

Mortgage intermediary submission form

Section: 1

Personal Information

1.1 Name of applicant(s)

To be completed by broker

1.2 What level of advice was given?

Advised

☐

Execution Only

☐

If execution only, please provide further detail and enclose appropriate evidence:

1.3 Have the applicant(s) accepted advice?

Yes

☐

No

☐

1.4 Please confirm % and Amount

Procurator Fee Amount up to 0.40% of Loan Advance (maximum £25,000)

1.5 Will the client be paying a fee directly to you?

Yes

☐

No

☐

If 'Yes', please specify how much

£

Declaration

I declare that:

- Where advice has been rejected by the applicant(s) or they have elected to proceed on an execution only basis, I confirm that their explicit consent was obtained. Furthermore, where they have not received advice I confirm that they were informed of the consequences of this. More specifically, since the applicant(s) has/have decided on the appropriateness of the product themselves then they will not benefit from the protections of the advised sale rules in MCOB. I will ensure that the applicant(s) acknowledges in writing this loss of protection.
- I have complied with the commission disclosure obligations within the Standard Terms of Business for Mortgage Intermediaries, including disclosing the likely amount of the commission and how it is calculated. I have the applicant's informed written consent to receive payment of that commission from Investec Bank plc.
- The information given in this document is true, accurate and complete to the best of my knowledge and belief.
- I have made initial disclosure to the client in accordance with MCOB 4.4A which includes details of the market range from which we offer products and services.
- I have explained to the applicant how their personal data will be used and have obtained their consent to the sharing of their personal information with Investec Bank plc in accordance with the obligations set out in Investec Bank plc's Standard Terms of Business for Mortgage Intermediaries.

Section: 2

Submission form

2.1 How Investec Bank plc uses your personal information

Investec Bank plc may collect and use your personal data for the reasons set out below:

- to provide you with the requested products and services;
- to fulfil any contract with you;
- to manage your accounts;
- to make decisions;
- to detect and prevent fraud;
- to comply with laws, regulations and/or codes of practice; and/or
- for other purposes where it is in our legitimate interests.

You must make sure that if you give us personal data about someone else, you have their consent and they are happy for you to share their personal data with us. You should make sure they read our Data Protection Notice and understand how we will use and disclose their information, in the ways described in our Data Protection Notice.

For further details as to how Investec uses personal data, please refer to our Data Protection Notice online at https://www.investec.com/en_gb/legal/UK/data-protection-notice/private-bank.html.

Fraud Prevention

We and other organizations can access and use information recorded by FPA's in other countries.

The personal information we have collected from you will be shared with fraud prevention agencies who will use it to prevent fraud and money-laundering and to verify your identity. If fraud is detected, you could be refused certain services, finance or employment. Further details of how your information will be used by us and these fraud prevention agencies, and your data protection rights, can be viewed at https://www.investec.com/en_gb/legal/UK/fraud-prevention-notice.html.

Independent checks

I/We agree that the Bank may at its discretion perform independent checks to verify my/our identity and/or address and/or to validate certified documents that I/we have provided to the Bank. I/We further agree that these recognised independent checks may include documented checks of the electoral register and/or credit bureau records, and/or confirmation from a solicitor or accountant.

Please contact us at Investec Bank plc, The Banking Team, 30 Gresham Street, London EC2V 7QP if you want to receive details of the relevant fraud prevention agencies.

2.2 Intermediary firm name and address

2.3 FCA firm reference number

2.4 Full name of intermediary employee completing this form

2.5 Date of birth (day/month/year)

2.6 Telephone number(s)

Mobile	Landline

2.7 Home address

2.8 Email address

2.9 If you are an appointed representative or a member of a network

please also provide the name and FCA reference number of your principal firm

2.10 Signature

2.11 Date

Tel: 0330 123 4512 or +44 (0)20 7597 4050 if you're outside the UK

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