

Application for Offshore Bond Providers

Closing date
1 April 2021

Financial advisers must ensure they have registered a fully completed Terms of Business. Failure to do so will result in this application being rejected.

Applications will only be accepted via financial advisers qualified to FCA Level 4 standard. Please complete this form in **BLOCK CAPITALS** and in **BLACK INK**, ticking boxes where appropriate.

If you have any questions regarding the application process please ring **0344 892 0942**.

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

Investec Plans

Please tick the name of the Plan you are applying for from the list below.

FTSE 100 Kick-Out Deposit Plan 99	<input type="checkbox"/>	FTSE 100 6 Year Deposit Plan 25	<input type="checkbox"/>
FTSE 100 Defensive Kick-Out Deposit Plan 25	<input type="checkbox"/>	FTSE 100 6 Year Defensive Deposit Plan 35 (Min Return version)	<input type="checkbox"/>
FTSE 100 3 Year Deposit Plan 63	<input type="checkbox"/>	FTSE 100 Income Deposit Plan 41 - Monthly	<input type="checkbox"/>
FTSE 100 3 Year Defensive Deposit Plan 27	<input type="checkbox"/>		

1. Offshore Bond details

Name of Offshore Bond provider

Offshore Bond Provider address

Postcode

Offshore Bond Plan number

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

- | | | | |
|---|---|--|---|
| <input type="checkbox"/> Savings | <input type="checkbox"/> Pension | <input type="checkbox"/> Salary | <input type="checkbox"/> Maturing Investments or Encashment Claim |
| <input type="checkbox"/> Share/Asset Sale | <input type="checkbox"/> Property Sale | <input type="checkbox"/> Company Profits | <input type="checkbox"/> Inheritance |
| <input type="checkbox"/> Loan | <input type="checkbox"/> Divorce Settlement | <input type="checkbox"/> Gift | Other _____ |

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

- | | | | |
|---|---|--|---|
| <input type="checkbox"/> Savings | <input type="checkbox"/> Pension | <input type="checkbox"/> Salary | <input type="checkbox"/> Maturing Investments or Encashment Claim |
| <input type="checkbox"/> Share/Asset Sale | <input type="checkbox"/> Property Sale | <input type="checkbox"/> Company Profits | <input type="checkbox"/> Inheritance |
| <input type="checkbox"/> Loan | <input type="checkbox"/> Divorce Settlement | <input type="checkbox"/> Gift | Other _____ |

2. Investment

Please specify the amount you would like to invest (minimum £3,000)

If you wish to split your investment amount please specify here

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 - - Account number

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.

Notes: Cheques from a UK bank or building society account held in the name of the Offshore Bond Provider should be made payable to: **Investec Bank plc**.

Maturing Investec Plan number

3. 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 by direct credit by the Bankers Automated Credit System (BACS) to an account with a bank or building society within the UK clearing system. Please refer to the relevant Plan brochure for payment structure.

Bank/Building Society _____

Account to be credited (for example, ABC Nominees) _____

Bank sort code - Full account number

(Normally 8 digits occasionally 7)

Building Society reference or roll number

4. Adviser fees

Please note: You will need to discuss and agree any fee with your financial adviser. This will need to be paid directly to them.

5. Declaration

I/We, the Offshore Bond Provider, declare that I/we are authorised on behalf of the Offshore Bond Holders, to give all types of instructions relating to the investment.

- > I/We confirm that the information given on this application at the date of signing is true, complete and correct to the best of our knowledge and belief.
- > I/We declare that I/we understand the Plan brochure, relating to the Plan chosen, including the Plan Risks and accept the Terms and Conditions and agree to be bound by the Terms and Conditions under which our Plan will be managed.
- > I/We acknowledge that in order to comply with its obligations under UK tax legislation, Investec Bank plc may request me/us to provide additional information and/or documentation related to the tax status of my/our organisation and any policy holder. I/We agree to comply at all times with such a request from Investec Bank plc within the time specified by Investec Bank plc in its request.
- > I/We agree that if I am identified as a Reportable Person for the purposes of any of UK's information sharing agreements (including Foreign Account Tax Compliance Act (FATCA) and OECD Common Reporting Standard (CRS)), I authorise Investec Bank plc:
 - To share information about my accounts held with Investec Bank plc with HM Revenue and Customs who may then share the information with my local tax authority(ies) or
 - To share information about my accounts held with Investec Bank plc with my local tax authority(ies) if required under Applicable Laws.
- > Investec Bank plc will retain a record of the information you give us about your organisation, its owners and controllers and may disclose this information to HM Revenue & Customs in order to meet its legal and regulatory obligations. For more information about how Investec Bank plc uses personal information, please read our Data Protection Statement at www.investec.com/cib-dataprotection or ask for a printed copy. Where you have given us information about your organisation's owners and controllers, you confirm that:
 - you have permission from those persons to share their information with us; and
 - they agree with the ways in which we will use their information as explained above and in our Data Protection Statement.
- > I/We agree to advise Investec Bank plc within 30 days in writing of any changes in the information contained in this Application Form. I/We agree to provide evidence of the change if I am/we are asked to.
- > In accordance with the tax requirements applicable in the country/countries in which I am/we are resident for tax purposes, I/we have established where each policy holder is resident for tax purposes, and I/we have complied or will comply with all relevant reporting requirements in respect of that policy holder.
- > I/We confirm that I/we have the full power to invest in the Plans and have taken all action necessary to authorise the completion of this application and the person(s) signing this Application Form have full power and authority to do so on our behalf.
- > I/We are not acting on behalf of a resident of the United States and I/we will not assist any person who is resident in the United States (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) to acquire an interest in the Bond. I/We agree to inform you immediately should I/we believe anyone connected with the trust becomes a resident of the United States.
- > I/We authorise Investec Bank plc to hold the subscriptions, Plan investments, interest and any other rights or proceeds in connection with our investments and any other cash and upon our request to transfer or pay to the Bond any investments, interest, rights or other proceeds in connection with such investments.
- > I/We agree that our money will be placed on deposit with Investec Bank plc.
- > I/We accept that the Plan Manager will only provide an annual statement on the value of the Plan.
- > I/We have undertaken appropriate due diligence and are aware of the identity of each of our policy holders, in accordance with the anti-Money Laundering requirements relevant to the jurisdiction I/we operate in. However it should be noted that in all cases, I/we are the legal and beneficial owner of the asset.
- > I/We have received the FSCS Information Sheet that was provided with this application form.
- > I/We confirm that I/we 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 your Plan(s) will be managed.

How we use 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.

Notes

1. Your Plan is designed to be held without change until it matures. The interim value of the underlying investment of the Plan does not directly impact on the benefits generated. The capital return from the Plan depends on the level of the Index at maturity and its performance throughout the Plan Term, which can be obtained from us or from public sources. We will send you Plan statements once a year with information on how your Plan is progressing.
2. Capitalised terms unless otherwise defined, have the meanings given to them in the Terms and Conditions within the Plan brochure.
3. Please reference client name/client designation when making payment to this account. Failing to do so may result in your application being rejected.

Bank: HSBC Bank plc	Sort code: 40 02 50	Account number: 41340794	Account name: Investec Bank plc
---------------------	---------------------	--------------------------	---------------------------------

4. Investec will not facilitate payment of fees for Plans.

6. Your signature	Please sign
Authorised Signatory: <input type="checkbox"/>	Date <input type="text" value="d"/> <input type="text" value="d"/> <input type="text" value="m"/> <input type="text" value="m"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/>
Full name	
Capacity	
Authorised Signatory: <input type="checkbox"/>	Date <input type="text" value="d"/> <input type="text" value="d"/> <input type="text" value="m"/> <input type="text" value="m"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/>
Full name	
Capacity	

INVL104

Please note that applications must be received before 5pm on 1 April 2021.

Please return the completed and signed Application Forms to: Investec Structured Products, PO Box 914, Newport NP20 9PE.

If you have difficulty in reading our literature, please call us on 020 7597 4065. We can supply this in a range of formats including large print, audio and Braille.

Issued by: Investec Bank plc. Registered and incorporated in England No. 00489604. Investec Bank plc is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Registered under Financial Services Register reference 172330. Investec Bank plc does not offer investment advice or make any recommendations regarding these Plans.

Continued on next page >

If this section cannot be completed due to disclosure restrictions, financial advisers should contact Investec at dealing@structuredproducts.investec.co.uk, quoting the client reference/designation.

Name of registered individual _____

Name of company _____

Address _____

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 _____

Company's Financial Services Register reference number _____

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

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

For Investec use only

Plan number _____

Please note that applications must be received before 5pm on 1 April 2021.
Please return the completed and signed Application Forms to: Investec Structured Products, PO Box 914, Newport NP20 9PE.
If you have difficulty in reading our literature, please call us on 020 7597 4065. We can supply this in a range of formats including large print, audio and Braille.

Issued by: Investec Bank plc. Registered and incorporated in England No. 00489604. Investec Bank plc is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Registered under Financial Services Register reference 172330. Investec Bank plc does not offer investment advice or make any recommendations regarding these Plans.

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 union ² . 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, £)
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

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.

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 fund¹
 - › public authority, other than a small local authority.
- (4) It is a deposit of a credit union to which the credit union itself is entitled.
- (5) It is a deposit which can only be proven by a financial instrument² (unless it is a savings product which is evidenced by a certificate of deposit made out to a named person and which existed in the UK, Gibraltar or a Member State of the EU on 2 July 2014).
- (6) It is a deposit of a collective investment scheme which qualifies as a small company.³
- (7) It is a deposit of an overseas financial services institution which qualifies as a small company.⁴
- (8) It is a deposit of certain regulated firms (investment firms, insurance undertakings and reinsurance undertakings) which qualify as a small business or a small company⁵ – refer to the FSCS for further information on this category.
- (9) It is not held by an establishment of a bank, building society or credit union in the UK or, in the case of a bank or building society incorporated in the UK, it is not held by an establishment in Gibraltar.

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

¹ Deposits by personal pension schemes, stakeholder pension schemes and occupational pension schemes of micro, small and medium sized enterprises are not excluded.

² As listed in Part I of Schedule 2 to the Financial Services and Markets Act 2000 (Regulated Activities) Order 2001, read with Part 2 of that Schedule.

³ Under the Companies Act 1985 or Companies Act 2006.

⁴ See footnote 3.

⁵ See footnote 3.