

BUSINESS ACCOUNT APPLICATION FORM AND MANDATE



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 in the pre-paid envelope provided to: **Cater Allen Private Bank, 9 Nelson Street, Bradford, BD1 5AN**. If you need any help completing this form, or if you or your accountant are new to Cater Allen please contact us on **0800 092 3300** prior to submitting this form.

For action by Financial Adviser/Accountant only

£ sterling Master Account number	<input type="text"/>
£ sterling Account number allocated	<input type="text"/>
€ Euro Master Account number	<input type="text"/>
€ Euro Account number allocated	<input type="text"/>
\$ US Dollar Master Account number	<input type="text"/>
\$ US Dollar Account number allocated	<input type="text"/>

If you already hold a Business Account with us, that was opened in the last 12 months, you don't need to send us ID again, therefore please don't complete section 7 (Confirmation of Verification of Identity (CVIC)) and section 11 (Required Documents). This is provided the organisation details and all applicants for the new account are the same as on your existing account. If any of the details requested in sections 3 and 4 differ to those on your existing account, please provide full ID as requested.

1 Which account(s) are you applying for?				Applicant(s) to complete													
Are you (please tick as appropriate):																	
Partnership <input type="checkbox"/> Limited Liability Partnership <input type="checkbox"/> Public Limited Company <input type="checkbox"/> (not including listed PLCs) Private Limited Company <input type="checkbox"/> Sole Trader <input type="checkbox"/>																	
Please note that we do not accept applications from Credit Unions.																	
Hereafter known as the 'organisation'.																	
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(s) and/or Visa Debit Card.																	
Reserve Account ¹		Chequebook	Over the counter Paying-in Book	Postal deposit Paying-in Book	Visa Debit Card ³												
<input type="checkbox"/> Deposit	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>												
<input type="checkbox"/> Deposit	<input type="text"/>				<input type="checkbox"/>												
<input type="checkbox"/> Deposit	<input type="text"/>				<input type="checkbox"/>												
Asset 30 Account ¹ (minimum £5,000)																	
<input type="checkbox"/> Deposit	<input type="text"/>		<input type="checkbox"/>	<input type="checkbox"/>													
Term Deposit ² (minimum £50,000)		Please confirm the length of Term Deposit that you would like to open:															
<input type="checkbox"/> Deposit	<input type="text"/>	<table><tr><td>3 months</td><td><input type="checkbox"/></td><td>6 months</td><td><input type="checkbox"/></td><td>9 months</td><td><input type="checkbox"/></td></tr><tr><td>12 months</td><td><input type="checkbox"/></td><td>24 months</td><td><input type="checkbox"/></td><td>36 months</td><td><input type="checkbox"/></td></tr></table>				3 months	<input type="checkbox"/>	6 months	<input type="checkbox"/>	9 months	<input type="checkbox"/>	12 months	<input type="checkbox"/>	24 months	<input type="checkbox"/>	36 months	<input type="checkbox"/>
3 months	<input type="checkbox"/>	6 months	<input type="checkbox"/>	9 months	<input type="checkbox"/>												
12 months	<input type="checkbox"/>	24 months	<input type="checkbox"/>	36 months	<input type="checkbox"/>												

(For notes, please refer to page 13).

2 Visa Debit Card

Applicant(s) to complete

As Visa Cards operate on a single signature, they are only available where the Account Mandate (section 8) allows for all transactions to be signed by any one of the Authorised Signatories. Please note: maximum of two cardholders allowed per account, and both must be a signatory on the Account (please see section 10 – Authorised Signatories). Please complete the section below.

Please note that a Visa Debit Card is only available on the Reserve Account in sterling, euro or US dollar.

First cardholder

Name of individual cardholder

[illegible]

Second cardholder

Name of individual cardholder

[illegible]

Organisation

Name of Company (26 characters maximum, including spaces)

[illegible]

3 Please tell us your organisation's details

Applicant(s) to complete

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

If your organisation is an existing account holder, please tell us your account number with us.

Name to be shown on new account

This name must reflect or include the organisation name or trading name.

This is the name that will appear on chequebooks and paying-in books where applicable. There is room for a maximum of 22 characters per line

Contact name

Position in organisation

Name of organisation, as well as trading name and/or registered corporate name if these are different

Nature/Purpose of the organisation (please provide a detailed description of the main activities the organisation is involved in; additional space is provided at the end of this form)

Who do you provide services to, or do business with? (Please include the name of the end client, business sector(s) and location of clients e.g. UK companies, overseas companies)

In which country(ies) are your customers or the companies/individuals you undertake business with based?

In which country is your organisation established/registered (if not the UK)?

From which country(ies) are payments expected to be made and received

Date of incorporation

Principal trading address

If your Registered office address or Address for correspondence differs to that of your Principal trading address, please complete the following address sections.

Registered office address (this information must match Companies House records)

Address for correspondence

Business TIN (where organisation is registered outside the UK)

Registered number

Business telephone number

Mobile

Email

Where do you expect deposits/payments to come from (please tick all that apply):

Trading ☐ Salary generated from business ☐
Transfer from other accounts in your name ☐ Other ☐

If 'Other', please state

Please confirm the source of wealth. Please note that in some circumstances we may be required to revert to you for corroboration of this information

What will this account be used for?

Savings ☐ Current/Trading ☐ Other ☐

If 'Other', please state

How many employees does the business have?

What is the value your annual balance sheet?

Anticipated overall business turnover

Anticipated activity through this account

4 Your personal details

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, we are required to identify and verify all applicants for accounts, as well as certain other parties to the relationship. In some circumstances we may not be able to process this request without this information.

If this application form does not provide you with enough space for the personal details of all required parties, please print this section of the form and complete for each additional person, attaching all relevant pages to this application.

Required Parties: Directors, Company Secretaries, Authorised Signatories, Major Shareholders/Partner (25%+), Partner, Limited Liability Partner, Sole Traders.

Please note: 25%+ Shareholders who are not Authorised Signatories on this Account must also sign the acceptance section at the end of this application form.

First applicant

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

Which of the following are you? Please tick the appropriate box(es).

Director ☐ Company Secretary ☐
Authorised Signatory ☐ 25%+ Shareholder ☐
Partner ☐ Limited Liability Partner ☐
Sole Trader ☐

If you are a 25%+ Shareholder then please tell us what % you hold:

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

Date of birth

Male ☐ Female ☐

Nationality

Do you have dual nationality?

Yes ☐ No ☐

If 'Yes' please specify which country

Current home address (permanent residential address)*

Postcode

Country of residence

How long have you been at your current home address?

Years Months

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

Telephone

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

Mandatory section for completion by key account parties

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

Mandatory section for completion by Financial Institutions (FI) only

If you have registered as an FI or as a Sponsored Entity please provide your Global Intermediary Identification Number (GIIN)

 – – –

If you are a Sponsored closely held Investment Vehicle please provide the GIIN of the sponsoring entity

 – – –

Name of sponsor

If unable to provide a GIIN, please tick the reason why your organisation does not have a GIIN;

☐ The Entity has applied, or is going to apply, for a GIIN (but has not yet received it)

☐ The Entity is an 'Exempt Beneficial Owner' (e.g. certain International Organisations)

☐ The Entity is or intends to be an "Owner-documented FI" with Cater Allen Private Bank

☐ The Entity is a 'Certified or otherwise Deemed Compliant FI' (e.g. UK registered charity)

☐ Other reason (Please specify)

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.

Second applicant

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

Which of the following are you? Please tick the appropriate box(es).

Director ☐ Company Secretary ☐

Authorised Signatory ☐ 25%+ Shareholder ☐

Partner ☐ Limited Liability Partner ☐

Sole Trader ☐

If you are a 25%+ Shareholder then please tell us what % you hold: %

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

Date of birth

Male ☐ Female ☐

Nationality

Do you have dual nationality?

Yes ☐ No ☐

If 'Yes' please specify which country

Current home address (permanent residential address)*

Country of residence

How long have you been at your current home address?

Years Months

Telephone

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

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

4 Your personal details (continued)

Applicant(s) to complete

Second applicant (continued)

Mandatory section for completion by sole traders and 25%+ Shareholders only

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

Mandatory section for completion by Financial Institutions (FI) only

If you have registered as an FI or as a Sponsored Entity please provide your Global Intermediary Identification Number (GIIN)

If you are a Sponsored closely held Investment Vehicle please provide the GIIN of the sponsoring entity

Name of sponsor

If unable to provide a GIIN, please tick the reason why your organisation does not have a GIIN;

☐ The Entity has applied, or is going to apply, for a GIIN (but has not yet received it)

☐ The Entity is an 'Exempt Beneficial Owner' (e.g. certain International Organisations)

☐ The Entity is or intends to be an "Owner-documented FI" with Cater Allen Private Bank

☐ The Entity is a 'Certified or otherwise Deemed Compliant FI' (e.g. UK registered charity)

☐ Other reason (Please specify)

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.

5 Internet Banking access⁴

Applicant(s) to complete

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

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

First applicant ☐ Second applicant ☐

6 Details about your Introducer

Applicant(s) to complete

Were you introduced to Cater Allen by a Financial Adviser or Accountant?

Yes ☐ No ☐

If 'Yes', please complete the details below. If 'No', go to section 7.

Name of Introducer

Address

Postcode

Contact name

Telephone

Email

7 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 8.

If you are a FCA authorised and regulated Financial Adviser who has fully verified the identities of your client(s) as listed in section 4 of this form, please read and confirm the following details by completing and signing this section.

Full name of introducing firm

[illegible]

Regulator reference number

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First applicant

Full name (including any middle names)

[illegible]

Current home address

[illegible]

Date of birth

D	D	M	M	Y	Y	Y	Y
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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

7

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

7

Second applicant

Full name (including any middle names)

Current home address

[illegible]

Date of birth

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

FCA authorised and regulated Financial Adviser's Signature

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Name

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Position

Date

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

Partnership/Limited Liability Partnership/Public Limited Company/Private Limited Company/Sole Trader

I/We confirm that a meeting has taken place and the Board of Directors/Major Shareholders/Partners/Limited Liability Partners/Designated Members passed a Resolution to open an Account with Cater Allen Private Bank and that Resolution has been duly recorded in the minute book.

I/We,

(the 'Account Holder') being a Partnership/Limited Liability Partnership/Public Limited Company/Private Limited Company/Sole Trader 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 Company 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 Directors/Partners/Designated Members and, if applicable, other officials authorised to sign, with specimen signatures in accordance with the current Mandate to operate the above Account.

Upon any Partners/Designated Members/Directors ceasing to be a member of the Company by death or otherwise, the Bank may, in the absence of written notice to the contrary from us treat the surviving continuing Partners/Designated Members/Directors for the time being as having full power to carry on the business of the Company and to deal with its assets as freely as if there had been no change in the Company.

I/We authorise the Bank to disclose details of my/our Account to my/our Financial Adviser/Accountant as named in this application form, or their successors in title (unless advised to the contrary). I/We acknowledge that my Financial Adviser 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.

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 ready as "we" where appropriate.

Using my personal information

Whether or not I become a customer, you may use all the information I 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 account and cards (if any) to others if needed to run my account and for regulatory purposes.

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 post ☐

by email ☐

by SMS ☐

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

Credit reference agencies – Reserve Account applications

I understand that when you assess this application, and any future increase in my credit or overdraft limit (this does not apply to those under 18), you will use the information for credit assessment, which may include credit scoring. You may make any enquiries relating to me and my business that you consider necessary (for example, from another financial institution) and search the files of credit reference agencies at my business and home address, which will keep a record of each search. This could affect my ability to get credit elsewhere within a short period of time. Details about this application (whether or not it goes ahead) will be recorded at the credit reference agency. A financial link between joint applicants or between myself and any other person will be created at the credit reference agency. This will link our financial records, where each will be taken into account in all future applications by either or both of us. If I already have a financial association you will assess my application on this

basis. This situation will continue until one of us successfully files for a 'disassociation' at the credit reference agency. You will also pass details about me, my business and how I run my account (if my application is successful) to credit reference agencies. When appropriate the credit reference agencies and/or fraud prevention agencies will also record details of my agreement with you, the payments I make under it and any default or failure to keep to its terms and any deliberate non-payment following a change of address without notice.

Verifying my identity and fraud checks

Before you can open this Account or set up my policy, 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:

- 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 and trace my whereabouts
- 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 your Agents on 0800 092 3300.

Cards on my account

If I have cards on this account, I understand that you may give information on transactions I have made using my cards on my account to any payment system under which you issue my cards (for example Visa or MasterCard), who may transfer the information overseas to deal with transactions, to resolve disputes and for statistical purposes.

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.

Any individual who wishes to be able to view and/or transact on this account must be identified as an Authorised Signatory. If an individual is not identified as an Authorised Signatory then we will not accept their signature as authorisation to carry out a transaction, e.g. on a letter, on a cheque, on a faxed request, etc.

Individual Authorised Signatories

The following Signatories are authorised 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 Declaration and Mandate and Data Protection Statement, and agree that you can use our information as stated in the Data Protection Statement
- We have received and accept the Terms and Conditions of this Account (or those Accounts applied for) and agree to also be bound by any subsequent amendments advised to us by the Bank from time to time
- 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

First signatory

Full name

Position

Signature

Date

Second signatory

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;

Documentation required for Verification of Business Entity

Specific document requirements for Sole Traders and Partnerships only - from the following table, please supply one item from each of the two lists mentioned below and tick to confirm inclusion accordingly.

	Required documents	Sole Trader	Partnership
List 1	HM Revenue & Customs Certificate	<input type="checkbox"/>	<input type="checkbox"/>
	Customs and Excise/VAT Certificate	<input type="checkbox"/>	<input type="checkbox"/>
	Business Bank Statement (if less than 3 months old)	<input type="checkbox"/>	
	Letter from an Accountant or Solicitor	<input type="checkbox"/>	
List 2	Recent utility bill or statement in the name of the Business for the Business Premises	<input type="checkbox"/>	<input type="checkbox"/>
	Extract from the Business' official website	<input type="checkbox"/>	
	Current Business Letterhead or Company Letterhead	<input type="checkbox"/>	<input type="checkbox"/>

Partnerships must provide the partnership agreement/deed and a list of all current partners.

Private Limited Company and Limited Liability Partnerships

- If you are a Private or a Public Limited Company, no documentary evidence relating to the entity is required HOWEVER if the Shareholders/Directors/Company Secretary/Designated Members details have recently changed, please supply copies of the appropriate Companies House forms.

Documentation required for Verification of Personal Identity**For clients introduced by an FCA and/or PRA authorised and regulated Financial Adviser**

My/our FCA authorised and regulated Financial Adviser has completed section 7 (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** and provided copies of the necessary ID documents that have been certified as "a true copy of the original" by a "professional" (Bank employee, 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** and provided copies of the necessary ID documents. I/We have enclosed a personal cheque written from an account 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, for Accounts not introduced by an accountant:

I/We acknowledge that an impersonation check in the form of a letter will be sent to each applicant's home address by the Bank and that I/we will complete the relevant section of this letter and return it to Cater Allen in order that the verification process can be completed and the 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. ☐

* Additional supporting documentation may be requested upon completion of these electronic checks.

** The Customer Identification Requirements Sheet can be accessed via www.caterallen.co.uk.

*** 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.

- Sole Traders – the Sole Trader is required to sign
- Partnership – by a minimum of 2 partners
- Limited Liability Partnerships – by a minimum of 2 Designated Members
- Private Limited Company – by 2 Directors or by 1 Director and the Company Secretary, or if there is no Company Secretary and only a Sole Director, or if the Sole Director is also the Company Secretary then the Sole Director must sign. In this instance the Sole Director must sign in the presence of a witness who attests the signature.
- PLC– by a minimum of 2 Directors or 1 Director and the Company Secretary
- 25%+ Shareholders who are not Authorised Signatories on the Account

- 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 my/our information as stated in the Data Protection 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
- Cater Allen Private Bank is duly authorised to operate the Account
- 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 second applicant

Full name

[illegible][illegible]

Position

Signature

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D	D	M	M	Y	Y	Y	Y
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D	D	M	M	Y	Y	Y	Y
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We do not require any personal documentation for you.

Permanent residential address

[illegible]

[illegible]

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[illegible]

Postcode

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

Signature(s) of 25%+ Shareholders who are not Authorised Signatories on the Account

Signature of first person

Full name

Position

Signature

Date

Signature of second person

Full name

Position

Signature

Date

Additional information

Applicant(s) to complete

Please use this section to provide further details of your organisation's business activities; or any other additional information relevant to your 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 To open a Term Deposit, you must send your funds to us via electronic transfer – we cannot accept a cheque for the deposit amount. On approval of your application to open a Term Deposit, we will contact you to confirm the paying-in details and process.
- ³ If you request a Debit Card, it will be sent to you within 5-7 days of the Account being opened.
- 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

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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