Start Over

Investec
Structured Products

Investment Plans
Direct and ISA Application Form

FTSE 100 Enhanced Kick-Out Plan 33
(Adviser Fee Option)

The closing date for direct investments is 31 December 2012.

Please return your completed and signed Application Form to your financial adviser who will send it to:
Investec Administration, PO Box 1008, St Albans, Hertfordshire AL1 9LZ.

This Application Form is for direct investment and new ISAs. ISAs are restricted to UK tax resident individuals only.

For additional forms (e.g. for a spouse, partner or friend), simply photocopy this form.

If you have any questions regarding the application process please speak with your financial adviser or ring 0845 603 9176.

Please complete this form in BLOCK CAPITALS and in black ink, ticking boxes where appropriate.

To be completed by the Investor.

1a Direct Investments

I apply to subscribe the following amount as a direct investment into the Plan(s) selected (Minimum total £3,000 and maximum £1,000,000 per Plan).

FTSE 100 Enhanced Kick-Out Plan 33
(Adviser Fee Option)

Option 1 (Investec) £

Option 2 (UK 5) £

Cheques should be made payable to 'Investec Bank plc', for a Building Society cheque or bankers draft 'Investec Bank plc reference [your name]'.
Application Forms with post-dated cheques will not be accepted.

Tick here if the proceeds are coming from a maturing Investec Plan ☐

Maturing Plan Number

1b Stocks and shares ISA for tax year 2012/13 Investments

I apply to subscribe the following amount as all or part of my ISA allowance into the Plan selected for the tax year 2012/13. (Minimum total £3,000).
For UK tax resident individuals only.

FTSE 100 Enhanced Kick-Out Plan 33
(Adviser Fee Option)

Option 1 (Investec) £

Option 2 (UK 5) £

Cheques should be made payable to 'Investec Bank plc', for a Building Society cheque or bankers draft 'Investec Bank plc reference [your name]'.

Application Forms with post-dated cheques will not be accepted.

Total Direct and ISA Subscription £

2 Personal Details
This section must be completed by all applicants

Title (Mr/Mrs/Miss/Ms) Date of Birth d d m m y y

Surname

Full Forenames

Male ☐ Female ☐

Country and Place of Birth

Permanent Residential Address

Postcode

Telephone Number (Daytime)

Tax Identification Number*

3 Joint Holders

The Joint Holder must complete this section.
For DIRECT INVESTMENTS ONLY

Title (Mr/Mrs/Miss/Ms) Date of Birth d d m m y y

Surname

Full Forenames

4 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.

Child's Name

Child's Date of Birth d d m m y y

5 Gift from Another

Applicable to all investments where the funds have been gifted by a relative to the applicant.

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

Name of relative

Date of Birth d d m m y y

Relationship

6 National Insurance Number

Do you have a National Insurance (NI) Number? Yes ☐ No ☐

If 'YES' you must enter it here:

(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).

7 Appropriateness

This section must be completed by all applicants.

Have you received a personal recommendation from your financial adviser to invest in the Plan(s) selected? Yes ☐ No ☐

If 'Yes', please proceed to the next section.

If 'No' please answer the questions below. We will not be able to accept your investment if we cannot determine whether the selected Plans are appropriate for you.

Appropriateness questions – the following questions only need to be answered if you have not received investment advice.

1. Have you, in the last five years, held any of the following investments?

Shares	Yes ☐	No ☐
Stocks and Shares ISA	Yes ☐	No ☐
Unit Trusts/OEICs	Yes ☐	No ☐
Tracker Funds	Yes ☐	No ☐
Cash ISA	Yes ☐	No ☐
A product similar to the one(s) you are applying for (known as a Structured Product), i.e. a fixed term investment?	Yes ☐	No ☐

2. Do you understand that stock market movements will influence the return you receive (on top of your initial Plan investment)? Yes ☐ No ☐
3. Do you understand the Plan(s) have been designed to be held for the full term? Yes ☐ No ☐
4. Do you fully understand the risks of the Plan(s) that are explained in the brochure(s)? Full details on these are contained in the Brochure and Terms and Conditions, which you should have read and understood. Yes ☐ No ☐

8 Adviser Fees

This section must be completed by all applicants.

Please note: If you are applying for both ISA and Direct investments, the fee will be deducted from the direct investment only, unless you advise us otherwise.

If you are applying for more than one option please make clear how you wish the fee to be settled for each option.

☐ FTSE 100 Enhanced Kick-Out Plan 33 (Investec Option)

☐ Fees have been settled directly with my financial adviser

or

☐ Please deduct the amount shown below from my investment, and return it to my financial adviser as the agreed fee:

£ OR % of initial amount

☐ FTSE 100 Enhanced Kick-Out Plan 33 (UK 5 Option)

☐ Fees have been settled directly with my financial adviser

or

☐ Please deduct the amount shown below from my investment, and return it to my financial adviser as the agreed fee:

£ OR % of initial amount

Please note: Any payment we make to your financial adviser in respect of fees they charge you, are inclusive of VAT.

9 Declaration and Authority

This section must be completed, signed and dated by all applicants. Application Forms will not be processed if this section is incomplete.

Applicable to direct investment applicants only

I declare that, as set out in personal details section, I am 18 years of age or over, and either: resident and ordinarily resident in the UK for tax purposes and that I am not acting on behalf of a Non-UK tax resident, or, a resident of the Isle of Man, or, a resident of 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 2012/13.

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 and a stocks and shares ISA in the same tax year.
4. I have not subscribed, and will not subscribe, more than the stocks and shares ISA subscription limit to one stocks and shares ISA.
5. I have not subscribed, and will not subscribe, to another stocks and shares ISA with a different ISA manager in the same tax year that I subscribe to this stocks and shares ISA.
6. I am resident and ordinarily resident in the United Kingdom for tax purposes or, if not so 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 and ordinarily resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.
7. I agree to the ISA Terms and Conditions.

9 Declaration and Authority continued

For all applicants

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).

I authorise Investec Bank plc:

1. to hold my cash subscription, investments, interest, dividends and other rights in respect of those investments and any other cash or other proceeds.
2. on my request to transfer or pay to me any cash realised on or deriving from, as the case may be, direct investments, interest, dividends, rights or other proceeds in respect of such investments, any cash or other proceeds.
3. to supply me with an annual Plan statement.

You should have read and made sure you understood the Plan brochure(s), including Plan risks and selling restrictions, and accept the Terms and Conditions so that you can agree to the Terms and Conditions under which your Plan(s) will be managed. Please note that if you have any questions to help you understand the Terms of the Plan you should ask your financial adviser. You agree that part of your investment will be used to purchase securities issued by Investec Bank plc. You acknowledge that the Plan Manager will only provide an annual statement on the value of your Plan(s).

Data Protection – Uses of Your Data

Investec Bank plc is committed to processing your data in accordance with the Data Protection Act 1998. We may use your personal data to provide you with services you request from us, manage your accounts, make decisions, detect and prevent fraud, for analysis and assessment, and to ensure that we comply with legal and regulatory requirements.

For further details of how Investec Bank plc uses your information, please read our Data Protection Statement on our website www.investec.co.uk/dataprotection or ask for a printed copy.

☐ I/We do not wish to receive marketing information by post and telephone.

By signing this form you agree that we can use and disclose your information in the ways described in our Data Protection Statement, as amended or updated from time to time.

You declare that this Application Form has been completed to the best of your knowledge and belief.

Signature
X

Print Name

Date

I have attached a copy of my passport or identification issued by the state ☐ *

Joint Holder if applicable:

Signature
X

Print Name

Date

I have attached a copy of my passport or identification issued by the state ☐ *

Please note all applications must be received by Investec Administration before 5pm on 31 December 2012.

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

Notes

1. Money Laundering Regulations (as amended): Under the regulations, there is a legal requirement to prove the identity of people who wish to make an investment. You may therefore be asked for some evidence of your identity. This will normally be a passport or similar form of identity check together with proof of address from a gas bill, electricity bill or similar item. We may also check your identity using electronic systems.

Plan Number(s) (For Investec use only)

FTSE 100 Enhanced Kick-Out Plan 33 (Adviser Fee Option) Option 1 (Investec)

FTSE 100 Enhanced Kick-Out Plan 33 (Adviser Fee Option) Option 2 (UK 5)

For Financial Adviser use only – Mandatory

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

Name of Registered Individual ______________________

Name of company ______________________

Address ______________________

____

____

______________________ Postcode ______________________

Telephone number ______________________

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. FSA, FSC ______ Registration Number ______

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 and in particular, the table set out on page 10 of the Investment Plans IFA guide? Yes ☐ No ☐

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

____

Have you conducted a review of appropriateness? Yes ☐ No ☐

If no, please specify reason* ______________________

____

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

Verification of Identity

This section is to be completed by financial advisers only.

I confirm that:

a) the information in sections 2, 3, 4, 5 and 6 was obtained by me in relation to the customer(s);

b) 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 2007.

Signed ______________________

Name ______________________

Position ______________________ Date ______________________

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.

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

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

Please note that all sections on this page must be completed in order for the application to be processed.

Best Structured Products Provider 2010, 11 & 12

WINNER Best Structured Products Provider 2009, 10, 11 & 12

2011 WINNER: Best Innovative Structure, Best Service to IFAs 2009, 10 & 11, Best Marketing Material 2010 & 2011

Best Structured Products Provider 2010 & 2011