

# PERSONAL ACCOUNT RENEWAL MANDATE FORM

Please ensure you visit [caterallen.co.uk](http://caterallen.co.uk) to download the FSCS Information Sheet and Exclusions List before completing this renewal mandate. You will be asked to acknowledge receipt of the Information Sheet and Exclusions List in the Acceptance section of this renewal mandate.

Please complete this form in BLOCK CAPITALS and black ink and send to: **Cater Allen Private Bank, 9 Nelson Street, Bradford BD1 5AN**. If you need any help completing this form, please call us on **0800 092 3300**.

## To be completed by Professional Adviser

Master Account number

Existing Account number

### Guidance notes Applicant(s) to read

**This Renewal Mandate will supersede any previous Mandates held in relation to this Account and will only come into force once we have confirmed to you that this Mandate has been accepted.**

**Please note: everyone who wishes to remain a party to this Account (e.g. Authorised Signatories) as well as all those who are new to the account will need to complete this form.**

### 1 Please tell us your account details Applicant(s) to complete

Name of existing account

Contact name

Changes to signatories on this account  
Name(s) to be: Added (+) or Removed (-)

End date of related party

End date of related party

End date of related party

End date of related party

End date of related party

Will any new signatories be:

Joint account signatory  Additional signatory

All those who wish to remain/become a party to the account must complete their personal details in section 3 of this Renewal Mandate.

Is the account to become a Sole Account:

Yes  No

We authorise this account to become a sole account in the name of

Signed

Date

Signed

Date

Changes to Visa Debit Card holders  
Do you wish to remove from this account any of the existing card holders?

Yes  No

If 'Yes', please detail their names here  
Name of first individual card holder

Name of second individual card holder

Please note that only 2 card holders are allowed on any one account.  
Do you wish to add any new card holders to this account?

Yes  No

If you have indicated 'Yes' then we will send you the Visa Debit Card Application Form for Existing Clients with Personal Accounts for you to complete and return to us.

## 2 Details about your Introducer

Applicant(s) to complete

When you opened this Account were you introduced by a Financial Adviser or Accountant?

Yes  No  If '**No**' move to section 3

If '**Yes**', are they still your Financial Adviser/Accountant?

Yes  No  If '**Yes**' move to section 3

If '**No**', do you have a new Financial Adviser/Accountant?

Yes  No  If '**No**' move to section 3

If '**Yes**', please complete the details below.

Name of Introducer

Address

  

Postcode  Country

Telephone

Contact name

Email



Second applicant

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

--	--	--	--	--	--	--	--

Mr  Mrs  Ms  Miss

Other  If 'Other' please state

Forename(s)

If you aren't able to complete your full name in the space provided please do this in the 'Additional Information' section.

Middle name(s)

Surname

If applicable, please provide your maiden name

Do you have any other names you are, or have been, formally known by? Please provide up to five.






Date of birth 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Male  Female

Nationality

Do you have dual nationality?

Yes  No

If 'Yes' please specify which countries



Current residential address.

**C/O and PO Box addresses are not acceptable.**




Postcode	Country
----------	---------

How long have you been at your current residential address?

Years  Months

Telephone

Mobile

Email

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




Postcode	Country
----------	---------

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)

Tax Identification Number for Country of Fiscal Residence (if not UK)

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) Please provide details for up to five additional countries, in the Additional Information section of this form

**Do you share a mailbox? (e.g. block of flats)**

Yes  No

If 'Yes' we will make special arrangements should you need to receive a chequebook, paying-in book, and other items which should be kept secure, such as identification codes.

Please select the option from the list below which accurately describes the source of your wealth. Please note that in some circumstances we may be required to revert to you for corroboration of this information.  
The section **MUST** be completed.

**First applicant**

**Ongoing Funds**

How much will you be depositing per month? £

**Where will these credits come from?**

Income from employment  £   
Country

Income from savings/employment  £   
Country

Retirement Income  £   
Country

Inheritance Related Income  £   
Country

Property Related Income  £   
Country

Income from legal settlement  £   
Country

Income from divestment/divestiture of assets  £   
Country

Income from ownership/sale of virtual currencies  £   
Country

Income from gifts (more than £10K)  £   
Country

Income received from another person/entity  £   
Country

Income from Stocks, Shares, Bonds, Debentures or Managed Investments  £   
Country   
 £   
Country

Income (other)    
£   
Country

What is the purpose of your Account?

Main bank account (e.g. primary account for salary and all household bills)

Secondary bank account (e.g. shared account, household bills, other general spending etc)

Savings

Investing for the purposes of Tier 1 UK VISA

Other

First applicant (continued)

What is your current employment status?

- Employed  Self-employed   
 Homemaker  Retired   
 Student  Unemployed

If you are employed, please tell us if you are:

- a) an Employee   
 b) a Business Owner   
 c) a Key Controller (someone who is able to influence the strategic direction of the business, e.g. appoint members of the board)

If you are a Key Controller, what industry do you work in?

If you are self-employed, what industry do you work in?

If employed or self-employed, please complete the following details:

Occupation

How long have you been in your current employment?

Years  Months

Name of employer or business

Address of employer or business

  


Postcode

Country

Your net monthly income

£

Approximate total monthly outgoings:

£

Approximately how many credit and debit transactions are expected on this account over the next 12 months?

Do you have any other income (e.g. benefits, pension)?

Yes  No

If yes, please specify

**Second applicant**

**Ongoing Funds**

How much will you be depositing per month?

Income from employment    
Country

Income from savings/employment    
Country

Retirement Income    
Country

Inheritance Related Income    
Country

Property Related Income    
Country

Income from legal settlement    
Country

Income from divestment/divestiture of assets    
Country

Income from ownership/sale of virtual currencies    
Country

Income from gifts (more than £10K)    
Country

Income received from another person/entity    
Country

Income from Stocks, Shares, Bonds, Debentures or Managed Investments    
Country

Country

Income (other)    
  
Country

What is the purpose of your Account?

Main bank account (e.g. primary account for salary and all household bills)

Secondary bank account (e.g. shared account, household bills, other general spending etc)

Savings

Investing for the purposes of Tier 1 UK VISA

Other

Second applicant (continued)

What is your current employment status?

- Employed  Self-employed   
 Homemaker  Retired   
 Student  Unemployed

If you are employed, please tell us if you are:

- a) an Employee   
 b) a Business Owner   
 c) a Key Controller (someone who is able to influence the strategic direction of the business, e.g. appoint members of the board)

If you are a Key Controller, what industry do you work in?

If you are self-employed, what industry do you work in?

If employed or self-employed, please complete the following details:

Occupation

How long have you been in your current employment?

Years  Months

Name of employer or business

Address of employer or business

  


Postcode  Country

Your net monthly income

£

Approximate total monthly outgoings

£

Approximately how many credit and debit transactions are expected on this account over the next 12 months?

Do you have any other income (e.g. benefits, pension)?

Yes  No

If yes, please specify



## 5 Confirmation of Verification of Identity (CVIC)

FCA AUTHORISED AND REGULATED FINANCIAL ADVISER TO COMPLETE

This section should only be completed by FCA authorised and regulated Financial Advisers – if you do not have an FCA authorised and regulated Financial Adviser, please proceed to section 6.

If you are a FCA authorised and regulated Financial Adviser who has fully verified the identities of your client(s) as listed in section 3 of this form, please read and confirm the following details by completing and signing this section.

Full name of introducing firm

Regulator reference number

### First applicant

Full name (including any middle names)

Current residential address

Date of birth

Postcode

Country

### Second applicant

Full name (including any middle names)

Current residential address

Date of birth

Postcode

Country

### Confirmation

I/We confirm that:

- (a) the information provided in this section was obtained by me/us in relation to the customer; and  
(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)

- (c) where identity has been verified by an electronic identification service, we have met the client face to face.

FCA Authorised and Regulated Financial Adviser's Signature

Name

Position

Date

## 6 Declaration and Mandate

Applicant(s) to read

I/We wish to amend and renew the Mandate to operate my/our Account ("the Account") with Cater Allen Private Bank ("The Bank") in accordance with the applicable published Terms and Conditions thereof ("the Conditions"), which I/we acknowledge having received and to which I/we agree to be bound and in accordance with the Account Mandate below.

I/We authorise the Bank to make enquiries and take up references as necessary in connection with this application and to make use of Credit Reference Agencies to conduct searches and to keep a copy of the record. I/We agree to permit the Bank to use any personal information set out in this application form and obtained from the operation of my/our Account(s) for all purposes ancillary to the operation of my/our Account(s). I/We understand that, if this is a Joint Account(s), we are jointly and severally liable for any indebtedness and you may accept the signature of either Account Holder(s) as authority for withdrawals and other transactions. I/We confirm that the details set out above are complete and accurate.

Where I/we are not First Named Account Holder, I/we authorise the Bank to send statements of the Account(s) to the First Named Account Holder and confirm that I/we do not require the Bank to send such statements to me/us. This instruction supersedes any prior instruction given by me/us.

I/We authorise the Bank to disclose details of my/our Account and my/our transaction to my/our Financial Adviser as named on this application, or their successors in title, even where they have not been designated as an Authorised Signatory on the Account. I acknowledge that my/our Financial Adviser may receive commission from the Bank in respect of my/our Account.

I/We are aware where a joint account is converted into a sole account, information about the account and historical transactions will be available to all current account holders and any future account holders added to the account.

Where full transactional access to an Account has been granted to an Authorised Signatory under the Account Mandate, I/We continue to authorise the Bank to act on any instructions given by an Authorised Signatory in relation to an Account and treat these instructions as though received from the Account Holder. I/We acknowledge that the Bank has no contractual relationship with an Authorised Signatory and I/We will be solely liable for the actions or transactions made by an Authorised Signatory on an Account.

### 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

Personal data is data which by itself or with other data available to you can be used to identify me or a named applicant. You are Cater Allen Private Bank, the data controller. This data protection statement sets out how you'll use 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 or this form is being submitted on behalf of a person by a Financial Adviser, 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 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 to 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.

## 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 isn't relevant if you're applying for a savings account)

If I've applied for a credit product then in order to process my application, you'll perform credit and identity checks on me at my home and/or business address (if I am a business customer) 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. If I am a business customer, 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 (where applicable) 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](https://experian.co.uk/crain)
- [equifax.co.uk/crain](https://equifax.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 can choose to stop receiving information at any time by contacting you.

### Applicant 1

The boxes I have ticked below indicate the channels I **WOULD NOT** like you to use to contact me, as explained in the Data Protection Statement in section 2 of this form:

- Email
- SMS
- 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

The boxes I have ticked below indicate the channels I **WOULD NOT** like you to use to contact me, as explained in the Data Protection Statement in section 2 of this form:

- Email
- SMS
- 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.

### Using automated decision making to make decisions about me

You may automatically process my personal information, without human intervention, to evaluate certain personal aspects about me (known as profiling). In particular, you may analyse or predict (among other things) my economic situation, personal preferences, interests or behaviour. This could mean that automated decisions are made about me using my personal information. For example, you might analyse certain customer demographics, account holdings and account behaviours (such as Direct Debits I have set up on my accounts including those which identify accounts and products such as credit cards and store cards which I hold with other providers/elsewhere) and look at details of transactions relevant to my accounts. You may also analyse events such as the maturity dates of my accounts and opening anniversaries.

In some instances you'll use automated processing and decision making, where relevant, to decide which of your other products or services might be suitable for me, as well as to produce a personalised price for insurance products, to provide an indication of the price prior to an application being made (I note, publicly available information about me and information about me from third party data sources such as credit reference agencies, will also be used to provide me with an indication of the price). The personalised price would be presented to me in marketing communications and during contacts with Santander that might be suitable. You'll look at the types of accounts that I already have with you, as well as my age, where this is relevant to the product you think I might be interested in. You'll also conduct behavioural scoring, including by looking at the accounts and products I already have with you and how they are being used, such as account turnover, arrears and other indications of financial difficulties. Where searches are carried out against publicly available data sources and credit reference agencies, these searches may appear on my credit report, but they will not affect my ability to get credit.

I may have a right to certain information about how you make these decisions. I may also have a right to request human intervention and to challenge the decision.

For some insurance products you may use automated decision making to assist the insurer in determining my final insurance premium. The insurer will use an automated underwriting engine to process my personal information and to better assess insurance risk which will generally provide a more accurate price that is relevant to my individual circumstances and needs. The automated underwriting engine will use information including personal information that I provide as well as other information about me held by you, the insurer and other parties. Where the insurer is carrying out any automated decision making it will do so on the basis that is necessary in order for the insurer to enter into the insurance contract with me. I have the right to contest that decision, express my point of view and ask for a human review. Where you carry out any automated decision making for my insurance product, you will ask for my consent during the application process to allow you to do so. I may withdraw my consent at any time. Further details can be found in the 'Using My Personal Data' booklet.

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

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:

- o **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);
- o **Retention in case of claims.** You'll retain my personal data for as long as I might legally bring claims against you; and
- o **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):

- o The **right to be informed** about your processing of my personal data;
- o The right to have my personal data **corrected if it's inaccurate** and to have **incomplete personal data completed**;
- o The right **to object** to processing of my personal data;
- o The right **to restrict processing** of my personal data;
- o The right **to have my personal data erased** (the "right to be forgotten");
- o The right **to request access** to my personal data and information about how you process it;
- o The right **to move, copy or transfer my personal data** ("data portability"); and
- o 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](http://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 3300** or I can view it online at [caterallen.co.uk](http://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. You may share and sell such anonymised data including in an aggregated format, within and outside of the Santander group of companies, for statistical analysis, research and other business purposes. For example, sharing information about general spending trends in the UK to assist in research. The law says this is not considered to be personal information after it has been anonymised and/or aggregated.

#### \*Group companies

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

## 8 Authorised Signatories on this Account

Applicant(s) to complete

Please only complete this section if you are applying for the Cash Hub Account within this form.

Any individual who wishes to be able to view and/or transact on this account must be identified as an Authorised Signatory. This can include your appointed Financial Adviser and employees of your Financial Adviser's company. If your Financial Adviser and/or employees of your Financial Adviser's company are not identified as Authorised Signatories, then we will not accept their signature as authorisation to carry out a transaction, e.g. on a letter, on a cheque, etc.

A separate 'Authorised Signatories' template is available for this purpose and can be downloaded from [caterallen.co.uk/hub-account](http://caterallen.co.uk/hub-account). Please ensure that all signatories are captured within this form and the document returned to: **Cater Allen Private Bank, Cash Hub Account Additional Signatories, 9 Nelson Street, Bradford BD1 5AN.**

**Please read the following important information carefully and select from the following options before moving onto the next section:**

#### Financial Adviser 'view only' access to all accounts applied for within this form

- I/We hereby confirm authorisation for my/our Financial Adviser and any authorised employees of my Financial Adviser's company, as stipulated within the separate Supplementary Authorised Signatories form supplied with this application, to be included as additional signatories to have view only access to this/these Account(s) applied for within this form.

#### Financial Adviser full transactional access to the Cash Hub only (with 'view only' access to all other accounts applied for within this form)

- I/We hereby confirm authorisation for my/our Financial Adviser and any authorised employees of my Financial Adviser's company, as stipulated within the separate Supplementary Authorised Signatories form supplied with this application, to be included as additional Signatories to operate and view the Cash Hub Account, and have 'view only' access to all other Account(s) applied for within this form.

#### Authorised Signatories opt-out

- I/We will not be providing a separate Supplementary Authorised Signatories form and hereby confirm **that I/we will not be granting authorisation for my/our Financial Adviser and any authorised employees of my Financial Adviser's company to operate the Cash Hub.** Please note, even in these circumstance, as stated within the Account Declaration and Mandate section of this application form, the Bank is still authorised to disclose details of your Account and your transactions to your Financial Adviser, or their successors in title.

Account to your Financial Adviser, or their successors in title.

**It is important to note that Authorised Signatories will be provided with transactional access to the Cash Hub Account only. All other accounts will be accessible with 'view only' access via Internet Banking. Only one supplementary Authorised Signatory form per company is required. In the event of any amendment(s) (inclusive of signatory removals or additions), please ensure that an updated form and covering letter is supplied to the above address for processing.**

## 9 Important checklist

Applicant(s) to complete

Please tick the boxes below to confirm that you have carried out all the appropriate stages of the application process:

I/We have completed all relevant sections of this application form.

**If completed by a parent / custodian / guardian / PoA:**

I/We enclose proof and evidence of the nature of legal authority over the principal account holder.

**Impersonation checks/non face-to-face verification** – from the 'Required documents' information provided below, please read the section which is relevant to you and once you are happy that the correct information has been supplied, tick the box provided.

### Required documents

**For personal clients introduced by a Financial Conduct Authority (FCA) authorised and regulated Financial Adviser**

My/Our FCA authorised and regulated Financial Adviser has completed section 5 (Confirmation of Verification of Identity, 'CVIC') to verify all parties to the Account.

**For direct personal clients and/or introduced clients who are not providing a CVIC**

I/We have completed the separate Customer Identification Requirements Sheet (available to download on [caterallen.co.uk](https://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. If these documents are not certified by a "professional", then we will be required to carry out additional identity checks. 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 to download on [caterallen.co.uk](https://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.)

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

## 10 Acceptance

Applicant(s) to complete

By signing this Application Form I/we agree that:

- I/We have read the Declaration and Mandate and Data Protection Statement and understand that my/our personal information will be processed in accordance with the Data Protection Statement
- I/We have received and accept the Terms and Conditions of this Account (or those Accounts applied for)
- 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
- Cater Allen Private Bank is duly authorised to operate the Account(s)
- I/We 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/We have downloaded a copy of the FSCS Information Sheet and Exclusions List.

If this is a joint application, all must sign.

### First applicant

Full name

Signature

Date

### Second applicant

Full name

Signature

Date

Please use this section to provide your full name or any other additional information relevant to your application.

Additional TIN and Country answers for Applicant One

Country

TIN

Country

TIN

Country

TIN

Country

TIN

Country

TIN

Additional TIN and Country answers for Applicant Two

Country

TIN

Country

TIN

Country

TIN

Country

TIN

Country

TIN

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 [ngts.org.uk](http://ngts.org.uk)

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 and Wales number 383032. Authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and Prudential Regulation Authority. Our Financial Services Register number is 178737. You can check this on the Financial Services Register by visiting the FCA's website [www.fca.org.uk/register](http://www.fca.org.uk/register). Cater Allen Limited is part of the Santander group. Cater Allen and the flame logo are registered trademarks. Calls may be recorded or monitored. Telephone 0800 0923300. [www.caterallen.co.uk](http://www.caterallen.co.uk)