

Combined Authority to Deal Application Form

1 Details of person authorised to deal

Applicant to complete

If you're a Financial Adviser please fill in sections 3 and 4

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

Nationality

Do you have dual nationality?

Yes No

If 'Yes' please specify

Country of residence

Permanent residential address

Postcode

Are you authorised to deal on any other Santander Sharedealing accounts?

Yes No

Relationship with account holder(s):

Spouse Parent

Child Friend

Other

If 'Other' please specify

2 Declaration and signature

Applicant to complete

I confirm that the information set out in section 1 above is correct and request that I be allowed to act on the account holder's behalf. I have read and understood the Data Protection Statement in section 6. Whenever using this facility, I will use the account password to identify myself.

Signature of person authorised to deal

Date

3 Financial Adviser details

IFA to complete

Name

Business name

Business address

Postcode

FSA authorisation number

Please tick authorisation required:

Place dealing instructions

Place corporate action instructions

Receive copy contract notes

Access account information

Abbey Stockbrokers Limited may run a verification check on you.

4 Names of other authorised staff members IFA to complete

Persons within the Financial Adviser's organisation authorised to give sharedealing instructions

Name

Signature

Name

Signature

Name

Signature

Name

Signature

5 Authorisation Applicant to complete

Account number (for office use only)

Account holder's name

Joint account holder's name

Nominate (whose details appear in sections 1 and 2 (or 3 and 4 if an IFA), to act on my behalf)

I / We accept that I / we will be solely liable for the transactions undertaken by the Authorised Dealer, and that neither he / she nor Abbey Stockbrokers Limited shall be liable for any losses or debts so incurred.

If however this is a SIPP account, the Trustee, James Hay Pension Trustees Limited, will normally be liable for the transactions undertaken by the authorised dealer, and I accept that neither the authorised dealer nor Abbey Stockbrokers Limited shall be liable for any losses or debts so incurred.

This Authority will remain in force until revoked in writing by me, or in the case of a joint account, by either of us.

I / We hereby authorise Abbey Stockbrokers Limited to accept trading instructions for my / our account from the above nominated Authorised Dealer, and to release information to him / her regarding my / our account as requested.

I / We confirm that this Authority to Deal does **not** allow the above mentioned person to make **any cash / stock withdrawals or transfers**.

I / We retain Sole liability for the conduct of the account, including any sums owed from time to time to Abbey Stockbrokers Limited.

Please note: Abbey Stockbrokers Limited will make a credit reference search on the nominated individual.

Signed (account holder)

Date

Signed (joint account holder)

Date

James Hay Pension Trustees Ltd authorised signatory for SIPP account (for office use only)

Received (ASL)

Date

Accepted (ASL)

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

Using my 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 electronic media
- by post 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 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.

Santander is able to provide literature in alternative formats. The formats available are: large print, Braille and audio CD. If you would like to register to receive correspondence in an alternative format please visit www.santander.co.uk/alternativeformats for more information, ask an adviser in branch or give us a call.

Santander Sharedealing is a trading name of Abbey Stockbrokers Limited. Registered Office: Kingfisher House, Radford Way, Billericay, Essex CM12 0GZ. Registered in England number 02666793. Abbey Stockbrokers Limited is authorised and regulated by the Financial Services Authority (FSA registration number 154210), is a member of the London Stock Exchange and is an HM Revenue & Customs approved ISA Manager. Abbey Stockbrokers Limited is a wholly owned subsidiary of Santander UK plc.

Santander UK plc. Registered Office: 2 Triton Square, Regent's Place, London NW1 3AN, United Kingdom. Registered Number 2294747. Registered in England. www.santander.co.uk Telephone 0870 607 6000 calls may be recorded or monitored. Authorised and regulated by the Financial Services Authority except in respect of its consumer credit products for which Santander UK plc is licensed and regulated by the Office of Fair Trading. FSA registration number 106054. Santander and the flame logo are registered trademarks.



This item can be recycled.