

Share Organiser – James Hay SIPP clients Sharedealing application form

1 Personal details

Applicant to complete

 Mr Mrs Ms Miss
 Other If 'Other' please state

 Forename(s)

 Surname

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

 Male Female

 Date of birth

 Permanent residential address

 Postcode

 Time at current address

 Previous home address if less than three years at address shown above
 (if more than one address, please provide details of all other addresses
 on a separate sheet)

 Postcode

How long did you live at this address?

 Years Months

 Country of residence

 Telephone (day)

 Telephone (eve)

 Mobile

 Email

 Nationality

Do you have dual nationality?

 Yes No

 If 'Yes' please specify

Employment details

 Employment status / Occupation

 Employer name

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

2 Security password

Applicant to complete

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

Office use only

James Hay number (James Hay to complete)

3 Additional trading information

Applicant to complete

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

 Yes No

 Please note that before you subscribe to this service you must
 sign the Warrants / Covered Warrants risk warning notice.
 A copy will be sent to you.

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

 Yes No

Do you wish any other person to deal on your account?

 Yes No

 If 'Yes' a 'Combined Authority to Deal' form must be completed
 by each person you wish to deal on your account.

4 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.

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 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.

Share Organiser Declaration

I hereby apply to be a customer of the Santander Sharedealing service and open a Share Organiser account, and confirm that I am 18 years or over.

I understand that the Certificate Trader Option is not available to me as a James Hay SIPP client.

I declare that the information is true and I have read the Terms and Conditions and agree to be bound by them.

Client signature

Date

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5 **James Hay Pension Trustees Limited Declaration and Signature**

James Hay to complete

We agree to the above, provided the liability of James Hay Pension Trustees Limited will at all times be limited to the value of the assets of this James Hay SIPP (as per clause Section D,4.2 of the Santander Sharedealing terms and conditions).

Trustee signature (James Hay to complete)

Date

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

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