

Adviser Fee Option | Direct and ISA Application Form

This Application Form is for Deposit and Investment Plans

The 2012/13 ISA investments application deadline is 5 April 2013.

The direct investments and 2013/14 ISA investments application deadline is 12 April 2013.

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

Investec Structured Products Administration
PO Box 1008
St Albans
Hertfordshire
AL1 9LZ

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 call 0845 603 9176.



Investec use only:

To be completed by the investor. Please complete this form in **BLOCK CAPITALS** and in **BLACK INK**.

Section 1 is to be completed for new investments. Section 2 should be completed for re-investment of maturing Plans. Sections 3, 11 and 12 are mandatory and must be completed by ALL applicants. All investors must ensure that they read and understand Sections 8 and/or 9, as applicable. Investors that are applying for an Income Plan or part-encashing their maturity proceeds are required to provide full bank account details in Section 7. Please note that our Deposit Plans are not available to investors from Jersey or Guernsey.

If you require any information to help you understand the Terms and Conditions of your Plan(s) you should ask your financial adviser prior to completing this Application Form.

1 New Direct and 2012/13 ISA Investments

Select your Plan(s)

Please fill in the amount you wish to invest in the appropriate box below. 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 £1,000,000 per Plan, subject to ISA limits).

Deposit Plans (Adviser Fee Option)

	Direct Investments	Cash ISA for tax year 2012/13. For UK tax resident individuals only	Cash ISA for tax year 2013/14. For UK tax resident individuals only
FTSE 100 Kick-Out Deposit Plan 35	£ <input type="text"/>	£ <input type="text"/>	£ <input type="text"/>
FTSE 100 3 Year Deposit Plan 40	£ <input type="text"/>	£ <input type="text"/>	£ <input type="text"/>
Deposit Growth Plan 23 (FTSE 100)	£ <input type="text"/>	£ <input type="text"/>	£ <input type="text"/>
Deposit Growth Plan 23 (Even 30™)	£ <input type="text"/>	£ <input type="text"/>	£ <input type="text"/>
FTSE 100 Target Income Deposit Plan 2	£ <input type="text"/>	£ <input type="text"/>	£ <input type="text"/>

Investment Plans (Adviser Fee Option)

	Direct Investments	Stocks and shares ISA for tax year 2012/13. For UK tax resident individuals only	Stocks and shares ISA for tax year 2013/14. For UK tax resident individuals only
FTSE 100 Enhanced Kick-Out Plan 35 (Investec Option)	£ <input type="text"/>	£ <input type="text"/>	£ <input type="text"/>
FTSE 100 Enhanced Kick-Out Plan 35 (UK 5 Option)	£ <input type="text"/>	£ <input type="text"/>	£ <input type="text"/>
FTSE 100 Enhanced Income Plan 2 (Investec Option)	£ <input type="text"/>	£ <input type="text"/>	£ <input type="text"/>
FTSE 100 Enhanced Income Plan 2 (UK 5 Option)	£ <input type="text"/>	£ <input type="text"/>	£ <input type="text"/>
FTSE 100 Defensive Kick-Out Plan 8	£ <input type="text"/>	£ <input type="text"/>	£ <input type="text"/>
FTSE 100 Defined Returns Plan 2 (Investec Option)	£ <input type="text"/>	£ <input type="text"/>	£ <input type="text"/>
FTSE 100 Defined Returns Plan 2 (UK 5 Option)	£ <input type="text"/>	£ <input type="text"/>	£ <input type="text"/>

If you wish to fund your 2012/13 ISA subscription and/or 2013/14 ISA subscription with any non-ISA proceeds from your maturing Plan, please tick this box and write your maturing Plan number in Section 2 below

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

2 Maturing Plan(s)

Please complete this section if you have a maturing 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 Plan number(s) in the 'Maturing Plan number' box below. Where you wish to add to your re-investment, please specify the additional amount in Section 1.

Maturing Plan number /
 /

Deposit Plans (Adviser Fee Option)

	Direct Investments	Cash ISA. For UK tax resident individuals only
FTSE 100 Kick-Out Deposit Plan 35	£ <input type="text"/>	£ <input type="text"/>
FTSE 100 3 Year Deposit Plan 40	£ <input type="text"/>	£ <input type="text"/>
Deposit Growth Plan 23 (FTSE 100)	£ <input type="text"/>	£ <input type="text"/>
Deposit Growth Plan 23 (Even 30™)	£ <input type="text"/>	£ <input type="text"/>
FTSE 100 Target Income Deposit Plan 2	£ <input type="text"/>	£ <input type="text"/>

Investment Plans (Adviser Fee Option)

	Direct Investments	Stocks and shares ISA For UK tax resident individuals only
FTSE 100 Enhanced Kick-Out Plan 35 (Investec Option)	£ <input type="text"/>	£ <input type="text"/>
FTSE 100 Enhanced Kick-Out Plan 35 (UK 5 Option)	£ <input type="text"/>	£ <input type="text"/>
FTSE 100 Enhanced Income Plan 2 (Investec Option)	£ <input type="text"/>	£ <input type="text"/>
FTSE 100 Enhanced Income Plan 2 (UK 5 Option)	£ <input type="text"/>	£ <input type="text"/>
FTSE 100 Defensive Kick-Out Plan 8	£ <input type="text"/>	£ <input type="text"/>
FTSE 100 Defined Returns Plan 2 (Investec Option)	£ <input type="text"/>	£ <input type="text"/>
FTSE 100 Defined Returns Plan 2 (UK 5 Option)	£ <input type="text"/>	£ <input type="text"/>

Where you wish to part encash your maturity proceeds, please state the amount here

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 and ordinarily resident in the UK for tax purposes and that I am not acting on behalf of a Non-UK tax resident; or (b) resident in the Isle of Man.

Applicable to all cash ISA applicants

I apply to subscribe for a cash ISA for the tax year 2012/13 and/or for the tax year 2013/14 and/or reinvest my cash 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 and a stocks and shares ISA in the same tax year.
4. I have not subscribed, and will not subscribe, more than the cash ISA subscription limit to one cash ISA.
5. I have not subscribed, and will not subscribe, to another cash ISA with a different ISA manager in the same tax year that I subscribe to this cash 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. *(Not applicable for 2013/14).
7. I agree to the ISA Terms and Conditions.

For all Deposit Plan applicants

I authorise Investec Bank plc:

1. to hold my cash subscription, ISA investments, direct investments and any proceeds in respect of those investments and to make on my behalf any claims to relief from tax in respect of ISA investments or other proceeds.
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.

You confirm that you (i) have read and understood the Plan brochure(s), including Plan risks and selling restrictions, and (ii) accept and agree to the Terms and Conditions under which your Plan(s) will be managed. You agree that your monies will be placed on deposit with Investec Bank plc. You acknowledge that the Plan Manager will only provide an annual statement on the value of your Plan(s).

If you agree to this declaration for Deposit Plans please sign in Section 12 (opposite).

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 and ordinarily 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 2012/13 and/or for the tax year 2013/14 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 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. *(Not applicable for 2013/14).
7. I agree to the ISA Terms and Conditions.

For all Investment Plan 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, ISA investments, direct investments and any proceeds in respect of those investments and to make on my behalf any claims to relief from tax in respect of ISA investments or other proceeds.
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.

You confirm that you (i) have read and understood the Plan brochure(s), including Plan risks and selling restrictions, and (ii) accept and agree to the Terms and Conditions under which your Plan(s) will be managed. You agree that 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).

If you agree to this declaration for Investment Plans please sign in Section 12 (below).

10 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.

11 Adviser Fees

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 <input type="text"/>	Fee	£ <input type="text"/>	<input type="text"/> %
Plan name <input type="text"/>	Fee	£ <input type="text"/>	<input type="text"/> %
Plan name <input type="text"/>	Fee	£ <input type="text"/>	<input type="text"/> %

12 Signatures

Please sign

You confirm that you have read and agreed to the declaration for the Deposit Plan(s) and/or Investment Plan(s) for which you are applying (set out in Sections 8 and 9 respectively), and have discussed and agreed the Adviser Fee detailed in Section 11.

Please note all applications for 2012/13 ISA investments must be received by Investec Administration before 5pm on 5 April 2013.

All applications for direct investments and 2013/14 ISA investments must be received before 5pm on 12 April 2013.

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 without delay of any change in my circumstances affecting any of the information contained in this Application Form.

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*

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

Adviser Section

For the application to be processed ALL sections must be completed

**Financial Adviser Use Only
MANDATORY**

Please ensure you have registered a fully completed Terms of Business. 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.

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.

Verification of Identity – to be completed by intermediary/financial adviser only

I confirm that:

- a) the information in sections 2 and 3 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.

OR for Investec Structured Products Maturing Plans:

I confirm that the information provided in relation to the customer has not changed since the original investment.

Signature

X

Full 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.

The 2012/13 ISA investments application deadline is 5 April 2013.

The direct investments and 2013/14 ISA investments application deadline is 12 April 2013.

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

Investec Structured Products Administration
PO Box 1008
St Albans
Hertfordshire
AL1 9LZ

