

New Counterparty Application Form



Treasury Customers

Please complete this form in **BLOCK CAPITALS** and return to:

Treasury Settlements, Skipton Building Society, The Bailey, Skipton, North Yorkshire, BD23 1DN

Forms that are incomplete or incorrect may have to be returned which will delay the processing of your application. If you have any questions regarding your application, please contact us on 0345 266 1054.

Section 1: About Your Organisation

Full name of organisation:

Registered number:

Year established:

LEI (Legal Entity Identifier):

Full business address:

Postcode:

Registered office address (if different to trading address):

Postcode:

Switchboard number:

Web address:

Nature of business:

Annual turnover:

Total assets:

Number of employees:

Length with current bank:

Do you deal with money market brokers?

Yes No

Charities Only

Registration number:

Does your charity have a written constitution or set of rules?

Yes No

(If yes, please provide a copy)

What is the purpose or activity of your charity?

Continued overleaf

Section 2: Transaction Details

Please state the approximate amount you wish to deal in: £250k - £1m £1m - £10m Over £10m

The Society will confirm all transactions with you. The preferred method of confirming transactions is by email.

Please indicate your preference below:

Email Fax Post

Email address:

Fax number:

For the attention of:

Position in organisation:

Confirmation address:

Postcode:

Contact telephone number:

Section 3: Senior Officers' Personal Details

Please provide the following details for two Senior Officers of your organisation:

Details of Senior Officer 1

Title: Surname:

First name and other initials:

Position in organisation:

Email address:

Contact telephone number:

Nationality:

Date of birth (DD/MM/YYYY)

 / /

Home address:

 Postcode:

Details of Senior Officer 2

Title: Surname:

First name and other initials:

Position in organisation:

Email address:

Contact telephone number:

Nationality:

Date of birth (DD/MM/YYYY)

 / /

Home address:

 Postcode:

Continued overleaf

Section 3: Senior Officers' Personal Details (continued)

Details of Senior Officer 1

Home telephone number:

How long have you lived at this address?

If less than three years, please give your previous address:

Postcode:

(Three years address history is required. If necessary, please provide further information on an additional sheet)

Details of Senior Officer 2

Home telephone number:

How long have you lived at this address?

If less than three years, please give your previous address:

Postcode:

(Three years address history is required. If necessary, please provide further information on an additional sheet)

Section 4: Standard Settlement Instructions

Funds can only be paid into an account held in the same name as the deposit holder. **Under no circumstances can funds be paid to or for the account of a third party.** Please enter your Standard Settlement Instructions below.

Name of Bank and Branch:

Sort Code:

Account Number:

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IBAN (International Bank Account Number):

Name in which account is held:

Section 5: Authorised Dealers

This section is for nominating individuals to give instructions with respect to Treasury deposits. If there are more than four authorised dealers please provide their details as below on a separate sheet.

Authorised Dealer 1 (Main Contact)

Title: Surname:

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First name and other initials:

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Position in organisation:

Email address:

Contact telephone number:

Authorised Dealer 2

Title: Surname:

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First name and other initials:

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Position in organisation:

Email address:

Contact telephone number:

Continued overleaf

Section 5: Authorised Dealers (Continued)

Authorised Dealer 3

Title: Surname:

First name and other initials:

Position in organisation:

Email address:

Contact telephone number:

Authorised Dealer 4

Title: Surname:

First name and other initials:

Position in organisation:

Email address:

Contact telephone number:

Section 6: Automatic Exchange of Information (incorporating Foreign Account Tax Compliance Act (FATCA))

Instructions for completion

Tax regulations require us to collect certain information about each depositor's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. If you have any questions about how to complete this form, please contact your tax advisor.

If any of the information below about your tax residency or FATCA classification changes in the future, please ensure you advise us of these changes within 30 days.

6.1 Is your organisation a government entity or UK local authority body?

Yes Go to section 7 No Go to section 6.2

6.2 Is your organisation a registered UK pension fund?

Yes Go to section 7 No Go to section 6.3

6.3 Is your organisation a registered UK charity^[1] with trustees (or directors in the case of a charitable company) who are tax resident only in the UK and/or the US?

Yes Go to section 7 No Go to section 6.4

6.4 Is your organisation tax resident within the UK?

Yes Go to section 6.5 No Complete the table below

Please complete the table below (then go to section 6.5) in respect of your organisation indicating:

- (i) the country/ies where your organisation is tax resident and
- (ii) the tax identification number (TIN) in the country/ies of tax residence.

Country/ies of tax residency	Tax identification number	Please state why TIN not provided

Continued overleaf

Section 6: Automatic Exchange of Information
 (incorporating Foreign Account Tax Compliance Act (FATCA)) *(Continued)*

6.5 Is your organisation a financial institution ^[2] (including a professionally managed trust)?

Yes Provide GIIN in the space provided and go to section 7

No Go to section 6.6

6.6 Is your organisation an actively trading non-financial institution? Please read note 3 overleaf before answering.

Yes Go to section 7

No Go to section 6.7

6.7 Are all of the controlling persons ^[4] of your organisation resident for tax purposes only in the UK?

Yes Go to section 7

No Go to section 6.8

6.8 For each controlling person identified, e.g. anyone authorised to deal, shareholders, beneficiaries please list that person's details and the country/ies in which they are tax resident, together with any tax reference number(s) or tax identification number(s) that may be relevant.

Full Name	Date of Birth	Full Address	What makes this individual a controlling person ^[5] ^[6] ?	Country/ies of tax residency	Tax Reference/ Identification Number	Signature of controlling person

Please add additional details in continuation of table overleaf where applicable.

Continued overleaf

Section 6: Automatic Exchange of Information
 (incorporating Foreign Account Tax Compliance Act (FATCA)) *(Continued)*

Full Name	Date of Birth	Full Address	What makes this individual a controlling person ^[5] ^[6] ?	Country/ies of tax residency	Tax Reference/ Identification Number	Signature of controlling person

Each controlling person authorised to deal must also complete a self-certification and declaration. This will be provided upon receipt of this completed application form where applicable.

Go to section 7.

- [1] If your charity is not a UK one, or the trustees are tax resident in a country other than the UK, the remainder of this form must be completed.
- [2] Financial institution is defined in the OECD Common Reporting Standard www.oecd.org/tax/automatic-exchange/common-reporting-standard and the US/UK Intergovernmental Agreement www.treasury.gov/resource-center/tax-policy/treaties/Documents/FATCA-Agreement-UK-9-12-2012.pdf
- [3] Active means:
- less than 50% of gross income is passive income and less than 50% of its assets produce passive income; where passive income is broadly income earned from investments, but for a full definition see: para 126 on p196 of the OECD Commentary on the Common Reporting Standard www.oecd-ilibrary.org/deliver/9789264267992-en.pdf?itemId=/content/book/9789264267992-en&mimeType=application/pdf
 - established in its jurisdiction of residence:
 - exclusively for religious, charitable, scientific, artistic, cultural, athletic or educational purposes; OR
 - it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation exclusively for the promotion of social welfare; AND
 - it is exempt from tax, has no shareholders or members with proprietary or beneficial interest in its income or assets (even on winding up).
- [4] Controlling persons – for a trust this includes settlor, trustee, protector (if any) beneficiary or class of beneficiaries. For any other entity, it includes a shareholder and any other natural person exercising ultimate control over the investment. Controlling persons must also complete a self-certification and declaration.
- [5] A beneficiary’s details only need to be included if s/he owns or is entitled to at least 25% of the trust property.
- [6] A shareholder’s details only needs to be included if they own or control more than 25% of the shares or voting rights – or otherwise exercise control of the management, e.g. the shareholder owns less than 25% but the percentage of ownership is significantly higher than any other shareholders.

Continued overleaf

Section 7: Documentation Checklist

In some cases the Society may need additional information. This is dependant upon the nature of your business and is outlined below. Please could you ensure all required documentation is provided or it may lead to a delay in your application.

- | | |
|--|--|
| <input type="checkbox"/> Certificate of Incorporation / certificate to trade (for PLC and Non PLC customers) | <input type="checkbox"/> Proof of identity of individuals with authority to deal (government dept / independent universities & colleges / clubs & societies) |
| <input type="checkbox"/> List of shareholders / owners who own over 25% of its shares or voting rights (corporates / partnerships & unincorporated businesses) | <input type="checkbox"/> Copy of the trust deed (pension schemes & other trusts & foundations) |
| <input type="checkbox"/> List of directors / partners (corporates / partnerships & unincorporated businesses) | <input type="checkbox"/> Copy of HMRC's confirmation of the church's application for a charitable status (church bodies & places of worship) |
| <input type="checkbox"/> Names of all beneficiaries / trustees (trusts / foundations / charities / church bodies & places of worship) | <input type="checkbox"/> Completed club mandate (clubs & societies) |

How We Use Your Personal Data

The Society maintains files of personal data on individuals associated with your organisation and each transaction. For the purposes of Data Protection, Skipton Building Society is the Data Controller responsible for the collection, use, sharing, holding and protection of your personal data.

The Society respects your privacy and is committed to protecting your personal data.

The Society endeavours to ensure that all personal data is kept confidential, accurate, up to date when you advise us of any changes, available to you and held and transferred securely. The Society has a range of security measures in place to help protect your data.

The Society only collects, uses, shares and holds your personal data when we have a lawful basis that allows us to.

The Society holds personal data for a period determined by our regulatory, legal and business requirements and this will continue beyond the maturity of your deposit.

By providing your personal data and making a deposit, or entering into transactions, you will be taking steps to enter into a contract with us.

The Society uses personal data about you to:

- identify you
- process, manage and administer your applications, enquiries, deposits and transactions with us
- provide colleague training to help improve the quality of our service and for general quality assurance and communication monitoring
- prevent crime, money laundering, counter terrorist financing, carry out sanction screening, protect you and others from fraud, provide security and for public safety
- communicate with you about the deposits you hold with us
- meet our legal, regulatory, auditing, tax and accounting obligations

Who the Society Shares Your Personal Data With

To help process, administer and manage your application, deposits and relationships with us we will share your personal data, where needed, with a range of other parties including:

- your authorised representatives
- Ombudsmen and regulatory organisations whether from any domestic or foreign Regulatory Authority
- central and local government departments including HMRC
- credit reference, fraud prevention, law enforcement agencies and tracing agents
- Central Banks and other financial organisations
- Professional Counterparties, lawyers and external auditors

Your Rights

In respect of your personal data, you have rights to:

- be informed about the personal data we collect, use, share and hold about you
- request details of the personal data we hold about you
- have inaccurate or incomplete personal data corrected
- request the erasure of your personal data
- restrict the collection, use, sharing and retention of your personal data in some circumstances
- request the electronic transfer of your personal data to you or another service provider
- object to the collection, use, sharing and holding of your personal data
- complain to the Information Commissioner's Office

For more information about how we use your personal data, who we share it with and why, how long we keep it, the lawful bases that apply, and your rights and how to exercise them please refer to our full Privacy Notice at www.skipton.co.uk, call us on 0345 2661128 or write to our Data Protection Officer at Skipton Building Society, The Bailey, Skipton, North Yorkshire, BD23 1DN

Section 8: UK Money Markets Code

- Please tick to acknowledge that you agree to adhere to the principles of the Bank of England's UK Money Markets Code www.bankofengland.co.uk/markets

Section 9: Declaration and Signatures

This section should be signed by each of the Senior Officers set out in Section 3, unless the organisation is a limited company established with one official, in which case the sole Director should sign.

By signing below I confirm that I understand and accept the Terms & Conditions and that all information supplied is correct. I acknowledge that the information contained in this form and information regarding reportable account(s) may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which I may be tax resident pursuant to intergovernmental agreements to exchange financial account information with the country/ies in which this account(s) is/are maintained.

- Please tick to acknowledge that you have read and retained a copy of the Society's FSCS Information Sheet.
- Please tick to acknowledge that you have read how the Society will use your personal data as explained above.

Print Name:

Signature:

Date:

Print Name:

Signature:

Date:

