

Wealth and Investment Platform application form



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 Gold Account as the Wealth and Investment Platform is only available in conjunction with a 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.

Santander International is able to provide this document in large print, Braille and audio CD. If you would like to receive this document in one of these formats, please contact us.

1 Applicant details

First applicant

Title
☐ Mr ☐ Mrs ☐ Ms ☐ Miss
☐ Other (please state)

First name

Middle name(s)

Surname

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

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 Gold Account **or** whether you want a new Gold Account to be opened to service your Investment Account (any new Gold Account will be opened prior to your Investment Account being opened).

Open a new Gold Account for investment servicing

☐

or Link to an existing Gold Account for investment servicing

☐

Account number

New customers

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

2 Investment knowledge and experience

So that we are able to categorise you as a Professional Investor, please answer the following questions.

First applicant

How many years investment experience do you have?

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

What types of instruments have you previously invested in?
e.g. equities, funds, Contracts for Difference, options, futures etc

How frequently have you dealt in investments?

☐ Daily trading (very frequently)

☐ More than once a month

☐ 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

What types of instruments have you previously invested in?
e.g. equities, funds, Contracts for Difference, options, futures etc

How frequently have you dealt in investments?

☐ Daily trading (very frequently)

☐ More than once a month

☐ 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 Execution only service

Santander International offers an execution only service that allows you to make your own investment decisions with no advice from us. This means that we will not advise you about the merits or suitability of a particular instrument or transaction and we will not be required to ensure that the instrument or transaction is suitable for you.

Where there is more than one applicant, who can provide instructions?

Please tick as appropriate (provided that the account holder(s) are deemed to be Professional Investors)

☐ First named account holder only to instruct

☐ Any account holder instructing alone

Optional: to help us provide the best service, please provide us with the below additional information regarding your Investment Account.

Anticipated value of the Investment Account

Please provide details of the purpose and investment objectives for opening an execution only Investment Account

What markets do you anticipate investing?

5 Declaration by all applicants

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
- I/We have received and accept Supplementary Terms and Conditions for the Wealth and Investment Platform 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
- 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 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.

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
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Second applicant (if applicable)

Print name

Date

D	D	M	M	Y	Y	Y	Y
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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.