Santander

Savings & Investments
Application Form

1 Personal details

Applicant to complete

If you're an existing Santander customer, please tell us the type of account you have and the account number.

Applicant 1

Account type

Account number

Mr ☐ Mrs ☐ Ms ☐ Miss ☐

Other ☐ If '**Other**' please state

Forename(s)

Surname

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

Date of birth D D M M Y Y Y Y

Permanent residential address

Postcode

Time at current address Y Y M M

Country of residence

Telephone (day) (including area code)

Telephone (eve) (including area code)

Mobile

Email

Nationality

Do you have dual nationality?

Yes ☐ No ☐

If '**Yes**' please specify

Please provide a memorable security password for use when dealing by phone (this should be between 8 and 16 characters in length)

Password (not applicable to existing Sharedealing customers)

Employment details

Please tick to advise your current employment status

Employed ☐ Self-employed ☐ Homemaker ☐

Retired ☐ Student ☐ Unemployed ☐

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

Occupation

Name of employer

Annual gross income

Up to £10,000 ☐ £10,001 to £20,000 ☐

£20,001 to £30,000 ☐ £30,001 to £40,000 ☐

More than £40,000 ☐

Your income details

Please select the option(s) from the list below that accurately describes your source of wealth. Please note that in some circumstances we may be required to revert to you for corroboration of this information.

Income from employment ☐ Property sale ☐

Income from savings/investments ☐ Inheritance ☐

Gift ☐ Divorce Settlement ☐

Lottery and other winnings ☐ Other ☐

If other, please specify

Applicant 2

Account type

Account number

Mr ☐ Mrs ☐ Ms ☐ Miss ☐

Other ☐ If '**Other**' please state

Forename(s)

Surname

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

Date of birth D D M M Y Y Y Y

Permanent residential address

Postcode

Time at current address Y Y M M

Country of residence

Telephone (day) (including area code)

Telephone (eve) (including area code)

Mobile

1 Personal details continued

Applicant to complete

Email

Nationality

Do you have dual nationality?

Yes ☐ No ☐

If 'Yes' please specify

Employment details

Please tick to advise your current employment status

Employed ☐ Self-employed ☐ Homemaker ☐

Retired ☐ Student ☐ Unemployed ☐

Occupation

Name of employer

Annual gross income

Up to £10,000 ☐ £10,001 to £20,000 ☐

£20,001 to £30,000 ☐ £30,001 to £40,000 ☐

More than £40,000 ☐

Your income details

Please select the option(s) from the list below that accurately describes your source of wealth. Please note that in some circumstances we may be required to revert to you for corroboration of this information.

Income from employment ☐ Property sale ☐

Income from savings/investments ☐ Inheritance ☐

Gift ☐ Divorce Settlement ☐

Lottery and other winnings ☐ Other ☐

If other, please specify

2 Sharedealing accounts required

Applicant to complete

Please indicate which of the following sharedealing accounts you require by ticking the appropriate box:

Share Organiser account (now go to section 3) ☐

Certificated account (now go to section 3) ☐

Self Select ISA (now go to section 4) ☐

Transfer in an existing ISA (sign section 6 then complete section 7) ☐

3 Share Organiser or Certificate Trader Account

Applicant to complete

Fill in this section if you'd like a Share Organiser account or Certificated account.

How I want to pay for my share purchases (please tick one box)

Direct Debit – please complete the Direct Debit Form ☐

Switch / Delta – please complete your bank details ☐

Bank details

Name(s) of account holder(s)

Sort code – –

Account number

Cheque ☐

How I would like to receive sale proceeds and dividends (please tick one box)

Retain proceeds in my sharedealing account ☐

Directly into my bank account

Sort code – –

Cheque ☐

Applies to Share Organisers only

Do you plan to buy or sell Warrants / Covered Warrants?

Yes ☐ No ☐

Applies to Share Organisers only

Do you plan to buy or sell US stocks and shares?

Yes ☐ No ☐

Please go to section 5, and read Declarations and Data Protection. Then please go to section 6.

4 ISA

Applicant to complete

Fill in this section if you want to open a Self Select ISA.

I apply to subscribe for a Stocks and Shares ISA for the tax year ending 5 April 2014

£

I enclose a cheque made payable to Pershing Securities Limited from my personal funds **or** ☐

Please debit funds from my Santander Sharedealing account ☐

Reference number

National Insurance number

or

Pension number (if no N.I. number)

Please buy the following shares on my behalf

Sum of money	Stock name

Please continue on a separate sheet if necessary

4 ISA continued

Applicant to complete

Only complete this section if you wish to fund your ISA by sale and reinvestment of shares already held.

I wish to sell the shares listed below and reinvest the proceeds in my Santander Sharedealing ISA. I enclose the completed Crest Transfer Forms signed together with the appropriate certificate(s). ☐

or

I wish to sell the shares listed below held in my Santander Share Organiser account and reinvest the proceeds in an Santander Sharedealing ISA. ☐

Sell

Complete appropriate box:			Tick appropriate box:	
Raise the sum of money	No. of shares to be sold	Stock name(s)	Send balance certificate	Send balance cheque

Reinvest

Complete appropriate box:		
Invest the sum of money	No. of shares to buy	Stock name(s)

Process: When we receive this form, we will open the ISA. The shares will be sold at the current market price; the sale will attract normal Santander Sharedealing commission rates including any additional charges (please refer to scale of charges). The funds raised, less charges, will then be transferred into your ISA account, and used to re-purchase the maximum number of stated shares. The purchase will also attract normal Santander Sharedealing commission rates and stamp duty.

Please go to section 5, and read Declarations and Data Protection then go to section 6.

Don't forget: If you want to transfer your share certificates you'll need to fill in your CREST Transfer Form too.

You'll find this at the back of your Sharedealing pack. If you need any help with this, call us on **0800 389 2324**.

5 Declarations and Data Protection

Applicant to complete

You confirm that you are entitled to disclose information about any third party named on the application form.

Using your personal information

Whether or not you become a customer, all the information you give to us, Abbey Stockbrokers Ltd (ASL) and Santander UK plc, or we hold on you may be used to comply with a request you make of ASL or Santander and to provide and run the account or service you have applied for. This includes information about the conduct (including details of transactions) of any account that you have with us, a group company or an associated company. ASL and Santander may also use your information for internal monitoring purposes and to help develop and improve products and services. Information will be kept about you after your account is closed.

Sharing your personal information

ASL and Santander UK plc may share your information for the purposes described in this statement with the group of companies to which they belong (the Santander Group), their associated companies, and with service providers or agents. These companies may be based in other countries. Your information will only be used in line with ASL and Santander's instructions and own strict policies on confidentiality. If your information is transferred to another country, it will be given the same levels of protection as needed under the UK Data Protection Act. ASL and Santander may also give essential information about your account to others if needed to run your account and for regulatory purposes.

Your marketing preferences

ASL and Santander may invite you to take part in market research surveys and identify and let you know by post, telephone or electronic media (including email and SMS) of products or services, which our group of companies and associated companies think may interest you. (When deciding whether to provide you with details of a credit product we may search the files of credit reference agencies. A record of this search (which may be recorded in the name of another service provider that ASL may use for administrative and credit checking purposes) will not be made available to other lenders who search your file.)

If you would prefer not to receive up to date information on other products and services, or be included in market research, you can tick the following boxes: Please do not contact me by telephone ☐ by post ☐ by electronic media ☐ for market research ☐. Unless you have said otherwise, by continuing with this application, you agree to ASL or Santander contacting you using any of the methods shown above.

5 Declarations and Data Protection continued

Applicant to complete

Verifying your identity and fraud checks

Before your account can be opened, in order to prevent or detect fraud, ASL and Santander will check your details with fraud prevention agencies, and may make searches at credit reference agencies who will supply ASL and Santander with information including information from the electoral register, for the purposes of verifying your identity. Scoring methods may be used to verify your identity. A record of this process will be kept that may be used to help other companies to verify your identity. If you give ASL or Santander false or inaccurate information and fraud is identified, details will be sent to fraud prevention agencies. Law enforcement agencies may access and use this information.

ASL, Santander 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 your identity if you or your financial associate applies for other facilities;
- to undertake statistical analysis and system testing;
- to manage credit and credit related accounts or facilities;
- to recover debt;
- to check details on proposals and claims for all types of insurance; and
- to check details of job applicants and employees.

ASL and Santander may also search and use internal records for these purposes.

ASL, Santander and other organisations may search and use from other countries the information recorded at fraud prevention agencies. Further information on the credit reference agencies and fraud prevention agencies ASL and Santander use is available by telephoning **0845 602 0319**.

Access to your information

You have the right to see certain records held about you if you pay a fee. An information sheet is available on request.

Call recording

ASL and Santander may record telephone conversations between you and ASL or Santander for monitoring and training purposes. Such recordings remain the sole property of ASL or Santander and will be accepted by you as conclusive evidence of the orders, instructions or conversations so recorded. ASL or Santander may deliver copies or transcripts of such recordings to any court or regulatory body.

6 Signatures

Applicant to complete

I declare that everything in this application form is accurate and correct to the best of my knowledge and belief. I have read and agree to the Data Protection statement and I agree to be bound by the Santander Sharedealing Terms and Conditions and Scale of Charges.

Signature 1

Date D D M M Y Y Y Y

Signature 2

Date D D M M Y Y Y Y

Office use only

Mr ☐ Mrs ☐ Ms ☐ Miss ☐

Other ☐ If '**Other**' please state

Forename(s)

Surname

Date of birth D D M M Y Y Y Y

Permanent residential address

Postcode

Telephone (day)

Telephone (eve)

Nationality

Country of residence

National Insurance number

or

Pension number

Santander Sharedealing account number MX

7a ISA Transfer In – your existing ISA Plan Manager details

Applicant to complete

Existing ISA Plan Manager's details ☐

Company name

Address

Postcode

Telephone number if known (including area code)

Existing account number

7b Transfer details

Applicant to complete

Do you wish to:

i transfer your entire ISA to Santander Sharedealing?

Cash only ☐ Cash and stock ☐

ii transfer part of your existing ISA plan to Santander Sharedealing? If so, please specify:

Cash only ☐ Cash amount £

Cash and stock ☐ Cash amount £

Stock only ☐

(Note: Part transfer is not available to the current tax year's ISA)

If the transfer (either full or part) contains stock, please specify the shares:

1
2
3
4
5
6
7
8
9
10

Please continue on a separate sheet if necessary

ISA transfer in declaration

Applicant to complete

To the ISA Plan Manager named above

I wish to change with immediate effect the management of the above ISA(s) / part ISAs, and hereby request you to arrange the transfer of my ISA investment assets as indicated above to the new ISA Manager Abbey Stockbrokers Limited.

I hereby agree that:

- Any settlement should be made payable to 'Pershing Securities Limited'
- You may deduct charges for the transfer as specified in your Terms and Conditions
- If indicated above, the transfer is to be in the form of cash only, any existing investments are to be sold and the money transferred.

Full name

Santander Sharedealing account number

Signature

Date D D M M Y Y Y Y

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