

# Investec OEIC application form

**For individual investors**



**This application form should only be completed by individual investors.**

This Form can be used by individual investors to make an initial lump sum and/or regular savings investment in the Investec OEIC fund range. Please ensure that you read the Prospectus, the Key Investor Information Document (KIID) for the share class of the fund(s) you want to invest in and the Supplementary Information Document (SID), which includes the Terms and Conditions for Direct Investors. If you are a US person we will not be able to accept your application.

**Financial intermediaries**

If a financial intermediary has arranged this application, commission may be payable to them if advice has not been given.

**Investec Client Services Team**

Telephone: +44 (0)20 7597 1900  
Email: enquiries@investecmail.com

**Please complete, where relevant, ALL sides of the form in BLOCK CAPITALS and return to: Investec Fund Managers Limited, PO Box 9042, Chelmsford, CM99 2XL.**

For hand and courier deliveries only, please return to: Investec Fund Managers Limited, Adams House, 2 Springfield Lyons Approach, Chelmsford, Essex, CM2 5LG.

**Application checklist**

- Have you completed the sections applicable to you as detailed in the section 'How to complete this form'?
- If this form is submitted via a financial intermediary, has Section 9 been completed by that financial intermediary?
- If you are paying for your investment by cheque have you made your cheque payable to Investec Fund Managers Limited?
- If you want your redemption proceeds to be paid directly to your bank account have you provided the verification documentation as required in Section 4?
- Have you signed and dated the declaration in Section 8?
- If you would like access to our online valuation service, have you supplied your email address in Section 2? If you elect to do so, we will email you with instructions on how to access this service.
- If you are investing through our regular savings plan, have you completed the attached direct debit form?
- For details of available Funds in the Investec OEIC Fund range, including available share classes and minimum investment limits for each share class in each Fund, please refer to the Funds/ Prices & Performance page on our website ([www.investecassetmanagement.com](http://www.investecassetmanagement.com)).

**How to complete this form**

To ensure your application is processed, please complete all mandatory sections; 1, 3, 4 (if applicable), 5 (if applicable), 6, 7 & 8 of this application form and return to us at the address specified.

**Please refer to the 'How to complete this form' section on page 2 and complete the below sections, in BLOCK CAPITALS, as applicable.**

### 1. Investor details

You must complete this section. All fields within this section are mandatory, your application form cannot be processed without this information. For joint accounts, up to four investors can be registered. If you need to add additional investors (i.e. a maximum of two more) please provide their details on a separate sheet of paper (full names, address details and signatures). If you are applying on behalf of a child, please note that shares cannot be held in the name of anyone aged under 18 years. They may however be held in an adult's name designated with the child's initials.

#### First investor details

Title	First name(s)	Surname
Residential address		Postcode
Contact telephone number (if available)	Date of birth DD / MM / YYYY	
Investec account number (if applicable)	Designation (if applicable)	
Email address (if available)		

#### Second investor details (if applicable)

Title	First name(s)	Surname
Residential address		Postcode
Contact telephone number (if available)	Date of birth DD / MM / YYYY	
Investec account number (if applicable)		

### 2. Indicator online valuation service

If you would like to register for Indicator, Investec's free online valuation service, please supply your details below and tick here.

Title	First name(s)	Surname
Email address		

### 3. Investment details

Please enter below the Fund name(s), share class and share class type(s) that are to be invested in and the amount(s) to be invested. If you do not specify this information the application may be rejected.

For details of available Funds in the Investec OEIC Fund range, including available share classes and minimum investment limits for each share class in each Fund, please refer to the Funds/ Prices & Performance page on our website ([www.investecassetmanagement.com](http://www.investecassetmanagement.com)).

Notwithstanding any indication of a share class type\*, if a Fund you have selected only issues one share class type you will automatically receive that share class type. If you do not mark any share class type box below you will automatically be invested in Accumulation shares. Where available, if you elect to receive either Income or Income 2 share class types please see Section 4 and provide your bank details for the payment of any income to be made directly to your bank account. If you do not provide these details you will automatically be invested in the Accumulation share class type.

\*Accumulation ('Acc'), Income ('Inc') or Income 2 ('Inc2')

To invest by monthly instalments into the Regular Savings Plan, please enter below the amount of your Direct Debit, to be applied for each fund, in the regular savings column. Please note that all investments made through the Regular Savings Plan will be in 'A' Acc GBP Net Share Classes. Your initial payment must be made by enclosing a personal cheque. You must also complete the Direct Debit Form and return it to us with this properly completed application form. Monthly contributions will be collected from your Bank or Building Society account on the first business day of each month.

Continued overleaf

Full names of chosen fund(s)	Share class	Share class type			Lump sum amount	Regular savings amount min. £100**
		Acc	Inc	Inc2		
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____

Make your cheque payable for this amount to: Investec Fund Managers Limited. Total £ \_\_\_\_\_

\*\*Applications to invest in the Investec OEIC funds via the regular savings plan with this application form will be in 'A' Acc GBP Net Share Classes. Minimum investment limit for monthly savings is £100.

#### 4. Bank mandate for income distribution and/or redemption proceeds

Please complete this section if you wish to have either income distributions and/or redemption proceeds paid directly to your bank account.

**Income distributions:** If you have indicated in Section 3 that you wish to invest in Income or Income 2 shares you **must** complete this section with your bank details. If you do not provide your bank details in this section, then you will automatically be invested in Accumulation shares until such time as you provide your bank details to us.

**Redemption proceeds:** If you do not complete this section then any future redemption proceeds will be paid by cheque. The payment of redemption proceeds is subject to Investec having verified your identity. In certain circumstances we may need to request additional information to verify your identity. If this is necessary we will write to request the information and this may delay the payment of your proceeds.

Please note, we do not make any third party payments. The bank account indicated must be in the name of the investor and we will only make income payments and redemption payments, as applicable, to this account.

Redemption payments will only be made directly into your bank account in this way if the details you provide are the same as those previously supplied. We can only make redemption payments by electronic bank transfer if we hold proof of your bank account on file.

**For redemption proceeds to be paid directly to your bank account we will need to receive from you one of the following documents in order to verify your bank account details; a spoiled cheque, bank pay in slip or an original bank statement less than three months old.** Please contact us if you are unsure of whether we hold your current bank details.

Bank/building society name		_____
Branch address		_____
	Postcode	_____
Account holder name	Sort code	_____
Bank/building society account number	Building society roll number	_____

#### 5. Beneficial owner

Please tick the applicable box below to confirm that you will be the beneficial owner(s) of this investment. A beneficial owner is an individual who ultimately owns, controls or stands to benefit from 25% or more of the investment.

Yes  No

If you ticked **no** please provide **all** the required information about the beneficial owner(s) below. If there are more than two beneficial owners, please provide their details on a separate sheet of paper (full names, address details and date of birth).

##### First beneficial owner

Name of person		_____
Date of birth	DD / MM / YYYY	_____
Permanent residential address		_____
	Postcode	_____

##### Second beneficial owner

Name of person		_____
Date of birth	DD / MM / YYYY	_____
Permanent residential address		_____
	Postcode	_____

**6. Tax residency self-certification**

Tax regulations<sup>1</sup> require us to collect information about each investor’s tax residency<sup>2</sup> and tax classifications. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with Her Majesty’s Revenue & Customs (HMRC) who may in turn share this information with any or all participating tax jurisdictions<sup>3</sup>. Please complete all sections below as directed. If you have any questions about your tax residency<sup>2</sup>, please contact your tax advisor. Should any information provided change in the future, please ensure you advise us of the changes promptly. As explained in Section 1, up to four holders can be registered. If additional holders are detailed separately then their tax residency self-certification(s) will also be required, please provide these details on the Investec OEIC Tax Self-Certification form which can be found on our website (www.investecassetmanagement.com).

Please indicate all countries in which you are tax resident and your associated Tax Identification Number(s)\* (if applicable) in the table below.

**Principal named investor**

**Second joint investor (if applicable)**

\*This is usually the National Insurance Number or Social Security Number.

**Tax residency explanatory notes**

1. The term “tax regulations” refers to the International Tax Compliance Regulations 2015 which implements the Foreign Account Tax

Country/countries of tax residency	Tax Identification Number

Compliance Act (FATCA) and the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (CRS).

Country/countries of tax residency	Tax Identification Number

- 2. In general, you are tax resident where you are liable to taxes, based on where you live and work permanently although different jurisdictions have different rules in relation to tax residency. If in doubt, please contact your tax adviser.
- 3. Those countries that have agreed to exchange information under FATCA and the CRS<sup>1</sup>.

**7. Declaration**

By signing below you declare that:

- I am/we are 18 years of age or over.
- I/we apply to make the investment(s) in the fund(s) specified in Section 3.
- I/we have received and read an up-to-date version of the Prospectus, the Key Investor Information Document(s) for the fund(s) and share class(es) in which I/we wish to invest and the Investec Supplementary Information Document (‘SID’) (which includes Investec’s Terms & Conditions for Direct Investors in the OEICs).
- I/we agree that the information provided as part of this application form, will be treated in accordance with the Privacy Notice (available at investecassetmanagement.com).
- I am/we are not a US person and will inform Investec immediately if I/we should ever become a US person.
- The information provided on this form is, to the best of my/our knowledge and belief, accurate and complete.
- I/we agree to notify Investec Fund Managers Limited immediately in the event the information I/we have provided on this form, including Beneficial Ownership (Section 5) and Tax Residency Self-Certification (Section 7), changes.

**Principal named investor signature**

	Date DD / MM / YYYY
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Name (please print)

**Second joint investor signature**

	Date DD / MM / YYYY
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Name (please print)

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### 8. Financial intermediary declaration and undertaking

**(Please ignore this section if you are not a financial advisor)**

If this form is submitted via a Financial Intermediary, then this section must be completed by that Intermediary. By completing this section you are confirming that you have received, read and are bound by Investec's Intermediary Terms of Business.

Company name

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Contact name

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Branch address

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Post code

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FCA number

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Investec agent code (if available)

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**Please tick the applicable box in either Part 1 or Part 2 below\*.**

I/we confirm:

**Part 1** – Advice has been given in respect of this application and NO commission can be paid.

**Part 2** – Advice has NOT been given in respect of this application and commission can be paid.

I/we represent and warrant that this application form is submitted on terms that require commission to be paid by Investec and that I/we am/are permitted to receive such commission under the FCA Rules. I/we undertake to notify Investec immediately if this commission ceases to be permitted under the FCA Rules. In this case I/we agree that such remuneration will cease to be payable and I will repay any such remuneration I have received.

\*If Part 2 is not ticked then no commission will be paid.

**Signature**

	Date DD / MM / YYYY
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Full name (please print)

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Position (please print)

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# Investec Direct Debit Form

## Direct Debit Instruction

Investec Client Services Team Telephone: +44 (0)20 7597 1900

### The Direct Debit Guarantee

This Guarantee should be detached and retained by the payer.



- This Guarantee is offered by all Banks and Building Societies that take part in the Direct Debit Scheme. The efficiency and security of the Scheme is monitored and protected by your own Bank or Building Society.
- If there are any changes to the amount, date or frequency of your Direct Debit Investec Fund Managers Limited will notify you 14 working days in advance of your account being debited or as otherwise agreed. If you request Investec Fund Managers Limited to collect a payment, confirmation of the amount and date will be given to you at the time of the request.
- If an error is made in the payment of your Direct Debit, by Investec Fund Managers Limited or your bank or building society you are entitled to a full and immediate refund of the amount paid from your bank or building society.
- If you receive a refund you are not entitled to, you must pay it back when Investec Fund Managers Limited asks you to.
- You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify us.
- If the amounts to be paid or the payment dates change, you will be told of this in advance of the collection, by at least 14 days, as agreed.
- If an error is made by us or your Bank/Building Society, you are guaranteed a full and immediate refund from your branch of the amount paid.
- You can cancel a Direct Debit at any time, by writing to your Bank or Building Society. Please also send a copy of your letter to us.

### Important information

If you wish to invest by monthly instalments into the Regular Savings Plan please ensure you complete the Direct Debit Instruction below and return it with your completed OEIC application form to the address detailed below.

### Instruction to your bank or building society to pay by Direct Debit



Please fill in the form and send to:  
Fund Centre, Investec Fund Managers Limited. PO Box 9042, Chelmsford CM99 2XL

1. Name of bank/building society

To: The Manager bank/building society

Address

Post code

2. Account name(s)

3. Branch sort code

4. Account number

Service user number

**800289**

5. Reference

6. Instruction to your Bank or Building Society

Please pay Investec Fund Managers Limited Direct Debits from the account detailed in this Instruction subject to the safeguards assured by The Direct Debit Guarantee. I understand this instruction may remain with Investec Fund Managers Limited and, if so, details will be passed electronically to my bank/building society.

### Signature

	Date DD / MM / YYYY
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Banks and building societies may not accept Direct Debit instructions for some types of account.

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