial Sector issued by the Joint Money Laundering Steering Group ('JMLSG'); or

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

FCA authorised and regulated Financial Adviser's Signature

Name

Position

Date

D	D	M	M	Y	Y	Y	Y
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5 Important information – all Accounts

Applicant(s) to complete

We can only consider your application if all fields within this section are completed.

If you are an existing account holder, please tell us your account number with us.

Please write the name of your new Account below. The Name of your new Account must correspond with either the Grant of Probate or the Power of Attorney or the Court of Protection Order. There is room for a maximum of 22 characters per line.

Contact name

Address for correspondence*

Postcode

Telephone (day)

Mobile

Email

Fax

Name of Account must correspond with either the Grant of Probate or the Power of Attorney or the Court of Protection Order.

* For registered and correspondence addresses only UK and British Foreign Office Post Office (BFPO) addresses are acceptable. C/O and PO Box addresses are not acceptable.

Purpose of the account?

Management of funds / assets Other

Disbursement of funds / assets

If 'Other', please state

Power of Attorney & Receiver / Deputy Accounts

Expected source of deposit / payment

Please select from the list below the option which best describes the Beneficial Owner's source of wealth:

Income from employment Gift

Income from savings / investments Property sale

Lottery and other winnings Inheritance

Divorce settlement Other

If 'Other' please specify

Name of Beneficial Owner

Expected amount through the account each month

£ per month

Please note that the Beneficial Owner's personal details must be completed in section 6 of this Application Form.

Personal Representatives / Executors

Expected source of deposit / payment Estate

Personal Representative/Executor/Attorney/Receiver /Deputy

I/We, (the 'Account Holder') being a Personal Representative/Executor/Attorney/Receiver/Deputy hereby apply to open an Account ('the Account') with Cater Allen Private Bank ('the Bank') on the published Terms and Conditions thereof ('the Conditions'), which we acknowledge having received and to which we agree to be bound and any subsequent amendments which the Bank may inform us of from time to time, and in accordance with the Mandate below which shall remain in effect until a new Mandate is executed, and which we understand and accept and hereby request and authorise the Bank:

- (a) To honour and comply with all cheques drawn on our behalf and debit such cheques to the Account;
- (b) To honour and comply with all instructions for withdrawal from the Account;
- (c) To collect for credit to the Account, all instruments endorsed on behalf of the Account Holder as named above.

Provided that such cheques, instructions or endorsements are signed by our Authorised Signatories as detailed below (please complete and tick the appropriate boxes):

You can choose the number of signatories you wish to have on your account. Please tick only ONE of the boxes below.

Total number of Authorised Signatories to be held on this account:

(Please write only one number in this box)

Please note that if any Visa Debit Cards are issued on the Account, then the Account must be set up so that only ONE signature is required to authorise any transaction.

You can choose the number of signatories required to authorise any single transaction. Please tick any **one** of the boxes below.

- any one signature
- any two signatures
- more than two signatures, please specify how many

The instructions of the signatories appearing in section 10, when appearing in accordance with the current Mandate to operate the above account, will be honoured whether the Account is in credit or debit.

Provided further that the Bank be furnished with a list giving the full names and specimen signature and documentary proof of name and home address of each of the persons referred to in section 10, certified, where applicable, by the Chairperson and Secretary and that the Bank receives notice in writing of any change there may be or any further such list, in each case and the Bank may be assured that any Resolutions have not been amended or revoked until it receives notice in writing thereof.

I/We authorise the Bank to make enquiries and to take up references as it considers appropriate in connection with this application form and this authorisation is to remain effective until the Bank receives our written notification to the contrary.

I/We agree that any indebtedness or liability incurred to the Bank under this authority shall, in the absence of any express written agreement by the Bank to us, be due and payable on demand.

I/We shall, as and when necessary, supply to the Bank lists of current Designated Members and, if applicable, other officials authorised to sign, with specimen signatures in accordance with the current Mandate to operate the above Account.

I/We authorise the Bank to disclose details of that Account to our Professional Advisor, or their successors in title (unless advised to the contrary). I/We acknowledge that my Professional Advisor may receive commission in respect of the Account.

The Bank is hereby authorised to comply with all withdrawal instructions given by facsimile, providing that such instructions are signed in accordance with the current Mandate to operate the above Account. The Bank may act upon such instructions immediately and without further enquiry unless it has cause to be suspicious as to the nature and content of the request.

I/We understand that the Bank accepts no liability whatsoever in respect of any losses which may be suffered as a result of any fraud or negligent misuse of the banking services including telephone banking unless such loss occurs as a result of fraud or negligence on the part of the Bank or its employees or agents.

The above authority shall remain in force until the Bank receives written notice of its revocation, notwithstanding any change in our constitution (or name), and shall apply notwithstanding any change by death, bankruptcy, retirement or otherwise.

Changes to Signatories

The Bank will not accept changes in Authorised Signatories unless detailed on our appropriate Renewal Mandate form.

Closure of Account

The Bank will not accept notification of closure of this Account unless it is authorised by the correct signatories as detailed on the valid Mandate that is in existence at that point in time.

Introduction

My personal data is data which by itself or with other data available to you can be used to identify me. You are Cater Allen Private Bank, the data controller. This data protection statement sets out how you'll use my personal data. I can contact your Data Protection Officer (DPO) at 201 Grafton Gate East, Milton Keynes, MK9 1AN if I have any questions.

Where there are two or more people named on this form, this data protection statement applies to each person separately.

The types of personal data you collect and use

Whether or not I become a customer, you'll use my personal data for the reasons set out below and if I become a customer you'll use it to manage the account, policy or service I've applied for. You'll collect most of this **directly** during the application journey either from me or from my Financial Adviser if I have one. The sources of personal data collected **indirectly** are mentioned in this statement. The personal data you use about me as a personal or business customer (if I am one) may include:

- Full name and personal details including contact information (e.g. home and/or business address and address history, email address, home, business and mobile telephone numbers);
- Date of birth and/or age (e.g. to make sure that I'm eligible to apply);
- Financial details (e.g. salary and details of other income, and details of accounts held with other providers);
- Records of products and services I've obtained or applied for, how I use them and the relevant technology used to access or manage them (e.g. mobile phone location data, IP address, MAC address);
- Biometric data (e.g. fingerprints and voice recordings for TouchID and voice recognition);
- Information from credit reference or fraud prevention agencies, electoral roll, court records of debt judgements and bankruptcies and other publicly available sources as well as information on any financial associates I may have;
- Family, lifestyle or social circumstances if relevant to the product or service (e.g. the number of dependants I have);
- Education and employment details/employment status for credit and fraud prevention purposes; and
- Personal data about other named applicants. I must have their authority to provide their personal data to you and share this data protection statement with them beforehand together with details of what I've agreed on their behalf.

Providing my personal data

You'll tell me if providing some personal data is optional, including if you ask for my consent to process it. In all other cases I must provide my personal data so you can process my application (unless I'm a customer and you already hold my details).

Monitoring of communications

Subject to applicable laws, you'll monitor and record my calls, emails, text messages, social media messages and other communications in relation to my dealings with you. You'll do this for regulatory compliance, self-regulatory practices, crime prevention and detection, to protect the security of your communications systems and procedures, to check for obscene or profane content, for quality control and staff training, and when you need to see a record of what's been said. You may also monitor activities on my account where necessary for these reasons and this is justified by your legitimate interests or your legal obligations.

Using my personal data: the legal basis and purposes

You'll process my personal data:

1. As necessary **to perform your contract with me** for the relevant account, policy or service:
 - a) To take steps at my request prior to entering into it;
 - b) To decide whether to enter into it;
 - c) To manage and perform that contract;

- d) To update your records; and
 - e) To trace my whereabouts to contact me about my account and recovering debt.
2. As necessary **for your own legitimate interests** or those of other persons and organisations, e.g.:
 - a) For good governance, accounting, and managing and auditing your business operations;
 - b) To search at credit reference agencies at my home and/or business address (if I am a business customer) if I'm over 18 and apply for credit;
 - c) To monitor emails, calls, other communications, and activities on my account;
 - d) For market research, analysis and developing statistics; and
 - e) To send me marketing communications, including automated decision making relating to this.
 3. As necessary **to comply with a legal obligation**, e.g.:
 - a) When I exercise my rights under data protection law and make requests;
 - b) For compliance with legal and regulatory requirements and related disclosures;
 - c) For establishment and defence of legal rights;
 - d) For activities relating to the prevention, detection and investigation of crime;
 - e) To verify my identity, make credit, fraud prevention and anti-money laundering checks; and
 - f) To monitor emails, calls, other communications, and activities on my account.
 4. Based on **my consent**, e.g.:
 - a) When I request you to disclose my personal data to other people or organisations such as a company handling a claim on my behalf, or otherwise agree to disclosures;
 - b) When you process any special categories of personal data about me at my request (e.g. my racial or ethnic origin, political opinions, religious or philosophical beliefs, trade union membership, genetic data, biometric data, data concerning my health, sex life or sexual orientation); and
 - c) To send me marketing communications where you've asked for my consent to do so.

I'm free at any time to change my mind and withdraw my consent. The consequence might be that you can't do certain things for me.

Sharing of my personal data

Subject to applicable data protection law you may share my personal data with:

- The Santander group of companies* and associated companies in which you have shareholdings;
- Sub-contractors and other persons who help you provide your products and services;
- Companies and other persons providing services to you;
- Your legal and other professional advisors, including your auditors;
- Fraud prevention agencies, credit reference agencies, and debt collection agencies when you open my account and periodically during my account or service management;
- Other organisations who use shared databases for income verification and affordability checks and to manage/collect arrears;
- Government bodies and agencies in the UK and overseas (e.g. HMRC who may in turn share it with relevant overseas tax authorities and with regulators e.g. the Prudential Regulation Authority, the Financial Conduct Authority, the Information Commissioner's Office);

- Courts, to comply with legal requirements, and for the administration of justice;
- In an emergency or to otherwise protect my vital interests;
- To protect the security or integrity of your business operations;
- To other parties connected with my account e.g. guarantors and other people named on the application including joint account holders who will see my transactions;
- When you restructure or sell your business or its assets or have a merger or re-organisation;
- Market research organisations who help to improve your products or services;
- Payment systems (e.g. Visa or MasterCard), if you issue cards linked to my account, who may transfer my personal data to others as necessary to operate my account and for regulatory purposes, to process transactions, resolve disputes and for statistical purposes, including sending my personal data overseas; and
- Anyone else where you have my consent or as required by law.

International transfers

My personal data may be transferred outside the UK and the European Economic Area. While some countries have adequate protections for personal data under applicable laws, in other countries steps will be necessary to ensure appropriate safeguards apply to it. These include imposing contractual obligations of adequacy or requiring the recipient to subscribe or be certified with an 'international framework' of protection. Further details can be found in the 'Using My Personal Data' booklet.

Identity verification and fraud prevention checks

The personal data you've collected from me at application or at any stage will be shared with fraud prevention agencies who will use it to prevent fraud and money-laundering and to verify my identity. If fraud is detected, I could be refused certain services, finance or employment in future. You may also search and use your internal records for these purposes. Further details on how my personal data will be used by you and these fraud prevention agencies, and my data protection rights, can be found in the 'Using My Personal Data' booklet.

Credit reference checks (this doesn't apply the following accounts: Asset 30 Account, Sovereign 30 Account and Term Deposits)

If I've applied for a credit product then in order to process my application, you'll perform credit and identity checks on me and my Personal Representative/Executor at our home and business addresses with one or more credit reference agencies. To do this you'll supply my personal data to the credit reference agencies and they'll give you information about me. When you carry out a search at the credit reference agencies they'll place a footprint on my credit file. A credit search may either be: a) a quotation search where a soft footprint is left. This has no effect on my credit score, and lenders are unable to see this; or b) a hard footprint where I've agreed/requested Cater Allen to proceed with my application for credit. This footprint will be viewable by other lenders and may affect my ability to get credit elsewhere. You'll also continue to exchange information about me with credit reference agencies while I have a relationship with you. The credit reference agencies may in turn share my personal information with other organisations. The personal data shared with the credit reference agencies will relate to me and my business. Details about my application (whether or not it's successful) will be recorded and you'll give details of me, the business and my accounts and how I manage them to credit reference agencies. If I do not repay any debt in full or on time, they'll record the outstanding debt and supply this information to others performing similar checks, to trace my whereabouts and to recover debts that I owe. Records remain on file for 6 years after they are closed, whether settled by me or defaulted. A financial association link between joint applicants will be created at the credit reference agencies. This will link our financial records and be taken into account in all future applications by either or both of us until either of us apply for a notice of disassociation with the credit reference agencies.

The identities of the credit reference agencies, and the ways in which they use and share personal information is explained in more detail in the 'Using My Personal Data' booklet, or via the Credit Reference Agency Information Notice (CRAIN) document which can be accessed via any of the following links:

- experian.co.uk/crain
- equifax.co.uk/crain
- callcredit.co.uk/crain

My marketing preferences and related searches

You'll use my home address, phone numbers, and email address and social media (e.g. Facebook, Google and message facilities in other platforms) to contact me according to my preferences. I can change my preferences or unsubscribe at any time by contacting you. In the case of social media messages I can manage my social media preferences via that social media platform. If I'm over 18, you may search the files at credit reference agencies before sending marketing communications to me about credit. The credit reference agencies don't record this particular search or show it to other lenders and it won't affect my credit rating. You do this as part of your responsible lending obligations which is within your legitimate interests.

From time to time you'd like to contact me about products, services and offers that may interest me or to get my opinion on how you are doing. I understand you won't bombard me and I can choose to stop receiving information at any time by contacting you.

Applicant 1

I have ticked any box(es) I **WOULD NOT** like you to use:

- Email, text, social media and messaging services
- Phone
- Post
- Market research, including customer satisfaction surveys
- All of the 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.

Applicant 2

I have ticked any box(es) I **WOULD NOT** like you to use:

- Email, text, social media and messaging services
- Phone
- Post
- Market research, including customer satisfaction surveys
- All of the above**

Applicant 3

I have ticked any box(es) I **WOULD NOT** like you to use:

- Email, text, social media and messaging services
- Phone
- Post
- Market research, including customer satisfaction surveys
- All of the 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.

Applicant 4

I have ticked any box(es) I **WOULD NOT** like you to use:

- Email, text, social media and messaging services
- Phone
- Post
- Market research, including customer satisfaction surveys
- All of the 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.

Automated decision making and processing

Automated decision making involves processing my personal data without human intervention to evaluate my personal situation such as my economic position, personal preferences, interests or behaviour, for instance in relation to transactions on my accounts, my payments to other providers, and triggers and events such as account opening anniversaries and maturity dates. You may do this to decide what marketing communications are suitable for me, to analyse statistics and assess lending risks. All this activity is on the basis of your legitimate interests, to protect your business, and to develop and improve your products and services, except as follows; when you do automated decision making including profiling activity to assess lending and insurance risks, this will be performed on the basis of it being necessary to perform the contract with me or to take steps to enter into that contract. Further details can be found in the 'Using My Personal Data' booklet.

Other information about me as a business customer (if I am a business customer)

You may also hold all the information I give to you (i.e. name, address, date of birth, nationality) in order to undertake periodic due diligence checks which banks are required to undertake to comply with UK legislation.

Criteria used to determine retention periods (whether or not I become a customer)

The following criteria are used to determine data retention periods for my personal data:

- **Retention in case of queries.** You'll retain my personal data as long as necessary to deal with my queries (e.g. if my application is unsuccessful);
- **Retention in case of claims.** You'll retain my personal data for as long as I might legally bring claims against you; and
- **Retention in accordance with legal and regulatory requirements.** You'll retain my personal data after my account has been closed or has otherwise come to an end based on your legal and regulatory requirements.

My rights under applicable data protection law

My rights are as follows (noting that these rights don't apply in all circumstances and that data portability is only relevant from May 2018):

- The **right to be informed** about your processing of my personal data;
- The right to have my personal data **corrected if it's inaccurate** and to have **incomplete personal data completed**;
- The right **to object** to processing of my personal data;
- The right **to restrict processing** of my personal data;
- The right **to have my personal data erased** (the "right to be forgotten");
- The right to **request access** to my personal data and information about how you process it;
- The right to **move, copy or transfer my personal data** ('data portability'); and
- Rights in relation to **automated decision making** including profiling.

I have the right to complain to the Information Commissioner's Office. It has enforcement powers and can investigate compliance with data protection law: ico.org.uk.

For more details on all the above I can contact your DPO or request the 'Using My Personal Data' booklet by calling 0800 092 3330 or I can view it online at caterallen.co.uk.

Data anonymisation and aggregation

My personal data may be converted into statistical or aggregated data which can't be used to identify me, then used to produce statistical research and reports. This aggregated data may be shared and used in all the ways described above.

*Group companies

For more information on the Santander group companies, please see the 'Using My Personal Data' booklet.

10 Authorised Signatories

Applicant(s) to complete

Anyone who wishes to be able to transact on this account needs to be identified as an Authorised Signatory below. If you are not identified as an Authorised Signatory then we will not accept your signature as authorisation to carry out a transaction, e.g. on a letter, on a cheque, on a faxed request, etc.

The following Authorised Signatories wish to operate this account ("The Account") with Cater Allen Private Bank ("The Bank"). By signing this Application Form we agree that:

- We have read the Data Protection Statement, and agree that you can use our information as stated in the Statement.
- We have received and accept the Terms and Conditions of this account and agree to also be bound by any subsequent amendments advised to us by the Bank from time to time.
- Our personal information contained in section 6 of this Application is true and correct.

Full name

Position

Signature

Date

Full name

Position

Signature

Date

Full name

Position

Signature

Date

Full name

Position

Signature

Date

11 Authorisation

Applicant(s) to complete

On all types of Power of Attorney account we require this Authorisation to be signed by all Beneficial Owners of the Account who are mentally capable.

By signing this Application Form I/we agree that:

- I/We give my/our Authorisation for the 3rd Party as named on this application to open and operate an account with Cater Allen Private Bank on my/our behalf.
- I/We have read the Data Protection Statement, and agree that you can use my/our information as stated in the Statement.

Full name

Position

Signature

Date

Full name

Position

Signature

Date

Impersonation checks/non face-to-face verification – As a means of verifying identity, electronic checks are undertaken by the Bank on all applicants and related parties included within the Personal details section. Specific supporting documents are required for submitting in conjunction to these electronic checks.

Please read the following sections and complete the tick box if required:

Specific document requirements for verification of Personal Representative/Executor Accounts

Please supply one of the following items:

- a sealed original copy of the Grant of Probate or
- a copy of the Death Certificate and the Will or
- Letters of Administration

Specific document requirements and checklist for verification of Power of Attorney Accounts

- a copy of the Power of Attorney

Was this Power of Attorney established before 01/10/2007?

Yes No

Is the Beneficial Owner mentally incapacitated?

Yes No

If 'Yes' has the Attorney been registered with the Office of the Public Guardian?

Yes No

For personal clients introduced by an FCA authorised and regulated financial adviser

- My/our FCA authorised and regulated financial adviser has completed section 4 (Confirmation of Verification of Identity, 'CVIC') to verify all parties to the Account.

If a CVIC is not being provided

- I/We have completed the separate Customer Identification Requirements Sheet (available on www.caterallen.co.uk) and provided copies of the necessary ID documents which have been certified as 'a true copy of the original' by a 'professional' (Lawyer, Accountant or Notary) in the UK or an equivalent jurisdiction*. Certification of these documents (via a signature) must include the position and contact details of the certifier.

or, if the documents are not certified:

- I/We have completed the separate Customer Identification Requirements Sheet (available on www.caterallen.co.uk) and provided copies of the necessary ID documents. I/We have enclosed a personal cheque written from an account opened in my/our name with a bank in the UK or an equivalent jurisdiction for the total amount I/We wish to place on deposit and made payable to the name of the Account. Please note this cheque cannot be written from a Cater Allen account.

or

- I/We acknowledge that an impersonation check in the form of a letter will be sent to each applicants home address by Cater Allen Private Bank and that I/We will complete the relevant section of this letter and return to Cater Allen Private Bank in order that the verification process can be completed and your Account activated. Please note that if this option is taken, the Account will not be activated until the signed letter is received by Cater Allen.

Term Deposit applications

Term Deposit accounts can only be opened via the electronic transfer of funds.

Required documents

For personal clients introduced by an FCA authorised and regulated financial adviser

- Our FCA authorised and regulated financial adviser has completed section 4 (Confirmation of Verification of Identity Certificate 'CVIC') to verify all parties to the Account

For direct personal clients and introduced clients who are not providing a CVIC or Certified ID and only applying for a term deposit within this form

- I/We acknowledge that an impersonation check in the form of a letter will be sent to each applicants home address by Cater Allen Private Bank and that I/We will complete the relevant section of this letter and return to Cater Allen Private Bank in order that the verification process can be completed and your Account activated

* If these documents are not certified by a 'professional', then we will be required to carry out additional identity checks

Please note: Absence of any of the above required documents will result in delays to the opening of your account.

This acceptance must be signed by all applicants:

- Personal Representative/Executor – the Personal Representative or Executor is required to sign
- Attorney – the Attorney is required to sign
- Receiver/Deputy – the Receiver or Deputy is required to sign

By signing this Application Form we agree that:

- I/We have completed all relevant sections of this application form
- I/We have read the Declaration and Mandate and Data Protection Statement, and agree that you can use our information as stated in the statement.
- I/We have received and accept the Terms and Conditions of this account and agree to also be bound by any subsequent amendments advised to me/us by the bank from time to time.
- I/We hereby certify that the information provided in this application form is, to the best of my knowledge and belief, accurate and complete in all respects.
- I/We confirm the validity of the Authorised Signatories included in section 10.
- Cater Allen Private Bank is duly authorised to operate the Account(s).
- I undertake to advise Cater Allen Private Bank within 30 days of any change in circumstances which affects my tax residency status or causes the information contained herein to become incorrect
- I have received a copy of the FSCS Information Sheet and Exclusions List.

Signature of first person

Full name

Position

Signature

Date

Signature of second person

Full name

Position

Signature

Date

13 Additional information

Please use this space for any further information or requests pertaining to this application.

Notes**Applicant(s) to read**

- ¹ If you are opening a Reserve Account or Asset 30 Account and would like to make the initial deposit by cheque, it is required that the cheque is made payable to the name that you wish your new Account to be in. No cash, postal orders or third party cheques can be accepted.
- ² If you request a Debit Card, it will be sent to you when the opening funds are available on your account.
- ³ The option to open a Term Deposit is restricted to the electronic transfer of funds only.
- ⁴ Please note that only fully transactional sterling accounts, requiring a single signature to transact, have full Internet Banking functionality. All other accounts will have View Only access.

For CAPB completion only

Marketing Code

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Cater Allen Private Bank is able to provide literature in alternative formats. The formats available are: Large Print, Braille and Audio CD. If you would like to register to receive correspondence in an alternative format please contact us on 0800 092 3300. For the hard of hearing and/or speech impaired please use the Text Relay service. Further details can be found at <http://ngts.org.uk/>

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