

BARCLAYS WEALTH INTERMEDIARIES

Corporate and Trust Application Form and Additional Terms – Barclays Bank PLC

This document forms part of the written legal agreement (“Agreement”) which seeks to define the basis upon which Barclays Bank PLC (“we”, “us”, “our”) will provide you with banking services. The Additional Terms set out the documents which comprise the Agreement.

The law favours written agreements, so it is important that you read carefully the documents setting out the Agreement to ensure that they contain everything that you want and nothing that you are not prepared to agree to. You should ensure that you have been provided with all the documents setting out the Agreement, and keep a copy of these in a safe place for future reference. If you have any queries or concerns please contact us (for contact details please refer to the Additional Terms or to Paragraph 43 of the Barclays Wealth Terms).

Part 1 – Assurance

Entity name (in full)

Name of intermediary/introducer

Address of intermediary/introducer

Name of intermediary/introducer’s regulator

Signature

Official position

Full name

Date

To be completed by the relevant person

I have reviewed the information provided on this certificate and confirm that the information provided relating to this client meets the requirements of our client acceptance policy.

Signature

Official position

Full name

Date

Part 2 – Client Information Profile (summary sheet)

Identification information

Entity name (in full)

Entity identification information

Entity address

Type of entity

Relationship information

Purpose/intended nature of business relationship

Type, volume and value of activity expected

Source of funds (Activity which generates funds for the banking relationship)

Source of wealth (activities which have generated the total net worth of the introduced client)

Details of any known existing relationships with the relevant person

Name of regulator, if applicable

Additional information:

- Ownership and control, including underlying companies (where possible please provide structure charts)
- Nature of activities and geographical sphere and countries in which the business is involved in. Please also provide a detailed description of your business
- Classes of beneficiaries (for trusts only)

Please provide more details on another sheet where necessary

Risk factors

Risk factors identified (provide details)

Is commission/consultancy fees a source of wealth?

Yes No

Is the entity connected with a high risk jurisdiction?

Yes No

Is the entity part of a complex structure? Yes No

Is the entity involved in trading? Yes No

Are bearer shares in issue? Yes No

Is the entity associated with a PEP? Yes No

Part 3 – Beneficial Owners and Controllers

Where a director or equivalent holds this role by nature of employment (or position in) a financial services business that is a regulated Jersey trust company business, a relevant person need collect only the full name of the director or equivalent and an assurance from the trust company business that the individual is an officer or employee.

Names of directors/trustees or equivalent (use additional copies of this sheet as required)

Full name	<input type="text"/>
Full name	<input type="text"/>
Full name	<input type="text"/>
Full name	<input type="text"/>
Full name	<input type="text"/>

Details of: directors (or equivalent) who have authority to operate a relationship or to give the relevant person instructions; and beneficial owners and controllers

(Please complete the sections below for each director, beneficial owner and controller - use additional copies of this sheet as required).

Beneficial owner or controller name
(Legal name, and former names [such as maiden name] and any other names used)

Details

Role

Principal residential address

Date of birth

 / /

Place of birth

Nationality

Gender

Government issued personal identification number or other government issued unique identifier

Beneficial owner or controller name
(Legal name, and former names [such as maiden name] and any other names used)

Details

Role

Principal residential address

Date of birth

 / /

Place of birth

Nationality

Gender

Government issued personal identification number or other government issued unique identifier

Beneficial owner or controller name
(Legal name, and former names [such as maiden name] and any other names used)

Details

Role

Principal residential address

Date of birth

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Place of birth

Nationality

Gender

Government issued personal identification number or other government issued unique identifier

Beneficial owner or controller name
(Legal name, and former names [such as maiden name] and any other names used)

Details

Role

Principal residential address

Date of birth

//

Place of birth

Nationality

Gender

Government issued personal identification number or other government issued unique identifier

Description of Activity

If you need to supply more information, please continue on a separate sheet and sign all additional pages.

Please provide a full description of main activities of the business, including for example, products, goods traded or services provided, and types of investment. ('Investment holding company' is not sufficient, please expand. If company has licensed activity, please provide details.)

Please tick to confirm evidence of licence attached

Please list all the countries in/with which your business activity takes place, and the approximate percentage of trade in each country. (Please provide specific country names, terms such as 'Asia', 'Europe' or 'Worldwide' are not sufficient.)

Country	Activity	Percentage
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

Trading counterparties (please give details of main counterparties and/or proposed trading counterparties):

Counterparty name	Product/Service	Approximate percentage of business with counterparty
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

Is there an existing Barclays connection for the underlying client? If so, please add in the account name, number and sort code:

Account name

Sort code - -

Account number

Estimated annual GBP equivalent turnover:

Less than £10K

£10K to £50K

£50K to £100K

£100K to £250K

£250K to £500K

£500K to £1m

£1m to £5m

£5m+

£10m+ (please specify) £

Estimated number of payments from the bank account per annum and typical value of 1:

Estimated number of credits from the bank account per annum and typical value of 1:

Account requirements

Products (tick as many as appropriate)

Current/Cheque account	<input type="checkbox"/>	Sterling	<input type="checkbox"/>
Euro	<input type="checkbox"/>	US dollar	<input type="checkbox"/>
Separate income and capital accounts			<input type="checkbox"/>
Other currencies (please specify)	<input type="text"/>		
	<input type="text"/>		
Deposit accounts (in addition to a current/cheque account)			<input type="checkbox"/>
Currency	<input type="text"/>		

Statements and stationery

Statements will be sent to your correspondence address.

If duplicate statements are required, please indicate where these should be sent:

Country

Post/zip code

Statements are normally provided quarterly.

Please specify if you require an alternative frequency

Please tick if cheque book/credit book is required (GBP only)

Client declaration

This Agreement is our standard client agreement, upon which we intend to rely. For your own benefit and protection you should read all the documents setting out the Agreement carefully before signing this section. For the avoidance of doubt, the documents setting out the Agreement include the Barclays Wealth Terms and Conditions ("Barclays Wealth Terms"), this Application Form and Additional Terms and any information as to our charges, commissions and interest rates provided by us.

If you do not understand any point, please ask for further information.

By signing this declaration, you accept and declare that:

- you wish us to provide you with banking services (please refer to Section C of the Barclays Wealth Terms and the Additional Terms);
- you have due capacity and authority to enter into this Agreement;
- any details that you have supplied are true and correct;
- we and other members of the Barclays Group may:
 - make and perform credit reference, identity, electoral register, fraud, money laundering, and other enquiries and searches in respect of you;
 - disclose your full account information to credit reference agencies, fraud prevention agencies and insurance companies. Credit reference agencies will maintain a record of our searches and the information that we provide them. If you give us false or inaccurate information, or we suspect fraud, we will record this with fraud prevention agencies. Such records and information may then be used by members of the Barclays Group and third parties: to make decisions on you or other members of your household on credit, motor, household, life and other insurance facilities (including handling any claims); for debt tracing; and to prevent fraud and money laundering. Records held by credit reference agencies may be linked to records about persons financially associated with you, which may be taken into account when assessing your application.
 - in order to make payments from your accounts, send the details of any such payment (including information relating to those involved in the payment) abroad, where they may be accessible by overseas regulators and other authorities in connection with their legitimate duties (e.g. the prevention of crime);
 - collect and use information about you as set out in Paragraph 30 of the Barclays Wealth Terms, including: collecting and using information about how you use and manage your accounts (e.g. transactions made); informing you about products and services, including those of third parties; transferring your information within the Barclays Group or to service providers located in the UK or overseas; and using information relating to your medical, health, lifestyle, and ethnic background, and criminal offences (alleged or otherwise), for the purposes of administration and product and service identification;
 - relevant only if there is more than one applicant: update records held by members of the Barclays Group or third parties on any applicants, using information given at any time by any of the other applicants; and make and perform the enquiries and searches in point (i) of this Paragraph (d) on any applicants if any of the other applicants at any time request a loan or increased lending;
- under data protection legislation, you can request certain information about you by writing to us. A fee may be charged for this service, as permitted by appropriate law or regulation;
- we may record and monitor telephone calls, for your protection and ours, to check instructions and to ensure that we are meeting our service standards.

Signature (authorised signatory)

Date

Signature (of director/partner of introducer/authorised signatory)

Date

Keeping in touch

From time to time, we and other members of the Barclays Group would like to keep you up to date about products and services which we think you will find useful. As we are concerned about the environment our aim is to use email instead of mail whenever practical. Please indicate if you would prefer not to benefit from these communications by:

Telephone Text message Email Mail

To receive details of the fraud prevention agencies from whom we obtain and with whom we record information about you, call the Barclays Information Line on 0800 400 100 (if calling from outside the UK call +44 (0)247 6842 100). Lines are open 7am to 11pm (GMT). Calls may be recorded so we can monitor the quality of our service and for security purposes.

This item can be provided in Braille, large print or audio by calling 0800 400 100* (via TextDirect if appropriate). If outside the UK please call: +44(0)1624 684 444**.

*Lines are open 8am to 8pm UK time Monday to Friday and 9am to 5pm UK time Saturday and UK bank holidays. Calls to 0800 numbers are free if made from a UK landline.

**Lines are open 8am to 6pm UK time Monday to Friday excluding UK bank holidays.

Call costs may vary – please check with your telecoms provider. Calls may be recorded so that we can monitor the quality of our service and for security purposes.

Your Feedback

If you want to complain you may do so in person, in writing, by post or e-mail, or by telephone. To obtain a copy of our complaint handling procedures, or to make a complaint, please contact your account-holding centre.

Under Data Protection legislation you have a right of access to certain personal records. Should you wish to exercise this right, please write to your account holding centre. Where permissible a fee will be charged for this service.

Barclays Wealth is the wealth management division of Barclays and operates through Barclays Bank PLC and its subsidiaries.

Barclays Bank PLC is registered in England and is authorised and regulated by the Financial Services Authority. Registered No: 1026167. Registered Office: 1 Churchill Place, London E14 5HP.

Barclays Bank PLC. Authorised by the Gibraltar Financial Services Commission to conduct banking and investment business in Gibraltar.

Barclays Bank PLC is authorised by the Central Bank of Cyprus to take deposits and carry on investment business.

Barclays Bank PLC is licensed under the Banking Supervision (Bailiwick of Guernsey) Law 1994, as amended, and the Protection of Investors (Bailiwick of Guernsey) Law 1987, as amended.

Barclays Bank PLC is licensed by the Isle of Man Financial Supervision Commission for banking and investment business

Barclays Bank PLC is regulated by the Jersey Financial Services Commission.

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BARCLAYS WEALTH INTERMEDIARIES

Additional Terms

Barclays Bank PLC (Service Account)

Each agreement you have with us (Barclays Bank PLC) for the Barclays Wealth Intermediaries Account and any other Wealth Intermediaries current accounts you open with us, is made up of these Additional Terms, the Barclays Wealth Terms and Conditions (the "Barclays Wealth Terms") and the other documents and information referred to in the Barclays Wealth Terms.

This includes agreements you have with us in each jurisdiction where we operate and for accounts in all currencies, unless we tell you otherwise when you open the account.

The Additional Terms supplement and vary the Barclays Wealth Terms and will apply if (and to the extent that) there is a conflict between them. Terms defined in the Barclays Wealth Terms have the same meaning in these Additional Terms unless we have specifically given them, or the context otherwise requires them to have, a different meaning in these Additional Terms.

Please separate these Additional Terms from the booklet and retain them for future reference.

Section D of the Barclays Wealth Terms relating to Investment services does not apply to the services contemplated by this Agreement.

- 1. Borrowing from us**
 - 1.1 Individuals and sole traders are personally responsible for any money owed to us.
 - 1.2 Joint account holders/partners are individually and jointly liable for money owed to us, unless we have agreed otherwise in writing. We have the right to demand repayment from all or any of the account holders or partners for all or part of such money.
 - 1.3 Unless otherwise agreed between us, individuals authorised to give instructions on accounts of unincorporated clubs, charities, societies and other forms of association are individually and jointly liable for money owed to us. This means that we have the right to demand repayment of the full amount owed to us, and not just a share of it, from all or any of the authorised signatories.
 - 1.4 The signatories to a limited company's or a limited liability partnership's or a limited liability company's or trust's account are not normally personally liable for money owed to us, unless they have entered into a separate agreement with us.
 - 1.5 Under the laws of certain countries (including the UK), interest payments by you in respect of borrowings from us (and sometimes other payments by you) may be subject to withholding tax, ie an obligation to deduct tax. This may, for example, depend on your country of residence, and/or on the source of the funds from which you make the payment, and/or on the location of any assets on which the loan is secured. In any case where withholding tax applies, we require the amount you pay us to be 'grossed up'. This means that your total payment must be increased so that, after you have deducted the withholding tax, we will receive the amount we would have received in the absence of a deduction. (For instance, if the interest payment due is £100 but withholding tax of 20 per cent applies, you must pay a total of £125 from which you should deduct withholding tax of £25. We therefore receive £100 after deduction of tax.) You are responsible for the payment of any withholding tax to the applicable tax authorities.
 - 2. Forward exchange contracts**
 - 2.1 Unless otherwise agreed between us any forward exchange contract you enter into with us will be for commercial purposes and, if we ask you to do so, you will transfer to us funds, and/or provide approved securities to meet the margin we think we need to cover exchange rate fluctuations.
 - 3. Cancellation rights**
 - 3.1 You have a right to cancel this Agreement or close any account you subsequently open under it within 14 days from the later of:
 - (a) the date of this Agreement or the account being opened; and
 - (b) the date on which the Barclays Wealth Terms and these Additional Terms were received by you.
 - 3.2 Cancelling the Agreement or closing the account will relieve you of all duties and obligations arising from the Agreement, or account. You will not incur any cancellation fee, charge or penalty except for any shortfall (where we carry out transactions on your behalf during the cancellation period you will bear the applicable market risk).
 - 3.3 If you wish to cancel the Agreement or close the account, you must send a notice in writing to your usual Barclays Wealth contact (you may not use email or other electronic communications, unless we have agreed otherwise).
 - 3.4 If you do not exercise the right to cancel, the Agreement will remain in effect until otherwise terminated in accordance with its terms.
 - 3.5 If you decide to cancel the Agreement or close the account, termination will be subject to the termination provisions of the Barclays Wealth Terms.
 - 4. Complaints/dispute resolution**
 - 4.1 If you have a complaint, your Relationship Manager will usually be best placed to receive your complaint and work with you to resolve it. If your complaint is not resolved to your satisfaction, you should inform your Relationship Manager and they will escalate your complaint accordingly.
 - 4.2 If you have a dispute or difference with us, you should use our internal dispute resolution procedures first. If the dispute or difference cannot be resolved in that way, either of us may refer the matter to mediation in accordance with the Centre for Dispute Resolution (CEDR) model mediation procedure which forms part of this Agreement.
- Financial Ombudsman Service (Accounts in the UK only)**
- 4.3 If we are unable to resolve your complaint in a timely or satisfactory manner, and if you are an eligible complainant with an account in the UK, you may be able to refer your complaint to the Financial Ombudsman Service, South Quay Plaza, 183 Marsh Wall, London E14 9SR (Tel: 0845 080 1800). The Financial Ombudsman Service is an organisation set up by law to give consumers a free and independent service for resolving disputes with financial firms. Details of those who are eligible complainants can be obtained from the Financial Ombudsman Service or your usual contact at Barclays Wealth.

Financial Services Ombudsman Scheme (Accounts in the Isle of Man only)

- 4.4 If we are unable to resolve your complaint in a timely or satisfactory manner, and if you are an eligible complainant with an account in the Isle of Man, you may be able to refer your complaint to the Financial Services Ombudsman Scheme, Government Buildings, Lord Street, Douglas, Isle of Man, IM1 1LE (Tel: +44(0) 1624 686500). The Financial Services Ombudsman Scheme is an organisation established under Schedule 4 of the Financial Services Act 2008 (of Tynwald) to give consumers a free and independent service for resolving disputes with financial firms. Details of those who are eligible complainants can be obtained from the Financial Services Ombudsman Scheme or your usual contact at Barclays Wealth.

Financial Services Compensation Scheme (FSCS) (Accounts in the UK and Cyprus only)

- 4.5 We are covered by the FSCS, established under the Financial Services and Markets Act 2000. The FSCS provides compensation in certain circumstances where an FSA-authorized firm is unable to meet its liabilities to clients. Under the FSCS payments to depositors are limited to 100% of the first £50,000. The FSA reviews these limits from time to time. The amounts listed here are currently in force at the date of this publication. For the most up-to-date amounts, please contact the FSA or the FSCS.
- 4.6 Further information about the FSCS and those who are eligible claimants under the FSCS may be obtained from your Relationship Manager, other Barclays Wealth Contact or from:

The Financial Services Compensation Scheme
7th Floor, Lloyds Chambers
1 Portsoken Street
London E1 8BN
Tel: +44 (0)20 7892 7300
Fax: +44 (0)20 7892 7301
www.fscs.org.uk

Depositors' Compensation Scheme ("DCS") (Accounts in the Isle of Man only)

- 4.7 The DCS compensates people who have money in current and deposit accounts in the Isle of Man with up to £50,000 of net deposits (ie loans may be netted off against any deposits you have with the same deposit taker) per individual depositor or £20,000 for most other categories of depositor. Cover is calculated per depositor, per deposit taker, if this bank fails. This means that a maximum of £50,000 compensation is payable per individual and a maximum of £20,000 for companies, trusts etc.

Bank Depositors Compensation Scheme ("BDCS") (Accounts in Jersey only)

- 4.8 The BDCS is due to be set up towards the end of 2009 to compensate eligible depositors who have a deposit held by a Jersey registered bank in an account in Jersey. The maximum amount of compensation that an eligible depositor may be paid is £50,000 per eligible depositor, per Jersey banking group irrespective of whether the eligible depositor is resident in Jersey. Please ask your usual Barclays Wealth contact for details of when the scheme comes into force.

Banking Deposit Compensation Scheme ("BDCS") (Accounts in Guernsey only)

- 4.9 The BDCS compensates depositors who have a qualifying deposit with a Guernsey licensed bank in an account in Guernsey. The maximum amount of compensation that an eligible depositor may be paid is £50,000 per eligible depositor, per Guernsey banking group irrespective of whether the eligible depositor is resident in Guernsey, subject to a maximum aggregate limit in respect of the BDCS of £100 million in any 5 year period.

Deposit Guarantee Scheme ("DGS") (Accounts in Gibraltar only)

- 4.10 The DGS covers 90% of total liability to depositors (with some designated exceptions) who have money (denominated in Euros or the currencies of any of Denmark, Iceland, Norway, Sweden, United Kingdom, in current and deposit accounts in Gibraltar with Barclays Private Client International (Gibraltar) Limited subject to a maximum payment to any one individual of £18,000 (or EURO 20,000, if greater). Cover is calculated per depositor, per deposit taker, if this bank fails. Liability to a depositor is the aggregate of all accounts held by that depositor, including that depositor's share in a joint account or a client account. Joint accounts are divided equally between its holders in the absence of any other indication of the share of each account holder. Partnerships or similar association are treated as one depositor. Deposits held by trustees are treated as one depositor, unless each beneficiary can be identified separately as having a separate right under the trust before the relevant date. Certain deductions can be made.
- 4.11 Further information about the DGS and those who are eligible claimants under the GDS may be obtained from your Relationship Manager, other Barclays Wealth Contact or from:

The Gibraltar Deposit Guarantee Board
c/o Financial Services Commission
PO Box 9401
Gibraltar
or from the DGS website at www.gdgb.gi



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