

Corporate Notice Account Application Form – Limited Companies/ Partnerships/ Clients Accounts

If you require any further assistance in completing this form please contact Penrith Building Society on 01768 863675.

To open a Penrith Building Society Corporate Notice Account just follow the simple steps below:

- Please complete application form in ink and in block capitals
- An additional application form should be completed where there are more than two signatories to the proposed account.
- Please ensure all sections are completed and all information held by Companies House is up to date and matches the details on this application form.

Supporting Documentation

- WE ARE UNABLE TO OPEN A NEW ACCOUNT WITHOUT SUFFICIENT IDENTIFICATION. We will require one document from each applicant to verify your identity. We will also perform an electronic check. We may request further identification documents if the electronic check does not confirm your identity sufficiently. Please refer to our Identification Requirements information for acceptable documents. This list is available from our website or from our Branch. If you are an existing customer we will check our records as to when your identity was last confirmed and in certain circumstances we may require further proof of your identity .
- Where none of the authorised signatories are directors at least one of the company's director's identification must be provided and verified by us.

Additional Required Information

- Any underlying beneficial owner(s) of the company including those having ownership or control of over 25% of its shares or voting rights, AND
- Those with principal control over the company's assets, eg Principal or Shadow Directors (this information can usually be found in the company accounts).
- For Partnership Accounts we will also need a copy of the partnership agreement.
- We also require verification of the Nominated Bank Account for this account. This can be any documentation issued by your Bank that confirms the account number, sort code and account name i.e. a Bank Statement.

Section 1: Account Information

Type of Account	Origin of funds
Corporate Notice Account	
The reason for opening the account, i.e. what will the account be used for?	
Opening Investment	
Electronic tranfer from Nominated Bank Account £	

Section 2: Key Contact

This is the name of the person in your business to which all communications and statements for this account will be sent.

Title	Surname
First Name(s)	Position
Correspondence Address	Contact Telephone Number
	Contact Mobile Number
Postcode	Business Email Address

Section 3: Business Details**Business Name****Companies House Registration Number****Business Telephone Number****Business Registered Office Address**

Postcode

Business Website Address**Principal Business Address (if different from Registered Office)**

Postcode**List of Directors**

Name	Contact details – telephone and email address

Section 4: Signatory Details

An additional application form should be completed where there are more than two signatories to the proposed account.

Signatory 1**Title****Surname**

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First Name(s)**Date of Birth (DD/MM/YYYY)****National Insurance Number****Residential Address**

Postcode**Date moved into current address****If less than 1 year please provide your previous address:**

Postcode**How long did you live at this address**

Years	Months

Occupation**Nationality****Country of Birth****Place of Birth****Signatory 2****Title****Surname**

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First Name(s)**Date of Birth (DD/MM/YYYY)****National Insurance Number****Residential Address**

Postcode**Date moved into current address****If less than 1 year please provide your previous address:**

Postcode**How long did you live at this address**

Years	Months

Occupation**Nationality****Country of Birth****Place of Birth**

Position within the organisation	
Email	
Telephone	
Home	
Evening	
Mobile	
Preferred Contact Method	
Post	
Email	
Telephone	

Are you related to a staff member? YES/NO

Name of Staff Member	
Relationship	

Position within the organisation	
Email	
Telephone	
Home	
Evening	
Mobile	
Preferred Contact Method	
Post	
Email	
Telephone	

Are you related to a staff member? YES/NO

Name of Staff Member	
Relationship	

* It is the Society's policy not to divulge personal/confidential information via email or telephone. All statements will be sent by email

Tax Details			
Are you a citizen ONLY of the UK?	YES/NO	Are you a citizen ONLY of the UK?	YES/NO
If NO are you are citizen of the USA?	YES/NO	If NO are you are citizen of the USA?	YES/NO
Are you a tax resident ONLY in the UK? If NO, please list the countries in which you are a tax resident below:	YES/NO	Are you a tax resident ONLY in the UK? If NO, please list the countries in which you are a tax resident below.	YES/NO

Section 5: Operation of the account

Withdrawals on this account can be made to the **Nominated Bank Account** on the authority of the specified number of signatures. (Please see section 5 of the Key Product Information sheet if this is more than one signatory) This mandate will remain in force until Penrith Building Society is notified in writing by the authorised signatories of any changes.

EITHER/ALL/OR ANY _____ TO SIGN
(Delete as appropriate)

Section 6: Underlying Beneficial Owners

There are no Underlying Beneficial Owners, please confirm by ticking this box.

There are no Principle or Shadow Directors, please confirm by ticking this box.

OR

Please provide details below for any Underlying Beneficial Owners of the company including those having ownership or control of over 25% of its shares or voting rights and those with principal control over the company's assets e.g Principal or Shadow Directors (usually found in the company accounts). An additional application form should be completed where there are more than two Underlying Beneficial Owners.

Title	Surname
First Name(s)	
Date of Birth (DD/MM/YYYY)	
Place of Birth	
Nationality	
Country of Birth	

Title	Surname
First Name(s)	
Date of Birth (DD/MM/YYYY)	
Place of Birth	
Nationality	
Country of Birth	

Residential Address		
Postcode		
Date moved into current address		
If less than one year please provide previous address		
Postcode		
How long did you live at this address		
Years	Months	
Email		
Telephone		
Home		
Evening		
Mobile		
Are you related to a staff member?		YES/NO
Name of Staff Member		
Relationship		

Residential Address		
Postcode		
Date moved into current address		
If less than one year please provide previous address		
Postcode		
How long did you live at this address		
Years	Months	
Email		
Telephone		
Home		
Evening		
Mobile		
Are you related to a staff member?		YES/NO
Name of Staff Member		
Relationship		

Section 6: Underlying Beneficial Owners Cont

Tax Details	
Are you a citizen ONLY of the UK?	YES/NO
If NO are you are citizen of the USA?	YES/NO
Are you a tax resident ONLY in the UK?	YES/NO
If NO, please list the countries in which you are a tax resident below:	

Tax Details	
Are you a citizen ONLY of the UK?	YES/NO
If NO are you are citizen of the USA?	YES/NO
Are you a tax resident ONLY in the UK?	YES/NO
If NO, please list the countries in which you are a tax resident below:	

Section 7: Interest Instructions and Nominated Bank Account details

Please refer to Key Product Information sheet for the available interest options and tick one box as appropriate.

<input type="checkbox"/>	Interest added to this account
<input type="checkbox"/>	Interest paid into the Nominated Bank Account

Nominated Bank Account details, please complete the following section and provide proof of the account – bank statement for verification purposes.

Bank Name		Sort Code	
Account Name(s)		Account No	
Bank Address			

Section 8: Terms, Conditions and Declarations

Agreement to Assign

1. By applying to open a share account on or after 1st October 2000 I/we agree with the Society and the Charities Aid Foundation ("the CAF") that I/we will assign to the CAF (or to any other charity(ies) nominated by it or by the Society under the provisions of a deed dated 29th September 2000 between the Society and the CAF, in which the case references to CAF shall include references to any other charity(ies), but to no other person) the rights to any relevant conversion benefits (defined below). This obligation will not apply to me/us if I/we fall within any class of persons which, at today's date, the Society wishes to be excluded from such obligation. This agreement is irrevocable and authorises the Society to transfer to the CAF any such benefits without further notice to me/us. I/we understand that neither the Society nor the CAF will release me/us from this agreement or vary its terms and I/we will continue to be bound by the above condition even if the Society decides at some point in the future (and announces any such decision by press release or otherwise) that it is no longer in the best interests of the Society to continue with the above assignment condition generally in respect of new members.
- 2(a). "Relevant conversion benefits" means any benefits to which I/we might become entitled as a shareholding member of the Society under the terms of any future transfer of the Society's business to a company (ie. on a conversion or takeover) which is completed at any time within the five years immediately following the date on which my/our share account is opened (or, if applicable, the shorter period as set out in the list available from the Society's Secretary). "Relevant conversion benefits" does not include the statutory right to have shares in the Society (including balances on any share accounts) converted into deposits with the company on a conversion or takeover.
- 2(b). If the Society merges with any other society, after the date of such merger the "Society" includes such other society. A list of the classes of persons which the Society currently wishes to be excluded from the obligation to assign or in respect of which shorter period applies (which list may change from time to time but not with retrospective effect) is available from the Society's Secretary at its principal office.

This is our member agreement on which we intend to rely. For your own benefit and protection you should read the declarations below carefully before signing them. Please ask a member of staff for further information on any point you do not understand.

Section 8: Declarations cont

Declarations

I/We the person(s) whose signature(s) appear on this form declare that:

- The information provided in this application is true and correct.
- The amount invested in Penrith Building Society will be held on behalf of the named Business and is the property of the Business. The investment is not made as a nominee for any other company or individual.
- I/We understand that as signatory/ies and not the beneficiary of this account I/we do not have the right to attend meetings or vote on any resolutions of Penrith Building Society. The Body Corporate, if entitled to vote, may authorise an individual (who is not a member of the Society) to act as its Corporate Representative and attend meetings and vote as outlined in the Rules.
- The Directors/Partners have carefully considered the terms and conditions for the account and have agreed to accept and comply with the terms on behalf of the business.
- I/We undertake to inform Penrith Building Society **within 30 days** of any changes in my/our/the Business circumstances, such as moving outside the UK that may affect this declaration.
- I/We confirm that I/we have received the Financial Services Compensation Scheme Information Sheet and completed the eligibility questionnaire.
- I/We have received a copy of Penrith Building Society's complaints leaflet.
- I/We agree to be bound by the Rules of Penrith Building Society.

Section 9: Resolution

I/We certify that at a meeting of the of the company, held on the DD/MM/YYYY it was resolved to apply for an Corporate Notice Account with Penrith Building Society. The company agrees to bind itself to abide by the terms and conditions of the account, a copy of which have been provided to the company for information purposes.

Before signing this form please read carefully the above declarations and the terms and conditions of this account as we will seek to rely on them.

Signed.....Date.....
Signatory 1

Signed.....Date.....
Signatory 2

If none of the listed signatories are a director of the company then a signature of a director is required to authorise the account opening. (Personal Identification will also need to be provided)

Signed.....Date.....

Section 10: Self certification declaration form for an entity

PLEASE READ BEFORE COMPLETING THIS FORM

The UK government has signed, and will be signing, a number of intergovernmental agreements to share tax information, where applicable with the tax authorities in other countries. The requirement to collect certain information about each customer's tax arrangement is part of UK legislation and as a financial institution we are legally obliged to collect it. We are asking for your entity's tax residency and tax ID numbers (where applicable) and will record this on our records now, but will only disclose the information to the relevant tax authorities if and when we are required to under UK law.

To find a list of countries that have signed information sharing agreements, please go to the OECD automatic exchange information portal <http://www.oecd.org/tax/automatic-exchange/international-framework-for-the-crs/> and <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/crs-by-jurisdiction/#d.en.345489>

Your tax residence generally is the country in which you live for more than half the year, but rules differ. Further details are available here:

www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/#d.en.347760

As a financial institution, we, Penrith Building Society, are not allowed to give tax advice. If you have any questions on how to complete this form we recommend that you speak to your tax authority (for example, HMRC in the UK) or your tax legal adviser.

ENTITY TAX RESIDENCY SELF-DECLARATION FORM

Part 1- account holder information

Legal name of entity:	
Account Number:	
Country of incorporation, organisation or registration of a trust:	
Registered address (include country):	
Mailing address (if different from above):	
Global intermediary identification number or GIIN¹ (financial institutions only):	

Part 2- entity type

1. In relation to opening this account, is the entity:

- | | | |
|--|-----|----|
| • A financial institution (including a professionally managed trust) (if so, please ensure you have provided your GIIN in the space above) | YES | NO |
| • A registered UK pension fund | YES | NO |
| • A registered UK charity ² with trustees (or directors in the case of a charitable company) who are tax resident only in the UK and or the US ³ | YES | NO |

If you answered YES to any of the above, you do not need to fill out the rest of this form.

In relation to opening this account, is the entity:

- | | | |
|---|-----------------------|----|
| • An actively trading non-financial institution | YES (if YES go to Q2) | NO |
| • A non trading investment body ⁴ | YES (if YES go to Q2) | NO |
| • Other (please specify below then go to Q2) | YES | NO |

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¹ GIINs have been required for financial institutions since 1 January 2015

² 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.

³ All UK registered charities are exempt regardless of the tax residency of their trustees.

⁴ Includes a non professionally managed trust.

2. Is the entity a resident for tax purposes only in the UK⁵? YES (go to Q5) NO (go to Q3)

3. If you answered no to question 2, please state if the entity is resident for tax purposes in the US? YES (go to Q5) NO (go to Q4)

4. If you answered no to question 3, please state if the entity is resident for tax purposes in any other country apart from the UK and US? YES (go to Q5) NO (go to Q6)

Section 10: Self certification declaration form for an entity cont

5. If the entity is a non-trading investment body, such as a non-professionally managed trust or an investment company, are all of the controlling persons⁶ of the entity resident for tax purposes only in the UK? YES (stop) NO (go to Q6)
6. If you answered no to question 4, for each controlling person identified as part of AML/KYC, please list the full names of controlling persons.

Remember each controlling person identified as part of the AML/KYC process must also complete a tax residency self certification and declaration (see *controlling persons' separate form*).

⁵ Tax residency rules for entities vary from country to country, and can be quite complicated. For instance, companies will often be tax resident in the country where they are incorporated and may also be resident in any other countries in which they conduct business, while trusts may need to consider where their trustees are resident. If there is a doubt about where an entity is tax resident, professional advice may be required.

⁶ 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 tax residency self-certification and declaration. They will be required to provide details such as the type of controlling person they are and the country or countries in which they are tax resident, together with any tax reference number(s)/tax identification number(s) that may be relevant.

Part 3 – country of residence for tax purposes

Please complete the table below in respect of the entity indicating:

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

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

Part 4- Declaration

I understand that the information I have supplied is covered by the full provisions of the terms and conditions governing _____ (insert account holders name) relationship with Penrith Building Society setting out how Penrith Building Society may use and share the information I have supplied.

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.

I certify that I am authorised to sign for _____ (insert account holders name) in respect of all the account(s) to which this form relates.

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

I undertake to advise Penrith Building Society within 30 days of any change in circumstances which affects the tax residency status of the account holder identified in Part 1 of this form or causes the information contained herein to become incorrect (including any changes to the information on Controlling Persons identified earlier), and to provide Penrith Building Society with a suitably updated self-certification and declaration within 30 days of such a change in circumstances.

Signature	
Print name	
Date	

Please indicate the capacity in which you are signing the form (for example "authorised officer")

If signing under a power of attorney please also attach a certified copy of the power of attorney.

Capacity	
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For Office Use Only

Account Number			
Signatory 1		Signatory 2	
Cust No		Cust No	
Personal ID Ref		Personal ID Ref	
Address ID Ref		Address ID Ref	
Assigned?		Assigned?	
ID Checked	Initials	ID Checked	Initials
P2P Checked	Initials		
App Form Checked	Initials		
Cert of Incorp/Cert to trade rec'd			

Cheque Details		Business Current Account		YES/NO
Issuing Bank/Building Society		Sort Code		
Account Number				

Protecting your personal information

When you open a savings account with us and as we manage that account for you, you're not just trusting us with your money – you're trusting us with your personal information too.

We care about the security of your information and we're just as committed to protecting it as we are to protecting your money. We will take good care of your personal details and won't use them in a way you wouldn't expect us to.

We are careful to make sure that we follow Data Protection legislation and the way that we do that and what it means for your personal information is detailed in our Privacy Notice.

We'll limit the information we collect about you

We'll only collect and use your information for the things we need it for, like opening and managing your accounts and relationships with us, understanding your circumstances and needs, and meeting our legal and regulatory obligations.

We won't share your information unless we need to

We won't sell your information to other companies, but sometimes we might share it as part of looking after you and your account. For example, we might give your address to a mailing house so they can deliver your account statements. When we do, we'll limit the information shared only to what's needed and check the right agreements and security are in place to manage and keep it safe.

We'll treat your information with care

The confidentiality, integrity and security of your information is important to us and we take steps to keep it safe and secure at all times.

We won't keep your information for longer than we need to

We'll keep your personal information whilst you're a customer, savings or borrowing member or have any other type of relationship with us. We also keep it after you close your account, stop using a service or end your relationship with us, for example, to answer any future queries. We'll limit the amount of time that we keep your information and not hold it for longer than we need to.

Sometimes if you're not a customer, savings or borrowing member or don't have a relationship with us and contact us, we may need to hold on to your information too. For example, if you're not a customer yet, but have asked to find out more about our products and services.

We'll be transparent with you about how we use your information

When we collect personal information from you, we'll tell you how we'll use and share it, for example, in account opening information, telephone messages and on our website.

Our full Privacy Notice can be found on our website at <https://www.penrithbs.co.uk/privacy-policy/>

Or you can request a copy to be sent to you via your preferred contact method.

You're in control

You can ask us what information we hold about you, how we use it and who we share it with. If you inform us that your information is wrong we will correct it as necessary. You can ask us to stop using or remove your personal information if there is no need for us to keep it. Again, our Privacy Notice provides more information on why we might need to keep your information.

We hope you're happy with everything, but if something goes wrong and you feel like we don't sort it out properly you can complain to us and/or our regulators.

You choose how we contact you about our products and services

We would occasionally like to provide you with details of products, services and other promotions which may be of interest to you. This may be by telephone, post or email. We will remind you of your right to alter your marketing preferences from time to time, or you may change them at any time by writing to the Society's Head Office or updating your preferences in the @PBS portal.

If you would like to receive this kind of information from us, please tick the box below:

Applicant 1

I agree to my information being used for marketing purposes

☐

Applicant 2

I agree to my information being used for marketing purposes

☐

If you change your mind about us getting in touch, it's easy to change your preferences

- Send us a secure message or update your preferences in your @PBS online banking portal
- Download and complete the preferences update form on our website
- Write to us or visit us in Branch at 7 King Street Penrith Cumbria CA11 7AR

Signed

Date

Name (please print)

Signed

Date

Name (please print)

SEPT 2023 V1.00