Wealth and Investment Platform application form

Santander International

How to complete this form

Please complete, sign and return this form to: Santander International, PO Box 123, 19-21 Prospect Hill, Douglas, Isle of Man IM99 1ZZ, British Isles. If you are a Jersey resident, please return this form to: Santander International, 13-15 Charing Cross, St Helier, Jersey JE2 3RP, Channel Islands.

If you are a **new customer**, you will also need to complete an application form for a Bank Account (Gold Account) as the Wealth and Investment Platform is only available in conjunction with a Bank Account (Gold Account).

If you are an **existing customer**, you will need to have your customer reference number.

If you have any queries regarding this form please call us on 08000 84 28 88 if calling from a UK landline or mobile, or +44 (0)1624 641 888 if calling from overseas. Lines are open from 9am – 5pm UK time, Monday to Friday (except Wednesday when we open at 9.30am). Calls are recorded and may be monitored.

We may not be able to process this application if you do not provide all the requested detail and documentation.

1 Applicant details

First applicant

Title

☐ Mr ☐ Mrs ☐ Ms ☐ Miss

☐ Other (please state)

First name

Middle name(s)

Surname

Email address

Passport number(s)

Passport country/countries of issuance

Second applicant (if applicable)

Title

☐ Mr ☐ Mrs ☐ Ms ☐ Miss

☐ Other (please state)

First name

Middle name(s)

Surname

Email address

Passport number(s)

Passport country/countries of issuance

Existing customers

If you are an existing customer, please enter your customer reference number. Your customer reference and account numbers can be found on your statement and/or your account opening welcome letter or by logging on to our Online or Mobile Banking services.

If you have more than one customer reference number (for example if you have a joint account as well as an account held in just your name), please provide the customer reference number that you wish to have your Investment Account linked to.

In addition, please tick one of the boxes below to confirm if you want to link your Investment Account to an existing Bank Account (Gold Account) **or** whether you want a new Bank Account (Gold Account) to be opened to service your Investment Account (any new Bank Account (Gold Account) will be opened prior to your Investment Account being opened).

☐ **Open a new** Bank Account (Gold Account) for investment servicing

or

☐ **Link to an existing** Bank Account (Gold Account) for investment servicing

Account number

New customers

Please note that you will need to complete an application form to open a new Bank Account (Gold Account)(s) and provide the documentation requested before we are able to process this Wealth and Investment Platform application.

Your portfolio will automatically be set to produce valuations and statements in Sterling base currency unless you tell us otherwise.

Base currency (tick **one** box):

☐ £ Sterling ☐ € Euro ☐ US$ dollars

2 Investment knowledge and experience

To help us assess your investment knowledge and experience, please answer the following questions:

First applicant

How many years' investment experience do you have?

☐ None ☐ Less than 3 years ☐ More than 3 years

Please provide a brief overview of your investment experience, including the types of investments you have held, the approximate value of investments and whether decisions were made independently or with advice.

How frequently do you deal in investments?

☐ Weekly or more frequently

☐ Monthly

☐ Less than once a month

Choose one of the following that best describes your knowledge of investments

☐ No financial knowledge

☐ Limited financial knowledge (compound interest, time value of money, inflation, potential loss of capital)

☐ Good financial knowledge (financial markets, credit/market/liquidity risks, geopolitical repercussions, etc)

☐ Extensive financial knowledge (options, correlation, beta, VAR, etc)

Have you received any investment education, hold any investment qualification or work (or have worked) in the investment industry?

☐ Yes (please describe below)

☐ No (please give details of any previous investment experience which you may consider relevant)

Second applicant (if applicable)

How many years' investment experience do you have?

☐ None ☐ Less than 3 years ☐ More than 3 years

Please provide a brief overview of your investment experience, including the types of investments you have held, the approximate value of investments and whether decisions were made independently or with advice.

How frequently do you deal in investments?

☐ Weekly or more frequently

☐ Monthly

☐ Less than once a month

Choose one of the following that best describes your knowledge of investments

☐ No financial knowledge

☐ Limited financial knowledge (compound interest, time value of money, inflation, potential loss of capital)

☐ Good financial knowledge (financial markets, credit/market/liquidity risks, geopolitical repercussions, etc)

☐ Extensive financial knowledge (options, correlation, beta, VAR, etc)

Have you received any investment education, hold any investment qualification or work (or have worked) in the investment industry?

☐ Yes (please describe below)

☐ No (please give details of any previous investment experience which you may consider relevant)

3 Investment advice

Have you received any investment advice?

☐ Yes (please describe below)

☐ No, we have prior investment experience/knowledge (please proceed to section 4)

Please accept all instructions in connection with my Investment Account from my Investment advisor.

Contact name

Contact email address

Contact telephone number

Agreed fee

I/We authorise Santander International to debit my/our investment account(s) for the third-party fees specified above. These fees have been agreed directly between me/us and the relevant third party. Santander International is not responsible for determining or agreeing these fees on my/our behalf. ☐

4 Source of funds

Initial deposit

Please provide the below information on the initial deposit you will be placing into the account(s).

Currency and amount

Country initial deposit coming from

Source (i.e. salary/rental income)

Ongoing deposits

Please indicate how much you anticipate being deposited into the account during an average year.

Currency and amount

To enable us to understand how you generated the funds that you intend to credit the account with, please select below all that apply:

- Employment – salary ☐
- Employment – bonus ☐
- Pension ☐
- Property sale ☐
- Inheritance ☐
- Business sale ☐
- Loan ☐
- Investment income ☐
- Rental income ☐
- Other (please state below) ☐

Please provide further information on all selected sources, i.e. amounts, dates obtained, property addresses, name/relationship of person gifting funds

Will you be sending or receiving funds outside of UK, US or EU?

Yes ☐ No ☐

If yes, please confirm countries

5 Declaration by all applicants

Scan this QR code for access to the 'Using my personal data' booklet, Supplementary Terms and Conditions for the Wealth and Investment Platform, key facts documents for this Wealth and Investment Platform and Wealth and Investment Platform Fees and Charges leaflet which are referenced below.

By signing this application form, I/we agree that:

- I/We have completed all relevant sections of this application form and authorise Santander International to obtain independent verification of any information provided
- I/We confirm that we have been provided with information about how the Bank processes personal data and that we can also refer to the 'Using my personal data' booklet which can be found on Santander International's website and by scanning the QR code above
- I/We have received and accept Supplementary Terms and Conditions for the Wealth and Investment Platform which can be found on Santander International's website and by scanning the QR code above, and agree to also be bound by any subsequent amendments advised to me/us by the Bank from time to time
- I/We have received the key facts document for this Wealth and Investment Platform and that I/we have received and accept the Wealth and Investment Platform Fees and Charges associated with my/our Investment Account, both of which can be found on Santander International's website and by scanning the QR code above
- 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 will advise Santander International immediately of any changes in circumstances which may cause the information provided to become incorrect or incomplete, and to provide Santander International with an updated information/tax declaration within 30 days of the change
- I am/We are aware that in certain cases Santander International will need to share my/our information with the tax authorities of the location in which my/our account(s) is/are based, who may then pass it on to the tax authorities in other countries. I/We acknowledge that the tax information I/we have supplied as part of opening my/our Bank Account (Gold Account) will also apply to my/our Investment Account
- Santander International is duly authorised to operate the Investment Account
- I/We hereby appoint Santander International as my/our agent to facilitate the opening of an Investment Account in my/our name with PCI and to act as my/our agent for the purposes of the provision of an Execution-Only Service as set out in Schedule 1 of the Supplementary Terms and Conditions for the Wealth and Investment Platform
- I/We will be treated as a non-retail client and I am/we are aware that I/we will not be afforded the same level of protection as would be given to retail clients
- I/We will be responsible for making my/our own investment decisions and I/we will not receive advice from Santander International and/or any agent of Santander International
- I/We will be treated as an execution only client and I am/we are aware of the reduction of investor protection when being responsible for my/our own investments decisions.

Confirmation by each applicant of fulfilment of tax obligations

- I am aware and confirm that I am required to comply with all tax and other fiscal obligations in any jurisdiction where I have such obligations
- I confirm that whenever required by relevant applicable laws and regulations, the assets deposited on those accounts as well as the income and gains generated by those assets are fully disclosed whenever required and in accordance with the applicable tax law and regulations and I certify that I will continue to do so in the future
- I hereby understand and expressly accept that it is my entire and sole responsibility to comply with all tax obligations in relation with the Account(s) held and I commit to bear all consequences
- Upon Bank's request, I further undertake to provide the Bank with any document evidencing such tax compliance.

If resident outside Jersey, Isle of Man or the UK

- I/We confirm that this application has been made solely on my/our own initiative and that I/we have not been solicited, approached, or marketed to by Santander International in relation to banking products or services.

Each applicant must sign below. Please note: the signature(s) supplied will be used to operate your account.

First applicant

Print name

Date D D M M Y Y Y Y

Second applicant (if applicable)

Print name

Date D D M M Y Y Y Y

6 Checklist

Please use this checklist to make sure you are sending all the correct documents and information to open an Investment Account. If you don't, there may be a delay in your application.

- ☐ Fully completed application form
- ☐ Fully completed W-8BEN form (for each applicant)
- ☐ Correctly certified copy of the passport(s) for each applicant (if not already held by us). Please refer to the 'Documents you need to provide' leaflet provided (also available in the support/documents and forms section of our website, santanderinternational.co.uk)

Once we have reviewed your application we may ask for further information or supporting documentation.

Santander International is the trading name of Santander Financial Services plc, Jersey Branch and Santander Financial Services plc, Isle of Man Branch. Santander Financial Services plc is incorporated in England and Wales with number 2338548 and its registered office is 2 Triton Square, Regent's Place, London NW1 3AN, United Kingdom. Santander Financial Services plc is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Santander Financial Services plc's Financial Services Register number is 146003. You can check this on the Financial Services Register by visiting the FCA's website www.fca.org.uk/register. Santander Financial Services plc, Jersey Branch has its principal place of business at 13-15 Charing Cross, St Helier, Jersey JE2 3RP, Channel Islands and is regulated by the Jersey Financial Services Commission. Santander Financial Services plc, Isle of Man Branch has its principal place of business at 19-21 Prospect Hill, Douglas, Isle of Man IM1 1ET and is regulated by the Isle of Man Financial Services Authority. www.santanderinternational.co.uk All accounts opened with Santander Financial Services plc, Jersey Branch have situs in Jersey and therefore are not covered by the Financial Services Compensation Scheme established under the UK Financial Services and Markets Act 2000 or by the Isle of Man Depositors' Compensation Scheme. Santander Financial Services plc, Jersey Branch is a participant in the Jersey Bank Depositors Compensation Scheme (the Scheme). The Scheme aims to provide protection for eligible depositors of up to £50,000. For further information about the Scheme and to understand your eligibility, please refer to www.jrdca.org.je/jdcs. All accounts opened with Santander Financial Services plc, Isle of Man Branch have situs in the Isle of Man and therefore eligible deposits are covered by the Isle of Man Depositors' Compensation Scheme as set out in the Isle of Man Depositors' Compensation Scheme Regulations 2010 and not covered by the UK Financial Services Compensation Scheme or by the Jersey Bank Depositors Compensation Scheme. Full details of the Scheme and banking groups covered are available at the Isle of Man regulator's website, www.iomfsa.im/consumers, or on request. Santander and the flame logo are registered trademarks. The latest audited accounts are available upon request. Calls to Santander International are recorded and may be monitored for security and training purposes.

ABN 0742 NOV 26 F