

Direct and ISA Application Form

This Application Form is for Investment Plans.

This form can also be used when reinvesting proceeds from a maturing Investec Plan.

Applications must be received by the closing date 31 July 2020.

Please return your completed Application Form to:
Investec Structured Products
PO Box 914
Newport
NP20 9PE



Investec use only: _____

This application is for Direct and ISA investments into our Investment Plans.

This form can also be used when reinvesting proceeds from a maturing Plan.

This form is to be completed by the investor.

Please use **BLOCK CAPITALS** and **BLACK INK** and read the guidance notes below to help you complete your application.

Please note ISAs are restricted to UK tax resident individuals only.

Please note if you are a non-UK resident, you must be aged 18 or over and resident in Jersey, Guernsey or the Isle of Man.

If you have any questions about our Plan(s) and the Terms and Conditions please speak to your financial adviser before completing this Application Form.

Guidance notes for completing your Application Form

Section 1 – Personal details

Please fill in all of your personal details, including joint holder information (if applicable) and your Bank or Building Society account information.

Section 2 – New investments

This section must be completed for all new investments. From the list provided select the Plan(s) and state the Direct and/or ISA amount you would like to invest.

Section 3 – Maturing re-investment – Investec Structured Products Plans only

This section is for re-investment from a maturing Investec Structured Products Plan. From the list provided select the Plan(s) and state the amount you would like to invest. Any additional investment amounts and investments where you are re-investing into an ISA for the current tax year should be completed within Section 2 New investments.

Section 4 – Additional investment options

Complete this section if you are investing on behalf of a child or as a gift. Please note monies transferred between spouses for Investment are classified as Gifts.

Section 5 – Investment Plan(s) declaration

Please read the Declaration.

Section 6 – Using your information

This section of the declaration includes information on Data Protection and how Investec may use your details.

Section 7 – Fee arrangement

Please disclose any fee arrangement you have agreed with your financial adviser.

Section 8 – Your signature

Please sign the Application Form.

Adviser section – Your financial adviser will need to fill in the section noted 'for adviser use only'.

Section 9 – Application checklist for Investors and Advisers

Please ensure you have completed and signed all relevant sections. If you do not complete all relevant sections your application may be rejected.

Once you have completed all relevant sections please return your signed Application Form to your financial adviser who will send it to:

Investec Structured Products
PO Box 914
Newport
NP20 9PE

If you have any questions regarding the application process please speak with your financial adviser or call 0344 892 0942.

1. Personal details

Tell us about yourself

Title (Mr/Mrs/Miss/Ms/Other)

Date of birth

Male

☐

Female

☐

Surname

Full forename(s)

Country of birth

Place of birth

Nationality

Citizenship

Permanent residential address

Postcode

Telephone number (daytime)

Nature of business/occupation

National Insurance (NI) number

(You should be able to find your NI number on a payslip, form P45 or P60 or a letter from HM Revenue & Customs, a letter from the DWP (Department for Work and Pensions), or pension order book).

1. Are you resident in the UK for tax purposes?

Yes

☐

No

☐

2. Are you a US citizen?

Yes

☐

No

☐

3. Are you resident for tax purposes in any other country?

Yes

☐

No

☐

In the event you have answered Yes to Questions 2 or 3 above, please provide the Country and Tax Identification Number (TIN) details in the following sections. A TIN is the tax reference number issued to you by the tax office in the country where you are resident for tax purposes. Where a country does not issue a TIN, please provide an equivalent number.

Country

Tax Identification Number

Country

Tax Identification Number

Payment details

This section must be completed in order for us to make income or maturity payments into your account.

Please note we are unable to accept instructions for payments to third parties.

Payments can only be made electronically to an account with a Bank or Building Society within the UK clearing system. Please refer to the relevant Plan brochure for the payment structure.

Bank/Building Society

Account to be credited (for example, MR & MRS A JONES)

Bank sort code

- -

Full account number

(Normally 8 digits occasionally 7)

Building Society reference or roll number

Source of funds – what has created/is generating the funding with which you are opening this Plan:

☐ Savings

☐ Pension

☐ Salary

☐ Maturing Investments or Encashment Claim

☐ Share/Asset Sale

☐ Property Sale

☐ Company Profits

☐ Inheritance

☐ Loan

☐ Divorce Settlement

☐ Gift

Other

Source(s) which originally created your wealth and significantly contributed to your wealth since? (This may be the same as the Source of funds.)

☐ Savings

☐ Pension

☐ Salary

☐ Maturing Investments or Encashment Claim

☐ Share/Asset Sale

☐ Property Sale

☐ Company Profits

☐ Inheritance

☐ Loan

☐ Divorce Settlement

☐ Gift

Other

Joint Holders – this section is ONLY applicable for direct investments

The Joint Holder must complete this section.

Title (Mr/Mrs/Miss/Ms/Other) _____ Date of birth

d	d	m	m	y	y	y	y
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 Male ☐ Female ☐

Surname _____

Full forename(s) _____

Country of birth _____

Place of birth _____

Nationality _____

Citizenship _____

Permanent residential address _____

Postcode _____

Nature of business/occupation _____

National Insurance (NI) number

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 (You should be able to find your NI number on a payslip, form P45 or P60 or a letter from HM Revenue & Customs, a letter from the DWP (Department for Work and Pensions), or pension order book).

1. Are you resident in the UK for tax purposes? Yes ☐ No ☐

2. Are you a US citizen? Yes ☐ No ☐

3. Are you resident for tax purposes in any other country? Yes ☐ No ☐

In the event you have answered Yes to Questions 2 or 3 above, please provide the Country and Tax Identification Number (TIN) details in the following sections. A TIN is the tax reference number issued to you by the tax office in the country where you are resident for tax purposes. Where a country does not issue a TIN, please provide an equivalent number.

Country

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 Tax Identification Number _____

Country

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 Tax Identification Number _____

2. New investments

Select your Plan(s)

Please select the Plan(s) you wish to invest into from the list provided and insert the relevant amount. You may invest in more than one Plan on the same Application Form.

I apply to subscribe the following amount as a direct investment or as all or part of my ISA allowance into the Plan(s) selected below (minimum £3,000 and maximum £3,000,000 per Plan, subject to ISA limits).

If you wish to fund your 2020/21 ISA subscription with any non-ISA proceeds from your maturing Investec Plan please specify the additional amount in this section and ensure the Maturing Investec Plan number is listed in Section 3.

Investment Plans

- FTSE 100 Enhanced Kick-Out Plan 94
- FTSE 100 Step Down Kick-Out Plan 37
- FTSE 100 8 Year Kick-Out Plan 3
- FTSE 100 8 Year Defensive Kick-Out Plan 3

Direct investments		Stocks and shares ISA for tax year 2020/21. For UK tax resident individuals only	
£		£	
£		£	
£		£	
£		£	

Method of Payment

☐ Cheque Or ☐ Electronic

Bank Details

Account title I N V E S T E C B A N K P L C H O L D I N G

Sort code 4 0 – 0 2 – 5 0 Account number 4 1 3 4 0 7 9 4

Cheques should be made payable to “Investec Bank plc”. Bankers drafts or Building Society cheques must be made payable to “Investec Bank plc reference (your name)”. Application Forms with post dated cheques will not be accepted.

3. Maturing re-investment – Investec Structured Products Plans only

Select your Plan(s)

Please select the Investec Structured Products Plan(s) you wish to invest into from the list provided and insert the relevant amount. Please complete this section if you have a maturing Investec Structured Products Plan. Where you wish to reinvest the full maturity proceeds into a Plan please write ‘FULL AMOUNT’ in the relevant subscription box below. You must insert your maturing Investec Plan number(s) in the ‘Maturing Investec Plan number’ box below. **Where you wish to add to your re-investment, or if you wish to fund your 2020/21 ISA subscription with any non-ISA proceeds from your maturing Investec Plan please specify the additional amount in Section 2.**

Maturing Investec Plan number

Investment Plans

FTSE 100 Enhanced Kick-Out Plan 94
FTSE 100 Step Down Kick-Out Plan 37
FTSE 100 8 Year Kick-Out Plan 3
FTSE 100 8 Year Defensive Kick-Out Plan 3

Direct investments

£		£	
£		£	
£		£	
£		£	

For reinvesting ISA
proceeds from your
maturing Investec Plan.
For UK tax resident
individuals only

Partial Encashments

Where you wish to part encash your maturity proceeds, please state the amount you wish to receive back as cash here.

£

4. Additional investment options

On behalf of a child – this section is ONLY applicable for direct investments

For direct investments on behalf of a child, the adult signing the form acts as a nominee of the child.

Title (Miss/Master)

Child's date of birth

d	d	m	m	y	y	y	y
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Child's surname

Child's full forename(s)

Gift from another – applicable to all investments where the funds have been gifted to the applicant

Please tick to confirm you have gained consent for this information to be used and disclosed to us ☐

Gift provider name

Date of birth

d	d	m	m	y	y	y	y
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Relationship

Signature: X

Date

d	d	m	m	y	y	y	y
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Print name

For IFA use – please provide identity verification checks for all parties, using the 'Confirmation of Verification and Identity' form on our website.

5. Investment Plan(s) declaration – Investment Plans, Direct and ISA

Read thoroughly

Applicable to direct investment applicants only

I declare that: as set out in the Personal Details section, I am 18 years of age or over, and either: (a) resident in the UK for tax purposes and that I am not acting on behalf of a Non-UK tax resident; or (b) resident of the Isle of Man, Guernsey or Jersey.

Applicable to all stocks and shares ISA applicants

I apply to subscribe for a stocks and shares ISA for the tax year 2020/21 and/or reinvest my cash ISA or stocks and shares ISA proceeds.

I declare that:

1. All subscriptions made, and to be made, belong to me.
2. I am 18 years of age or over.
3. I have not subscribed, and will not subscribe, more than the overall subscription limit in total to a cash ISA (this includes a Help to Buy ISA), stocks and shares ISA, an innovative finance ISA and a Lifetime ISA in the same tax year.
4. I have not subscribed, and will not subscribe, to another stocks and shares ISA in the same tax year that I subscribe to this stocks and shares ISA.
5. I am resident in the United Kingdom for tax purposes or, if not UK tax resident, either perform duties which, by virtue of Section 28 of Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform Investec Bank plc if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.
6. I have read and understood the ISA Terms and Conditions.

For all applicants

I declare that:

- a) I am neither in the United States nor a U.S. Person (as defined in Regulation S under the U.S. Securities Act of 1933, as amended, or as defined in the U.S. Internal Revenue Code of 1986, as amended).
- b) I have received the FSCS Information Sheet that was provided with this application form.
- c) I have read and understood the Key Information Document and Plan brochure(s), including Plan risks and selling restrictions, and the Terms and Conditions under which the Plan(s) will be managed.

I authorise Investec Bank plc:

1. To hold my cash subscription, ISA investments, direct investments, interest and any other rights or proceeds in respect of those investments and any other cash and to make on my behalf any claims to relief from tax in respect of ISA investments.
2. Upon my written request to transfer or pay to me any amounts, as determined in accordance with the Terms and Conditions of my Plan(s), realised on or deriving from, as the case may be, ISA investments and/or direct investments including all rights and proceeds in respect of such ISA investments or direct investments.
3. To supply me with an annual Plan statement.

I/We agree to comply at all times with any request from Investec Bank plc to provide additional information and or documentation related to my/our tax status within the timescale specified by Investec Bank plc in its request.

You agree that your monies will be used to purchase securities issued by the relevant Issuer, as specified in the Plan brochure. You acknowledge that the Plan Manager will only provide an annual statement on the value of your Plan(s).

If you require further information or do not understand at any point please speak to your financial adviser prior to signing this Application Form.

Once you have read the above, please sign in Section 8.

6. Using your information

Uses of your data

Investec Bank plc and its subsidiaries ('Investec') recognise and respect the privacy and data protection rights of individuals with regards to personal data (i.e. information that directly or indirectly identifies an individual). We may use your personal data to provide you with (including but not limited to) services you request from us, manage your accounts, make decisions, detect and prevent fraud, for analysis and assessment and/or to ensure that we comply with legal and regulatory requirements.

For further details as to how Investec uses your information, please refer to our Data Protection Notice which is available at the following link www.investec.com/cib-dataprotection

All enquiries, requests or concerns relating to the processing of your personal data and/or to ask for a printed copy of the Data Protection Notice, should be sent to the Data Protection Officer at Investec Bank plc, 30 Gresham Street, London EC2V 7QP or by email to dataprotection@investec.co.uk

Marketing

Investec Corporate Investment Bank may contact you periodically by telephone and/or post to provide information regarding events, products, services and content that may be of interest to you, unless you advise us that you do not wish to receive marketing or market research communications from us.

Please confirm if you are happy to receive marketing or market research communications from us by email or other electronic means by ticking the box below:

☐ I consent to receive marketing by email or other electronic means.

If you wish to stop receiving marketing or market research communications from Investec Corporate Investment Bank you can click on the unsubscribe link in the marketing communication or contact the Data Protection Officer as described above.

7. Fee arrangement

Tell us about your fee arrangement

You may incur fees for the services received from your financial adviser. Your financial adviser will explain how much this will cost and together you must agree how you will pay for it. This could be a set fee paid upfront or alternatively it can be deducted from your initial investment.

Please state what you have agreed with your financial adviser:

I confirm that:

☐ Fees have been settled directly with my financial adviser.

Or

☐ I would like Investec Bank plc to deduct the fee stated below from the amount I invest and pay it to my financial adviser:

Fee to be taken: £ Or % (please state amount or %)

***Please note: If applying for both ISA and direct investments, the fee will be deducted from the direct investment only, unless advised otherwise.**

If you are applying for more than one direct investment, please state how you wish the fee to be split in the boxes below:

Any payment we make to your financial adviser in respect of fees they charge you, is inclusive of any applicable VAT.

Plan name	Fee	£	%
Plan name	Fee	£	%
Plan name	Fee	£	%

8. Your signature

Please sign

You confirm that you have read and agreed to the declaration as set out in Section 5, and have discussed and agreed the Adviser Fee detailed in Section 7.

Please note all applications must be received by Investec Administration before 5pm on 31 July 2020.

I declare, to the best of my knowledge and belief, that the information given in this Application Form is true and correct and that I will inform Investec Bank plc within 30 days of any change in my circumstances affecting any of the information contained in this Application Form.

Signature:	Date
Print name	
I have attached a copy of my passport or identification issued by the state* ☐	
Joint Holder if applicable	
Signature:	Date
Print name	
I have attached a copy of my passport or identification issued by the state* ☐	

* For residents in Jersey, Guernsey and the Isle of Man only.

Adviser section

Financial adviser use only – MANDATORY

Please ensure you have registered a fully completed Terms of Business. Failure to do so will result in this application being rejected.

Please note that you must be qualified to FCA Level 4 standard to provide advice on our Investment Plans.

For the application to be processed ALL sections must be completed.

Name of registered individual

Name of company

Address

Postcode

Telephone number

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Email address

Are you a member of a network? Yes ☐ No ☐ If yes, are you directly authorised ☐ or an authorised representative? ☐

Name of network

Local regulator, e.g. FCA, FSC

Company's Financial Services Register reference number

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Principal's Financial Services Register reference number (if applicable)

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I confirm that I have provided the customer with the Key Information Document for this/these product(s) ☐

Have you provided the customer with investment advice in relation to these product(s) in accordance with the guidance set out in the Plan brochures.

Yes ☐ No ☐

If 'No', how has the investment been taken out (e.g. execution only)*?

*If further space is required for your answers please attach the additional information on a separate sheet.

Under our Terms of Business the Intermediary is responsible for assessing the suitability and/or appropriateness of Investec products for potential clients.

Have these checks been completed? Yes ☐ No ☐

Verification of identity

I confirm that:

- a) The information in Section 1 to 4 was obtained by me in relation to the customer(s);
- b) The bank details provided in Section 1 belong to the customer(s);
- c) The payment has come from a bank account in the name of the customer(s) (for new business only);
- d) If gift from another, the payment has come from a bank account in the name of the gift provider;
- e) The evidence I have obtained to verify the identity of the customer(s): meets the standard evidence set out within the guidance Notes for the UK Financial Sector issued by JMLSG in 2017.

Authorised Signatory: X	Date <table border="1"><tr><td>d</td><td>d</td><td>m</td><td>m</td><td>y</td><td>y</td><td>y</td><td>y</td></tr></table>	d	d	m	m	y	y	y	y
d	d	m	m	y	y	y	y		
Full name									
Position									

This declaration can not be used to verify the identity of any customer that falls into one of the following categories:

- › Those who are exempt from verification as being an existing client of the introducing firm prior to the introduction of the requirement for such verification;
- › Those whose identity has not been verified by virtue of the application of a permitted exemption under the Money Laundering Regulations; or
- › Those whose identity has been verified using the source of funds as evidence; or
- › Where the customer is the same person as the Authorised Signatory.

If any of the above apply please contact us before proceeding.

For verification of third party payers or power of attorney, please use the confirmation of Verification of Identity Certification on our website.

To progress with the application, it is **mandatory** you complete all relevant sections. Please do not apply without a form as we will not accept the application. Please do not amend previously submitted forms as we will not accept the application.

Investor checklist

- › Have you fully completed the 'Personal details' information? Please note all information must be completed (Section 1) ☐
- › Have you selected the Plan(s) in which you wish to invest and the amount per Plan? (Sections 2 & 3) ☐
- › For rollovers, have you quoted an existing account number? (Section 3) ☐
- › Have you advised us of the fees you have agreed with your financial adviser? (Section 7) ☐
- › Have you printed your full name, signed and dated the application form? (Section 8) ☐
- › Have you enclosed your cheque drawn from a bank account in your name payable to 'Investec Bank plc' or a building society cheque payable to 'Investec Bank plc Re (your name)' to evidence it was drawn from a personal account? ☐

Adviser checklist

- › Have you fully completed the Adviser section? ☐
- › Have you registered a fully completed Terms of Business in place with Investec Structured Products? Please note, if you are a part of a National IFA or Network you may have centralised Terms of Business with Investec Structured Products. If you are unsure please contact 0344 892 0942 to check. ☐
- › Have you provided verification of identity for all parties including all holders of power of attorney (if applicable)? ☐
- › Has an authorised signatory printed full name, signed and dated the Adviser section? ☐

Applications must be received by the closing date 31 July 2020.

Please return your completed and signed Application Form to your financial adviser who will send it to:

Investec Structured Products
PO Box 914
Newport
NP20 9PE

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Basic information about the protection of your eligible deposits

Eligible deposits in Investec Bank plc are protected by:	The Financial Services Compensation Scheme ("FSCS") ¹
Limit of protection:	£85,000 per depositor per bank/building society/credit union². The following trading names are part of your bank/building society/credit union: Investec Structured Products
If you have more eligible deposits at the same bank/building society/credit union:	All your eligible deposits at the same bank/building society/credit union are "aggregated" and the total is subject to the limit of £85,000. ²
If you have a joint account with other person(s):	The limit of £85,000 applies to each depositor separately. ³
Reimbursement period in case of bank, building society or credit union's failure:	20 working days ⁴
Currency of reimbursement:	Pound sterling (GBP, £) or, for branches of UK banks operating in other EEA Member States, the currency of that State.
To contact Investec Bank plc for enquiries relating to your account:	Investec Structured Products PO Box 914 Newport NP20 9PE Tel: 0344 892 0942
To contact the FSCS for further information on compensation:	Financial Services Compensation Scheme 10th Floor Beaufort House 15 St Botolph Street London EC3A 7QU Tel: 0800 678 1100 or +44 (0)20 7741 4100 Email: ICT@fscs.org.uk
More information:	http://www.fscs.org.uk

Additional information

1. Scheme responsible for the protection of your eligible deposit

Your eligible deposit is covered by a statutory Deposit Guarantee Scheme. If insolvency of your bank, building society or credit union should occur, your eligible deposits would be repaid up to £85,000 by the Deposit Guarantee Scheme.

2. General limit of protection

If a covered deposit is unavailable because a bank, building society or credit union is unable to meet its financial obligations, depositors are repaid by a Deposit Guarantee Scheme. This repayment covers at maximum £85,000 per bank, building society or credit union. This means that all eligible deposits at the same bank, building society or credit union are added up in order to determine the coverage level. If, for instance a depositor holds a savings account with £80,000 and a current account with £20,000, he or she will only be repaid £85,000. This method will also be applied if a bank, building society or credit union operates under different trading names. Investec Bank plc also trades under Investec Structured Products. This means that all eligible deposits with one or more of these trading names are in total covered up to £85,000.

In some cases eligible deposits which are categorised as “temporary high balances” are protected above £85,000 for six months after the amount has been credited or from the moment when such eligible deposits become legally transferable. These are eligible deposits connected with certain events including:

- (a) certain transactions relating to the depositor’s current or prospective only or main residence or dwelling;
- (b) a death, or the depositor’s marriage or civil partnership, divorce, retirement, dismissal, redundancy or invalidity;
- (c) the payment to the depositor of insurance benefits or compensation for criminal injuries or wrongful conviction.

More information can be obtained under <http://www.fscs.org.uk>

3. Limit of protection for joint accounts

In case of joint accounts, the limit of £85,000 applies to each depositor.

However, eligible deposits in an account to which two or more persons are entitled as members of a business partnership, association or grouping of a similar nature, without legal personality, are aggregated and treated as if made by a single depositor for the purpose of calculating the limit of £85,000.

4. Reimbursement

The responsible Deposit Guarantee Scheme is the Financial Services Compensation Scheme, 10th Floor Beaufort House, 15 St Botolph Street, London, EC3A 7QU, Tel: 0800 678 1100 or +44 (0)20 7741 4100, Email: ICT@fscs.org.uk. It will repay your eligible deposits (up to £85,000) within 20 working days until 31 December 2018; within 15 working days from 1 January 2019 until 31 December 2020; within 10 working days from 1 January 2021 to 31 December 2023; and within 7 working days from 1 January 2024 onwards, save where specific exceptions apply.

Where the FSCS cannot make the repayable amount available within 7 working days, it will, from 1 June 2016 until 31 December 2023, ensure that you have access to an appropriate amount of your covered deposits to cover the cost of living (in the case of a depositor which is an individual) or to cover necessary business expenses or operating costs (in the case of a depositor which is not an individual or a large company) within 5 working days of a request.

If you have not been repaid within these deadlines, you should contact the Deposit Guarantee Scheme since the time to claim reimbursement may be barred after a certain time limit. Further information can be obtained under <http://www.fscs.org.uk>

5. Other important information

In general, all retail depositors and businesses are covered by Deposit Guarantee Schemes. Exceptions for certain deposits are stated on the website of the responsible Deposit Guarantee Scheme. Your bank, building society or credit union will also inform you of any exclusions from protection which may apply. If deposits are eligible, the bank, building society or credit union shall also confirm this on the statement of account.

Exclusions list

A deposit is excluded from protection if:

- (1) The holder and any beneficial owner of the deposit have never been identified in accordance with money laundering requirements. For further information, contact your bank, bank building society or credit union.
- (2) The deposit arises out of transactions in connection with which there has been a criminal conviction for money laundering.
- (3) It is a deposit made by a depositor which is one of the following:
 - › credit institution
 - › financial institution
 - › investment firm
 - › insurance undertaking
 - › reinsurance undertaking
 - › collective investment undertaking
 - › pension or retirement fund⁶
 - › public authority, other than a small local authority.

For further information about exclusions, refer to the FSCS website at www.fscs.org.uk

⁶Deposits by personal pension schemes, stakeholder pension schemes and occupational pension schemes of micro, small and medium sized enterprises are not excluded.