



JHAY0221

Application Form

Application Guide

Please complete this form in BLOCK CAPITALS and black ink.

1 Personal Details

Applicant to complete

Mr Mrs Ms Miss

Other If 'Other' please state

Forename

Surname

Any other name you have been, or are known by

Address

 Postcode

Nationality

Do you have dual nationality? Yes No

If Yes, please specify

National Insurance Number

Pension number (if no NI number)

Date of birth

Country of birth

Country of citizenship

Country of tax residence

Additional country of tax contribution (any other country where you have tax obligations)

Are you a US person or resident of the US for tax purposes*?

Yes No

* If Yes, we may not be able to proceed with your application. Please contact us for further details.

Gender Male Female

Daytime phone number

Evening phone number

Mobile phone number

Source of Wealth

Please tick one or more of the following options to indicate from which source(s) your pension money, being used to trade with Santander Sharedealing, is to be funded.

- Transfer of benefits from registered pension schemes
- Income from employment
- Income from savings/investments
- Gift
- Lottery and other winnings
- Property sale
- Inheritance
- Divorce settlement
- Other (please specify)

2 Security Password

Applicant to complete

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

Password

3 Sharedealing Services Required

Applicant to complete

Please indicate for which of the following Products you require a sharedealing facility as part of your Modular iPlan or Wrap by ticking the appropriate boxes and completing the subsequent related section(s) below.

- | | |
|--|--|
| <input type="checkbox"/> Modular iSIPP | <input type="checkbox"/> Wrap SIPP |
| <input type="checkbox"/> Modular GIA | <input type="checkbox"/> Wrap Investment Portfolio |
| <input type="checkbox"/> Modular ISA | <input type="checkbox"/> Wrap ISA |

Note: Modular GIA and Modular ISA are only available with the Modular iSIPP.

We will issue you with a separate account reference for each of the sharedealing accounts.

4 Warrants and Foreign Securities

Applicant to complete

Please tick the box if you wish to deal in Warrants/Covered Warrants (Please note that before you can subscribe to this aspect of the service you must sign the Warrants/Covered Warrants Risk Warning Notice. A copy is available on request from your Account Executive).

Overseas trading questionnaire & Declaration

Are you a UK national?

Yes No

Do you permanently reside in the UK?

Yes No

Do you anticipate dealing in US securities, either now or later?

Yes No

If 'Yes', please complete a W-8BEN form.

Any dividends and interest received from foreign investments will be in sterling.

5 Declaration - PLEASE READ CAREFULLY

Applicant to complete

I accept that James Hay Wrap Managers Limited (JHWM) or James Hay Pension Trustees Limited for my SIPP (as appropriate) have appointed Abbey Stockbrokers Limited (ASL) to carry out the Sharedealing Service as part of the Modular iPlan or Wrap (as appropriate).

I also accept that ASL has appointed Pershing Securities Limited (PSL) as its agent to provide settlement, custody, nominee and associated services.

I accept that the Sharedealing Service is a nominee Sharedealing Service which means that my shares are held in a nominee account and registered in the name of PSL's nominee.

I confirm that ASL is authorised to provide the Sharedealing Service to me as part of the Modular iPlan or Wrap (as appropriate) and is authorised to act on my instructions or the instructions of my Financial Adviser where my Financial Adviser has my written authority to act.

I confirm that ASL is authorised to instruct PSL to provide settlement, custody, nominee and associated services for my investments in my Modular iPlan or Wrap (as appropriate).

I confirm that I am over 18 years of age.

I can confirm that to the best of my knowledge and belief, the particulars given on the Application Form are correct and complete and I undertake to inform ASL and/or JHWM/JHPT, without delay, if there are any changes in the information contained in this form.

I have read and I accept the Terms and Conditions for the Sharedealing Service and agree to be bound by those.

Whether or not I become a customer, all the information I give to JHWM, JHPT, ASL and Santander UK plc. (Santander) and all the information they hold about me including transactional data, may be shared with and used by ASL, Santander, other companies in the Santander group and associated companies, service providers or agents who may be located in other countries. My information will only be used in accordance with ASL and Santander's instructions and own strict internal confidentiality policies. If my information is transferred to another country, it will be given the same levels of protection as required under the UK Data Protection Act.

I agree that my information may be used in this way for administration purposes and to:

- provide and run the account or service I have applied for; internal monitoring purposes and to develop and improve products and services.
- identify and advise me by post, telephone or electronic media of products or services that ASL, Santander or the Santander group and its associated companies think may interest me. When deciding whether to provide me with details of a credit product, ASL, Santander or other Santander group companies 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 my file.
- invite me to take part in market research surveys carried out by post, telephone or electronically on ASL or Santander's behalf.
- comply with a request I make of ASL, PSL or Santander.

I accept that when ASL or Santander assesses this application or any future application for an increase in my sharedealing limit, or undertake any periodic review, ASL, PSL or Santander will use the information for credit assessment, which may include credit scoring. ASL and Santander may make any enquiries relating to me that it considers necessary (e.g. requesting information, including transactional data, about any accounts that I may have with other Santander group companies or other financial institutions) and search the files of credit reference agencies that will keep a record of each search, which may be in the name of another service provider.

This could impact on my ability to obtain credit elsewhere within a short period of time. Details about this application (whether or not it proceeds) will be recorded at the credit reference agency. An association between joint applicants or between myself and any named third party will be created at the credit reference agency. This will link my financial records, each of which will be taken into account in all future applications by me. If an association already exists then this application will be assessed with reference to these associated records. This situation will continue until I successfully file a disassociation at the credit reference agency. Details about me and the conduct of this account will also be passed to credit reference agencies.

Before my account can be opened, ASL and Santander will check my 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 my identity. Scoring methods may be used to verify my identity. The credit reference agencies will record details of the search whether or not the application proceeds but I accept this is not a credit check and will not be seen or used by lenders to assess my ability to obtain credit.

If I give ASL and 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 these records to prevent fraud and money laundering, for example:

- to help make decisions about credit and credit related services, insurance proposals and claims, and all types of facilities.
- to manage accounts and facilities (including tracing debtors) and recovering debt.
- to help make decisions about job applicants and employees.

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 that ASL and Santander use is available by telephoning 0845 602 0319.

ASL and Santander may also give essential information about my account to others if necessary to run my account and for regulatory purposes. Information about me will be kept after my account is closed. I have the right to see certain records held about me on payment of a fee. An information sheet is available on request.

ASL and Santander may record telephone conversations between me and ASL or Santander for monitoring and training purposes.

Such recordings remain the sole property of ASL or Santander and will be accepted by me 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.

I accept that if I have applied for or hold an ISA, that I satisfy the relevant eligibility conditions.

I accept that JHWM is the ISA Manager.

If you do not wish to receive marketing information or do not wish for your details to be released to market research organisations, please tick this box

Applicant's signature

Date

D	D	M	M	Y	Y	Y	Y
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SIPP Accounts Only

Trustee signature

Date

D	D	M	M	Y	Y	Y	Y
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James Hay Partnership is able to provide literature in alternative formats. The formats available are: Large Print (as recommended by RNIB), Braille, Audio Tape and PC Disk. If you would like to receive this document in an alternative format please contact us on 0845 850 4455. For the hard of hearing and / or speech impaired, please use the Tynetalk service via 18001 0845 850 4455.

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