



MPS Client Agreement for the clients of Financial Advisers

Account Name(s) (including any sub-account designation)

To be read in conjunction with the enclosed *Terms and Conditions*

Words and phrases used in this *Client Agreement* shown in italics have the definitions set out in the Definitions section at the end of the *Terms and Conditions*. For the purpose of this *Agreement*, references to “we” “our” or “us” refer to Investec Wealth & Investment (“IW&I”) and references to “you” or “your” refer to the party or parties named above, unless otherwise stated.

This *Client Agreement* and the other documents (as set out in Section 1 and the *Terms and Conditions*) which form the *Agreement* between us and you set out the basis upon which IW&I will provide these services to you. It replaces all prior arrangements or understandings between us and you.

Please complete this document as comprehensively as possible. Please complete all fields as applicable; any gaps should be marked ‘not applicable’.

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Client details

Section 1

Our Agreement

This *Client Agreement* should be read in conjunction with the *Terms and Conditions* (including the Annexes), Managing Your Investments document and ratecard which sets out our charges, and any other document as listed in the *Terms and Conditions*, which we may provide to you which states it is to form part of the Agreement between us and you.

As stated in the *Terms and Conditions*, the *Agreement* between you and us will come into force when all of the following matters have been completed:

1. We have received a completed and signed copy of this *Client Agreement*.
2. We have fulfilled our obligations under the appropriate Money Laundering legislation or regulations in respect of our engagement by new customers.

Once the above matters have been completed, and if applicable, we have re-registered your securities in the name of our *nominee company*, you will receive from us a *Commencement Letter* which sets out the date on which we shall begin to manage your portfolio in accordance with the terms of the *Agreement*.

Prior to the date set out in the *Commencement Letter* and subject to the terms of the *Agreement*, we will at your request provide advice in respect of individual assets and on your instructions deal in respect of individual assets. However, we will not be able to provide this service unless we have received from you a signed copy of this *Client Agreement*, and we have fulfilled our obligations under the appropriate Money Laundering legislation or regulations.

If you request us to carry out an execution only trade, we are not required to assess the suitability of the instrument or service provided to you. As a result you will not benefit from the protection of the *Financial Conduct Authority (FCA)* rules on assessing suitability and therefore we will not assess whether the product or service meets your *investment objectives*, risk appetite and ability to bear any financial loss or whether we believe you have the appropriate knowledge and experience to assess the risks involved. If you request us to purchase a complex financial instrument, we must first assess whether we believe you have the appropriate knowledge and experience to understand the risks involved with investing in that product. We may need you to provide us with additional information to allow us to perform that assessment.

Our nominee services

Your stock will normally be registered in the name of our *nominee company* and held on trust on your behalf. Our *nominee company* is a member of the CREST Settlement System and, wherever practicable, will hold your stock in uncertificated form. Assets held in our *nominee company* are subject to rules of the *FCA*.

You should be aware that the time taken to re-register cash, assets, shares and/or securities in the name of our *nominee company* will vary dependent on a number of factors outside of our control. As such we may not be able to effect any transaction you instruct us to carry out prior to the date set out in the *Commencement Letter* and we do not accept liability for any loss. If you request us to purchase a complex financial instrument, we must first assess whether we believe you have the appropriate knowledge and experience to understand the risks involved with investing in that product. We may need you to provide us with additional information to allow us to perform that assessment.

In the event that you continue to receive correspondence direct from companies or their registrars (particularly in respect of corporate actions), you should inform us immediately and retain any such documentation pending our recommendation.

Section 1

Client details	
Applicant 1	Applicant 2 (if any)
<input type="checkbox"/> MR <input type="checkbox"/> MRS <input type="checkbox"/> MISS <input type="checkbox"/> MS <input type="text"/> OTHER	<input type="checkbox"/> MR <input type="checkbox"/> MRS <input type="checkbox"/> MISS <input type="checkbox"/> MS <input type="text"/> OTHER
FULL NAME	FULL NAME
OTHER NAMES (ALIAS/MAIDEN ETC)	OTHER NAMES (ALIAS/MAIDEN ETC)
RESIDENTIAL ADDRESS*	RESIDENTIAL ADDRESS*
<input type="text"/> <input type="text"/> POSTCODE <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> POSTCODE <input type="text"/> <input type="text"/> <input type="text"/>
TELEPHONE (HOME)	TELEPHONE (HOME)
TELEPHONE (BUSINESS)	TELEPHONE (BUSINESS)
TELEPHONE (MOBILE)	TELEPHONE (MOBILE)
EMAIL ADDRESS	EMAIL ADDRESS
DATE OF BIRTH	DATE OF BIRTH
NATIONALITY	NATIONALITY
NATIONAL CLIENT IDENTIFIER (NCI)**	NATIONAL CLIENT IDENTIFIER (NCI)**
DUAL NATIONALITY	DUAL NATIONALITY
SECOND NATIONAL CLIENT IDENTIFIER (NCI)**	SECOND NATIONAL CLIENT IDENTIFIER (NCI)**
COUNTRY OF BIRTH	COUNTRY OF BIRTH
COUNTRY OF RESIDENCE	COUNTRY OF RESIDENCE
If two individuals are setting up a joint account, this agreement will allow Investec Wealth & Investment to accept instructions from either party.	If two individuals are setting up a joint account, this agreement will allow Investec Wealth & Investment to accept instructions from either party.

* If you have resided at the above address for less than 5 years please provide your previous address details in the section entitled 'Additional Information'.

** A table detailing NCI information required for each country (where applicable) can be found at the back of this document. If the relevant country is not listed, please provide a valid passport number and expiry date. Should you or the second applicant have dual nationality, please complete the NCI details (where applicable) for each nationality. If you do not have the information attached, please contact your Investment Manager.

Section 2

Instructions from any *nominated person*

If you wish to appoint any *nominated person* or entity to pass instructions to us in respect of the operation of your account (e.g. spouse, partner, other adviser, etc.) please complete the separate Nomination form at the back of this document,

Please tick relevant box and complete section listed

- Nominated entity (e.g. Solicitors, Accountant, etc.) Section 10
- Nominated person (e.g. spouse, relative, adviser, etc.) Section 11

Information to other persons

If you wish us to give information to other persons in respect of the operation of your account (e.g. Solicitor, Accountant, etc.), please list them below.

If after the date of this *Client Agreement* your wishes change, please notify us in writing in accordance with section 42 of the *Terms and Conditions*.

Please send copy information to the following parties:

- Correspondence Statements Contract Notes Valuations Accountants Pack

NAME

ADDRESS

POSTCODE

- Correspondence Statements Contract Notes Valuations Accountants Pack

NAME

ADDRESS

POSTCODE

- Correspondence Statements Contract Notes Valuations Accountants Pack

NAME

ADDRESS

POSTCODE

Section 3

Despatch of correspondence & confirmation of trades

Please indicate below to whom you would like valuations, general correspondence and tax information to be sent.

- Provide Valuations to:** ME/US MY/OUR FINANCIAL ADVISER FIRM
- Provide confirmation of trades to:** ME/US MY/OUR FINANCIAL ADVISER FIRM NONE REQUIRED
- Provide general correspondence to:** ME/US MY/OUR FINANCIAL ADVISER FIRM
- Provide Tax Pack to:** ME/US MY/OUR FINANCIAL ADVISER FIRM
- If you would prefer we can undertake all communication via your Financial Adviser* (please tick)**

If you request Valuations, Loss Notifications and/or all communications to be sent to your *Financial Adviser* only, your *Financial Adviser* will be responsible for forwarding all of these communications to you in a timely manner. If no boxes are ticked, we shall forward the documents to you.

Correspondence/details of the service/tax/investments

Sections 3-6

IW&I Online

The IW&I Online service will provide you with secure access to real time holdings, asset allocation, quarterly valuations and many additional features. To use this service, please provide a memorable six letter word that will be used for security purposes.

Applicant 1 Applicant 2 (if any)

However, if you would prefer to receive paper copies of your valuations by post please tick this box .

By using the IW&I Online service you will have access to your valuations online and you will be notified by email when they are available to view. **We will not send you paper copies of your valuation by post.**

Please Note:

1. Each applicant must have their own email address and preferably mobile telephone number.
2. Kindly ensure that you have provided both the email address and mobile telephone number within Section 1 of this form.
3. We will send you an email outlining how to log in for the first time. You will be required to have the six letter memorable word above to hand.
4. Please refer to our full Terms and Conditions document for details of the terms and conditions applicable for IW&I Online.

Section 4

Service

Your account, including any ISA accounts, will be operated on a discretionary basis, as described in section 5 of our *Terms and Conditions*.

Our services to investors are fully described in our current service brochures which have already been provided to you. The Master Portfolio Service falls under our Discretionary Management Service.

For discretionary clients, we do not normally send out contract notes. The information of each trade will be included in your valuation. If you wish to receive contract notes at the time of dealing, please tick this box.

Section 5

Residency for taxation purposes

Customer Declaration

I am/we are resident(s) of INSERT COUNTRY, E.G. UK for taxation purposes.

- Please note:**
- a) we may be required to disclose certain information about your transactions to HM Revenue & Customs and overseas authorities if requested;
 - b) if you invest in US securities please read the guidance notes on US Withholding Tax in our *Terms and Conditions*.

Section 6

Investment portfolio

Please indicate in one of the boxes below your preferred investment portfolio. Details of all of the portfolios are available in our service brochure.

	Investment Objective		Risk*		Investment Objective		Risk*
Balanced Portfolio	<input type="checkbox"/>	Balanced	Medium	Cautious Portfolio	<input type="checkbox"/>	Balanced	Medium Low
Income Portfolio	<input type="checkbox"/>	Income	Medium	Defensive Portfolio	<input type="checkbox"/>	Balanced	Low
Growth Portfolio	<input type="checkbox"/>	Growth	Medium to High	High Growth Portfolio	<input type="checkbox"/>	Growth	High

Before commencement of the management of your portfolio we or your advisor will assess the suitability of our service to you. If you do not complete this section, we will be unable to act on your behalf.

Risk statement

This statement should be read in conjunction with our Managing Your Investments document and the MPS brochure, but in overall terms we would consider the nature of risk within the investment strategies to be as they are detailed above*. This statement is based on the diversification and spread of the underlying *investments* which predominantly contain a mixture of equity and fixed interest type funds, typically supported by a lesser weighting in alternative asset classes. All *investment* strategies invest in both the *UK* and overseas markets and contain a variety of products and investment styles from the different, underlying investment houses.

Further or alternative provisions

Please state here if there are further or alternative provisions that you wish us to be aware of. We will attempt to meet these requirements but will inform you if such requests are not relevant in the circumstances or are impractical to provide.

Time horizon

What is the timeframe for investment? 1–5 years 5–10 years 10 years +

Valuations

A valuation of your portfolio will be produced on the DAY of MONTH
(not later than three months from the commencement date of the *Agreement*) and thereafter at quarterly intervals.

Your money

Any funds which we hold for you will be held in a bank account on your behalf subject to the *FCA Client Assets Rules*.

If you request us to pay money to you, we will normally only pay money by automated transfer to the bank or building society nominated by you below. If your account changes or you wish money to be paid to another account we ask that you confirm this in writing in advance of payment.

BANK/BUILDING SOCIETY	
BRANCH	
SORT CODE <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	ACCOUNT NUMBER <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
BUILDING SOCIETY ROLL NUMBER	
ACCOUNT NAME	
IBAN NUMBER (IF AN OVERSEAS BANK ACCOUNT)	

CLIENT SIGNATURE

DATE	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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CLIENT SIGNATURE

DATE	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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Payments

All cheques should be made payable to "Investec Wealth & Investment Limited".

Financial Background

In order to comply with anti-money laundering regulations, we are required to form a complete understanding of how our clients accumulated their overall wealth and the assets that we are being asked to manage. We are unable to accept funds for investment without this information.

Origins of Wealth

Please describe briefly the principal sources of your overall wealth.

<hr/> <hr/> <hr/>

Your Investment

Please indicate how the specific capital sum that you wish Investec Wealth & Investment to manage arose.

<hr/> <hr/>

Source of Funds

Please indicate where the specific capital sum (cash and assets) that you wish Investec Wealth & Investment to manage will be being transferred from (e.g. personal bank account held at HSBC; portfolio transferred from another investment manager). Please also indicate from which country the funds originate (e.g. UK).

<hr/> <hr/>

OCCUPATION <small>(IF APPLICABLE)</small>	PREVIOUS OCCUPATION <small>(IF RETIRED OR OCCUPATION HAS CHANGED WITHIN THE LAST THREE YEARS)</small>
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Income

1 PLEASE REINVEST INTO MY/OUR IW&I CAPITAL ACCOUNT

2 TRANSFER TO MY/OUR BANK ACCOUNT AS INDICATED ABOVE.

Income will be paid to your capital or other account on a quarterly basis.

3 PLEASE PAY A STANDING ORDER TO THE ABOVE BANK ACCOUNT OF:

£	<input type="text"/>
COMMENCING ON	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
FREQUENCY	<input type="text"/>

Section 7

Communication preferences

We would like to use your details to keep in touch by sending information which we believe is relevant and useful to you. This information may include investment news and insights alongside marketing updates and exclusive event invites.

To help further develop and understand the right information and services that we can provide, we may also use your information for internal marketing analytics.

Please confirm how you would like to receive investment news and insights alongside marketing updates and exclusive event invites from IW&I:

(Please tick all that apply)

Email: Post: SMS: Social Media Messaging:

In order for us to continue to develop and grow our business, we would like your permission to share some of your information with selected third-party partners.

Yes, I am happy for my information to be shared securely with carefully selected marketing partners to help Investec Wealth & Investment better understand the needs and interests of current and future clients through analytics and insight.

For more information on this and how we treat your data securely, please see our Data Protection Notice.

At any time you can change your mind and opt-out or update your communication preferences by contacting: communications@investecwin.co.uk or by contacting your Investment Manager.

Authority to communicate by fax and email

Please note that given the data security issues surrounding the sending of unencrypted emails, should you, or any nominated person on your behalf communicate with us by fax or email or request that we provide information to you or any *nominated person* by email the following provisions will apply:

Where you communicate with us by fax or email

You give us authority to receive instructions from you by email and fax in relation to the matters listed below and in relation to any other matters connected with your account and the relationship between us and you.

- 1) This authority shall extend to the matters listed below only or in any way connected with your account and the relationship between us and you:
 - a) the transfer of funds between accounts in your name(s);
 - b) the processing / amendment / cancellation of other information relating to this account.
- 2) Where instructions received by us are given by email, we give no guarantee as to the timeliness or execution of those instructions, including cases, for example, where the addressee at our offices is not available or is away or our email systems are not available. You should not assume that any email has been received by us and/or actioned unless you have received either an email and/or telephone call acknowledging our receipt.

Where you request that we provide information to you by email

- 1) you confirm that you are responsible for the security and access to your email account.
- 2) unless you inform us otherwise we are entitled to assume that the email address given below remains current.

EMAIL ADDRESS:

We shall not normally accept instructions given by email. You should also be aware that email is not a secure medium and therefore any instructions received by us purporting to be from you by email will be actioned but no liability will be accepted for any false instructions or lateness whatsoever. We shall have no obligation to verify the authenticity of any email sent to us and we reserve the right to not action instructions if we believe such instructions could be fraudulent. In such circumstances we will contact you by telephone to verify whether the instructions are genuine.

This authority shall continue in full force and effect until we receive from you, in writing in accordance with the provisions of section 32 of the Terms and Conditions in a form other than by email or fax, different instructions.

Please note that this instruction does not extend to the transfer of unsold stock out of our nominee company or safe custody, nor to paying money away to third parties.

Important

- 1** We can only act as your Investment Manager if a copy of this *Client Agreement* is signed and returned to us.
- 2** You should ensure that you have received our *Terms and Conditions* and all other documents referred to in section 1 of this *Client Agreement* and that you are fully aware of our charges currently in force.
- 3** You should notify us immediately if any of the information set out in this *Client Agreement* or that you may provide to us in the future should change.
- 4** In the case of **joint accounts**, this *Client Agreement* will govern any individual *ISA* accounts that are established by either one of you. We will accept instructions and pass information to either one of you, unless we are notified to the contrary in writing.

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Section 8
Applicant 1

Please refer to the explanatory notes/instructions and/or contact your tax adviser to help complete this form

Section A: Beneficial Owner Information

FULL NAME (MANDATORY)			
PERMANENT RESIDENCE ADDRESS (MANDATORY)			
		POSTCODE	<input type="text"/>
MAILING ADDRESS (IF DIFFERENT)			
		POSTCODE	<input type="text"/>
COUNTRY OF BIRTH (MANDATORY)	PLACE OF BIRTH (TOWN OR CITY) (MANDATORY)	DATE OF BIRTH (MANDATORY)	<input type="text"/>

Section B: Tax Residency (MANDATORY)

Please indicate ALL countries in which you are resident for the purposes of that country's income tax. You must provide your tax identification number (TIN) for each country you are tax resident in. Example TIN's include NI number (UK and Isle of Man), Social Security Number (Guernsey, Jersey, Gibraltar), and US Tin (US).

If you are unable to provide a relevant Tax Identification Number (e.g. Minor) then please explain the reason why in the Tax Identification Number box e.g. Minor.

If you are a US citizen, Green Card holder, US resident, or have a substantial presence in the US* (see definition below), you must complete and return to Investec Wealth & Investment an IRS (Internal Revenue Service) W-9 form and include any additional non-US tax residencies in the table below.

* Substantial presence is defined as if you were physically present in the US on at least: 31 days during the current year; and 183 days during the 3 year period that includes the current year and the 2 years immediately before that.

COUNTRY OF TAX RESIDENCY	TAX IDENTIFICATION NUMBER	NO TIN <input type="checkbox"/>
COUNTRY OF TAX RESIDENCY	TAX IDENTIFICATION NUMBER	NO TIN <input type="checkbox"/>
COUNTRY OF TAX RESIDENCY	TAX IDENTIFICATION NUMBER	NO TIN <input type="checkbox"/>
COUNTRY OF TAX RESIDENCY	TAX IDENTIFICATION NUMBER	NO TIN <input type="checkbox"/>

Section C: Declaration Section (MANDATORY)

- I undertake to advise Investec Wealth & Investment promptly of any change in circumstances which causes the information contained herein to become incorrect or incomplete and to provide Investec Wealth & Investment with an updated declaration within 30 days of such a change in circumstances.
- I am aware that in certain circumstances Investec Wealth & Investment will be obliged to share this information with UK tax authorities, who may pass it on to other tax authorities.
- I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete.

SIGNED	DATE	<input type="text"/>
PRINT NAME	CAPACITY	<input type="text"/>

For office use only

Upon receipt; this form should be forwarded to the Regulatory Reporting department in Liverpool.

Please supply account number(s) if this is a new self certificate for use against existing accounts:

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Applicant 2

Please refer to the explanatory notes/instructions and/or contact your tax adviser to help complete this form

Section A: Beneficial Owner Information

FULL NAME (MANDATORY)			
PERMANENT RESIDENCE ADDRESS (MANDATORY)			
		POSTCODE	<input type="text"/>
MAILING ADDRESS (IF DIFFERENT)			
		POSTCODE	<input type="text"/>
COUNTRY OF BIRTH (MANDATORY)	PLACE OF BIRTH (TOWN OR CITY) (MANDATORY)	DATE OF BIRTH (MANDATORY)	<input type="text"/>

Section B: Tax Residency (MANDATORY)

Please indicate ALL countries in which you are resident for the purposes of that country's income tax. You must provide your tax identification number (TIN) for each country you are tax resident in. Example TIN's include NI number (UK and Isle of Man), Social Security Number (Guernsey, Jersey, Gibraltar), and US Tin (US).

If you are unable to provide a relevant Tax Identification Number (e.g. Minor) then please explain the reason why in the Tax Identification Number box e.g. Minor.

If you are a US citizen, Green Card holder, US resident, or have a substantial presence in the US* (see definition below), you must complete and return to Investec Wealth & Investment an IRS (Internal Revenue Service) W-9 form and include any additional non-US tax residencies in the table below.

* Substantial presence is defined as if you were physically present in the US on at least: 31 days during the current year; and 183 days during the 3 year period that includes the current year and the 2 years immediately before that.

COUNTRY OF TAX RESIDENCY	TAX IDENTIFICATION NUMBER	NO TIN <input type="checkbox"/>
COUNTRY OF TAX RESIDENCY	TAX IDENTIFICATION NUMBER	NO TIN <input type="checkbox"/>
COUNTRY OF TAX RESIDENCY	TAX IDENTIFICATION NUMBER	NO TIN <input type="checkbox"/>
COUNTRY OF TAX RESIDENCY	TAX IDENTIFICATION NUMBER	NO TIN <input type="checkbox"/>

Section C: Declaration Section (MANDATORY)

- I undertake to advise Investec Wealth & Investment promptly of any change in circumstances which causes the information contained herein to become incorrect or incomplete and to provide Investec Wealth & Investment with an updated declaration within 30 days of such a change in circumstances.
- I am aware that in certain circumstances Investec Wealth & Investment will be obliged to share this information with UK tax authorities, who may pass it on to other tax authorities.
- I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete.

SIGNED	DATE	<input type="text"/>
PRINT NAME	CAPACITY	<input type="text"/>

For office use only

Upon receipt; this form should be forwarded to the Regulatory Reporting department in Liverpool.

Please supply account number(s) if this is a new self certificate for use against existing accounts:

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Section 9

To Investec Wealth & Investment

This is our standard client agreement upon which we intend to rely. For your own benefit and protection, you should read this Agreement (a defined term in our *Terms and Conditions*) carefully before signing. If you do not understand any point, please ask for further information.

To be completed by your *Financial Adviser*

CONTACT NAME	
NAME OF FIRM Vision Independent Financial Planning Ltd	
FCA NUMBER 487395	IW&I AGENCY NUMBER
ADDRESS Vision House	
Unit 6A Falmouth Business Park, Bickland Water Road	
Falmouth, Cornwall	POSTCODE T R 1 1 4 S Z
CORRESPONDENCE ADDRESS (IF DIFFERENT)	
	POSTCODE
TELEPHONE NUMBER	FAX NUMBER
EMAIL	

Bank details

Any payments to you on behalf of your clients will be through the bank account details already held for your IW&I agency above.

Electronic Reporting

If you use a back office system and require details to be provided for this client please provide details of the provider.

If we are able to support your request we will arrange to provide data. However, we do not offer this service for all back office systems.

Declarations by the *Financial Adviser*

I/We certify that:

I/We confirm that I/we have undertaken a full fact find for the client(s) and assessed suitability of this service in accordance with FCA requirements. I/We confirm that I/we will notify IW&I of any change in our client(s) circumstances that may affect the management of the portfolio.

This information will be used by us for the purposes of fulfilling our Know Your Customer obligations with regards to the management of your client(s) portfolio. It will not be used for any other purpose.

I/We confirm that

- (a) the information in section 1 above was obtained by me/us in relation to the customer;
- (b) the evidence I/we have obtained to verify the identity of the customer and certified copies of the underlying documentary evidence can be provided upon request

meets the standard evidence set out within the guidance for the UK Financial Sector issued by JMLSG; or exceeds the standard evidence (written details of the further verification evidence taken are attached to this confirmation).

or

I/We have not verified the identity of the Applicant(s).

I/We understand that any remuneration paid to me/us on behalf of my/our client(s) is inclusive of any VAT that may be applicable.

I/We confirm that I/we have been informed verbally or in writing, that the basis of any advice within the service will be 'restricted'. I/We also confirm that I/we have notified the client accordingly.

I/We understand that where my/our client has requested that Valuations, Loss Notifications and/or all communications are sent to me/us that I/we accept the responsibility of forwarding all of these communications to my/our client in a timely manner.

Note: If you are unable to provide documentary evidence of money laundering verification or you have not undertaken verification of the Applicant(s), we will contact the Applicant(s) direct in order to fulfil our obligations under the money laundering legislation. This will delay the commencement of this Agreement.

SIGNED	NAME
	DATE

Declarations

Section 9

Customer declaration

I/We authorise you to release information in relation to my/our investments and myself/ourselves to my/our *financial adviser firm*.

I/We authorise you to accept instructions in relation to my/our investment mandate from my/our *financial adviser firm* Please Tick

I/We authorise you to accept instructions in relation to payments from my/our account from my/our *financial adviser firm* Please Tick

I/We confirm that the basis of any adviser agreed remuneration has been fully explained to me/us by our *financial adviser firm*.

I/We confirm that I/we give you prior express consent, where in exceptional circumstances you agree to retain a limit order for more than one day, not to publish those limit orders.

I/We confirm that I/we give you prior express consent to deal off-market as detailed in the Order Execution Policy in the Annexes of the *Terms and Conditions*.

Non-Recurring adviser agreed remuneration

I/We confirm that I/we agree to the payment of non-recurring adviser agreed remuneration of (enter £ value or % of investment)

inclusive of any VAT that may be applicable.

Recurring adviser agreed remuneration (for this and any additional investment)

I/We confirm that I/We agree to the payment of recurring adviser agreed remuneration to Vision I.F.P. Ltd **inclusive** of any VAT that may be payable, of:

- Adviser Charge (enter £ value or % of investment) per annum
 - In respect of due diligence on the discretionary fund management marketplace and on investment portal provision per annum
- Total per annum

Please note we will continue to pay your adviser at the agreed rate unless we hear from you in writing.

Investec Wealth & Investment charges

The basis of IW&I charge(s) that will be applied across all of the account(s) stated above will be as follows:

Annual Management Charge plus VAT

SIGNED

NAME

DATE

SIGNED

NAME

DATE

In the case of joint accounts this *Client Agreement* must be signed by all parties. The account will be operated on the instruction of one signatory unless specified differently.

For office use only

CLIENT NAME

CLIENT CODE

Clients of Financial Advisers ISA Stocks and Shares applicant 1

Terms in italics refer to the definitions section of the Terms and Conditions for Investment Management and Dealing Services.

I apply to subscribe for an Investec Wealth & Investment (IW&I) Stocks and Shares Individual Savings Account for the tax year commencing 6th April 2019 and for subsequent years where applicable. I agree that such subscriptions will be subject to IW&I's standard charges and terms applicable at that time.

IW&I CONTACT:	<input type="text"/>	EXISTING REFERENCE NO.:	<input type="text"/>
NAME OF FINANCIAL ADVISER:	<input type="text"/>		

1 Personal details In order to comply with HM Revenue & Customs requirements, the personal details section must be completed in full

TITLE/NAME			
PERMANENT RESIDENTIAL ADDRESS			
<input type="text"/>			POSTCODE
TELEPHONE NO. HOME		TELEPHONE NO. WORK	
DATE OF BIRTH	<input type="text"/>	DO YOU HAVE A NATIONAL INSURANCE NO.?	<input type="checkbox"/> YES <input type="checkbox"/> NO
NATIONAL INSURANCE NO.		<input type="text"/>	

2 Declaration & Authority for a Client of Financial Advisers Stocks and Shares ISA

I wish to subscribe to a Client of Financial Advisers Stocks and Shares ISA for the tax year 2019/2020 by:

TRANSFERRING CASH FROM MY PORTFOLIO	<input type="checkbox"/>	CHEQUE (ATTACHED)*	<input type="checkbox"/>
TRANSFERRING PROCEEDS OF SALES FROM MY PORTFOLIO	<input type="checkbox"/>	SHARES FROM ALL-EMPLOYEE SAVINGS-RELATED SHARE OPTION/PROFIT SHARING SCHEME	<input type="checkbox"/>

MY INITIAL SUBSCRIPTION IS FOR £ THE MAXIMUM YOU MAY SUBSCRIBE IS £20,000

MY ACCOUNT IS TO BE SET UP IN ACCORDANCE WITH MY OTHER ACCOUNTS AS STATED ON THE CLIENT AGREEMENT FORM SIGNED BY ME

* All cheques should be made payable to "Investec Wealth & Investment Limited".

3 Declaration

I declare that:

- (a) I am 18 years of age or over.
- (b) I have not subscribed and will not subscribe to another Stocks and Shares ISA in the same year that I subscribe to this *Clients of Financial Advisers Stocks and Shares ISA*. (N.B. for these purposes a reference to a year is a reference to a tax year).
- (c) I am resident in the *United Kingdom* for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of the 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 Wealth & Investment if I cease to be so resident or to perform such duties or be married to a person who performs such duties.

I hereby authorise IW&I directly or through its appointed nominee company to:

- (a) Hold my cash subscription, *ISA investments*, interest, dividends and any other rights or proceeds in respect of those *investments* and any other cash.
- (b) Make on my behalf any claims to relief from tax in respect of *ISA investments*.
- (c) On my written request to transfer or pay to me as the case may be *ISA investments*, interest, dividends, rights or other proceeds in respect of such investments or any cash.

I declare that, to the best of my knowledge and belief, the information provided by me herewith is true and correct, I agree to inform IW&I of any changes in this information without delay. I agree to the Terms and Conditions. I declare that this Application Form has been completed to the best of my knowledge and belief.

I acknowledge that:

- (a) My *ISA* is subject to the *Terms and Conditions*. For your own benefit and protection you should read these terms carefully before signing them. If you do not understand any point please ask for further information.
- (b) My *ISA* will be operated on the same service, risk and objective profile stated in the *Client Agreement* as applicable and signed by me.
- (c) The information contained in this Application Form will be held and processed in accordance with Data Protection Legislation as defined in the relevant section of the *Terms and Conditions*.
- (d) *IW&I* will pass information and accept instructions from my *financial adviser* detailed above if authorised by me in the *Client Agreement* as applicable, unless *IW&I* is notified differently in writing.

4 Signature In order to comply with HM Revenue & Customs requirements, you must put your signature in the client signature box below and also fill in the date box.

CLIENT SIGNATURE	DATE	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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Please complete and return this form to your Investment Manager.

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Clients of Financial Advisers ISA Stocks and Shares applicant 2

Terms in italics refer to the definitions section of the Terms and Conditions for Investment Management and Dealing Services.

I apply to subscribe for an Investec Wealth & Investment (IW&I) Stocks and Shares Individual Savings Account for the tax year commencing 6th April 2019 and for subsequent years where applicable. I agree that such subscriptions will be subject to IW&I's standard charges and terms applicable at that time.

IW&I CONTACT:	<input type="text"/>	EXISTING REFERENCE NO.:	<input type="text"/>
NAME OF FINANCIAL ADVISER:	<input type="text"/>		

1 Personal details In order to comply with HM Revenue & Customs requirements, the personal details section must be completed in full

TITLE/NAME			
PERMANENT RESIDENTIAL ADDRESS			
<input type="text"/>			POSTCODE
TELEPHONE NO. HOME		TELEPHONE NO. WORK	
DATE OF BIRTH	<input type="text"/>	DO YOU HAVE A NATIONAL INSURANCE NO.?	<input type="checkbox"/> YES <input type="checkbox"/> NO
NATIONAL INSURANCE NO.		<input type="text"/>	

2 Declaration & Authority for a Client of Financial Advisers Stocks and Shares ISA

I wish to subscribe to a Client of Financial Advisers Stocks and Shares ISA for the tax year 2019/2020 by:

TRANSFERRING CASH FROM MY PORTFOLIO <input type="checkbox"/>	CHEQUE (ATTACHED)* <input type="checkbox"/>
TRANSFERRING PROCEEDS OF SALES FROM MY PORTFOLIO <input type="checkbox"/>	SHARES FROM ALL-EMPLOYEE SAVINGS-RELATED SHARE OPTION/PROFIT SHARING SCHEME <input type="checkbox"/>

MY INITIAL SUBSCRIPTION IS FOR £ THE MAXIMUM YOU MAY SUBSCRIBE IS £20,000

MY ACCOUNT IS TO BE SET UP IN ACCORDANCE WITH MY OTHER ACCOUNTS AS STATED ON THE CLIENT AGREEMENT FORM SIGNED BY ME

* All cheques should be made payable to "Investec Wealth & Investment Limited".

3 Declaration

I declare that:

- (a) I am 18 years of age or over.
- (b) I have not subscribed and will not subscribe to another Stocks and Shares ISA in the same year that I subscribe to this *Clients of Financial Advisers Stocks and Shares ISA*. (N.B. for these purposes a reference to a year is a reference to a tax year).
- (c) I am resident in the *United Kingdom* for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of the 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 Wealth & Investment if I cease to be so resident or to perform such duties or be married to a person who performs such duties.

I hereby authorise IW&I directly or through its appointed nominee company to:

- (a) Hold my cash subscription, *ISA investments*, interest, dividends and any other rights or proceeds in respect of those *investments* and any other cash.
- (b) Make on my behalf any claims to relief from tax in respect of *ISA investments*.
- (c) On my written request to transfer or pay to me as the case may be *ISA investments*, interest, dividends, rights or other proceeds in respect of such investments or any cash.

I acknowledge that:

- (a) My *ISA* is subject to the *Terms and Conditions*. For your own benefit and protection you should read these terms carefully before signing them. If you do not understand any point please ask for further information.
- (b) My *ISA* will be operated on the same service, risk and objective profile stated in the *Client Agreement* as applicable and signed by me.
- (c) The information contained in this Application Form will be held and processed in accordance with Data Protection Legislation as defined in the relevant section of the *Terms and Conditions*.
- (d) *IW&I* will pass information and accept instructions from my *financial adviser* detailed above if authorised by me in the *Client Agreement* as applicable, unless *IW&I* is notified differently in writing.

I declare that, to the best of my knowledge and belief, the information provided by me herewith is true and correct, I agree to inform IW&I of any changes in this information without delay. I agree to the Terms and Conditions. I declare that this Application Form has been completed to the best of my knowledge and belief.

4 Signature In order to comply with HM Revenue & Customs requirements, you must put your signature in the client signature box below and also fill in the date box.

CLIENT SIGNATURE	DATE	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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Please complete and return this form to your Investment Manager.

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WHEN TRANSFERRING AN ISA TO INVESTEC WEALTH & INVESTMENT (IW&I), PLEASE COMPLETE AN ISA APPLICATION FORM IF YOU WISH TO SUBSCRIBE WITHIN THE CURRENT TAX YEAR.

Clients of Financial Advisers ISA Transfer application form applicant 1

Please complete a separate ISA Transfer Form for each provider you wish to make a transfer from.

IW&I CONTACT:	<input type="text"/>	EXISTING REFERENCE NO.:	<input type="text"/>
NAME OF FINANCIAL ADVISER:	<input type="text"/>		

Personal details

MR/MRS/MISS/MS	FORENAME(S)		
OTHER <i>Please state</i>	SURNAME		
PERMANENT RESIDENTIAL ADDRESS			
<input type="text"/>			
<input type="text"/>			POSTCODE
<input type="text"/>			<input type="text"/>
TELEPHONE NO. HOME	TELEPHONE NO. WORK		
<input type="text"/>	<input type="text"/>		
DATE OF BIRTH	<input type="text"/>	<input type="text"/>	<input type="text"/>
DO YOU HAVE A NATIONAL INSURANCE NO.	<input type="checkbox"/> YES	<input type="checkbox"/> NO	NATIONAL INSURANCE NO.
			<input type="text"/>

Authority to Transfer ISAs

I APPLY TO TRANSFER MY EXISTING ISA A/C NO.
FROM (OLD MANAGER)
ADDRESS
<input type="text"/>
<input type="text"/>
POSTCODE
<input type="text"/>
To: Investec Wealth & Investment, The Plaza, 100 Old Hall Street, Liverpool, L3 9AB
I authorise you to provide information to, and accept the instructions of, Investec Wealth & Investment with regard to the transfer of cash balances and securities of my ISA(s).
I WISH TO TRANSFER THE WHOLE OF MY ISA(S) <input type="checkbox"/> OR TRANSFER HOLDINGS <input type="checkbox"/> OR CASH <input type="checkbox"/> TO THE VALUE OF: £
SPECIFIC HOLDINGS TO BE TRANSFERRED/SOLD
<input type="text"/>
<input type="text"/>

Declaration

<p>I Declare that:</p> <ul style="list-style-type: none"> I am 18 years of age or over. I have not subscribed and will not subscribe more than the overall subscription limit to any combination of permitted ISAs in the same tax year*. <p>I authorise Investec Wealth & Investment:</p> <ul style="list-style-type: none"> To hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash. To make on my behalf any claims to relief from tax in respect of ISA investments. On my written request to transfer or pay to me as the case may be ISA investments, interest, dividends, rights or other proceeds in respect of such investments or any cash. 	<p>I acknowledge that:</p> <ul style="list-style-type: none"> My ISA is subject to the Terms and Conditions for Investment Management and Dealing Services, in particular the section entitled Terms and Conditions. My ISA will be operated on the same service, risk and objective profile stated in the Client Agreement and signed by me unless otherwise agreed between us. The information contained in this Application Form will be held and processed in accordance with Data Protection Legislation as defined in the relevant section of the Terms and Conditions.
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*The maximum allowance is currently £20,000.

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

CLIENT SIGNATURE	DATE
<input type="text"/>	<input type="text"/>

Please complete and return this form to your Investment Manager.

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WHEN TRANSFERRING AN ISA TO INVESTEC WEALTH & INVESTMENT (IW&I), PLEASE COMPLETE AN ISA APPLICATION FORM IF YOU WISH TO SUBSCRIBE WITHIN THE CURRENT TAX YEAR.

Clients of Financial Advisers ISA Transfer application form applicant 2

Please complete a separate ISA Transfer Form for each provider you wish to make a transfer from.

IW&I CONTACT:	<input type="text"/>	EXISTING REFERENCE NO.:	<input type="text"/>
NAME OF FINANCIAL ADVISER:	<input type="text"/>		

Personal details

MR/MRS/MISS/MS	FORENAME(S)		
OTHER <i>Please state</i>	SURNAME		
PERMANENT RESIDENTIAL ADDRESS			
<input type="text"/>			
<input type="text"/>		POSTCODE	<input type="text"/>
TELEPHONE NO. HOME	TELEPHONE NO. WORK		
DATE OF BIRTH	<input type="text"/>	DO YOU HAVE A NATIONAL INSURANCE NO.	<input type="checkbox"/> YES <input type="checkbox"/> NO
		NATIONAL INSURANCE NO.	<input type="text"/>

Authority to Transfer ISAs

I APPLY TO TRANSFER MY EXISTING ISA A/C NO.	
FROM (OLD MANAGER)	
ADDRESS	
<input type="text"/>	
<input type="text"/>	
POSTCODE	<input type="text"/>
To: Investec Wealth & Investment, The Plaza, 100 Old Hall Street, Liverpool, L3 9AB	
I authorise you to provide information to, and accept the instructions of, Investec Wealth & Investment with regard to the transfer of cash balances and securities of my ISA(s).	
I WISH TO TRANSFER THE WHOLE OF MY ISA(S) <input type="checkbox"/> OR TRANSFER HOLDINGS <input type="checkbox"/> OR CASH <input type="checkbox"/> TO THE VALUE OF: £	
SPECIFIC HOLDINGS TO BE TRANSFERRED/SOLD	
<input type="text"/>	
<input type="text"/>	

Declaration

<p>I Declare that:</p> <ul style="list-style-type: none"> I am 18 years of age or over. I have not subscribed and will not subscribe more than the overall subscription limit to any combination of permitted ISAs in the same tax year*. <p>I authorise Investec Wealth & Investment:</p> <ul style="list-style-type: none"> To hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash. To make on my behalf any claims to relief from tax in respect of ISA investments. On my written request to transfer or pay to me as the case may be ISA investments, interest, dividends, rights or other proceeds in respect of such investments or any cash. 	<p>I acknowledge that:</p> <ul style="list-style-type: none"> My ISA is subject to the Terms and Conditions for Investment Management and Dealing Services, in particular the section entitled Terms and Conditions. My ISA will be operated on the same service, risk and objective profile stated in the Client Agreement and signed by me unless otherwise agreed between us. The information contained in this Application Form will be held and processed in accordance with Data Protection Legislation as defined in the relevant section of the Terms and Conditions.
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*The maximum allowance is currently £20,000.

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

CLIENT SIGNATURE	DATE	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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Please complete and return this form to your Investment Manager.

Nominated Entity Form

Section 10

Nominated Entity Form

INVESTEC CONTACT: <input style="width: 95%;" type="text"/>	EXISTING REFERENCE NO.: <input style="width: 95%;" type="text"/>
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Entity Details

NAME OF ENTITY	
REGISTERED ADDRESS	
<input style="width: 95%;" type="text"/>	POSTCODE <input style="width: 10%;" type="text"/> <input style="width: 10%;" type="text"/> <input style="width: 10%;" type="text"/> <input style="width: 10%;" type="text"/> <input style="width: 10%;" type="text"/>
COUNTRY OF INCORPORATION	DATE OF INCORPORATION
ACTIVITIES	
PRIMARY CONTACT	
LEGAL ENTITY IDENTIFIER (LEI)* <input style="width: 95%;" type="text"/>	LEI EXPIRY DATE <input style="width: 100%;" type="text"/>

*If the entity does not currently have a Legal Entity Identifier (LEI), we will be unable to allow dealing authority to be granted. Instructions on how to apply may be found at <http://www.lseg.com/LEI>

- Authorised to give instructions regarding portfolio construction, individual investments and the transfer of stock where a change of beneficial owner occurs
- Authorised to provide any information in relation to investments
- Authorised to issue instructions in relations to payments
- Authorised to issue instructions in relation to investment mandate

If you would like us to base any future advice on the knowledge and experience of a designated director, please arrange for them to complete the below section with their information.

DESIGNATED DIRECTOR

Financial expertise

Individual 1

- Have you had any previous experience of using an Investment Management service? YES NO
- Have you had any experience in the types of investments listed below? YES NO

If yes, please indicate if you have any previous Knowledge and/or Experience for each of the following:

Knowledge: You understand the distinctive characteristics and important underlying risks of the investment.

Experience: You have previously traded and/or owned the investment in the last 5 years.

	Knowledge	Experience
Fixed Interest e.g. Government and Corporate Bonds	<input type="checkbox"/>	<input type="checkbox"/>
Equities e.g. Stocks and Shares	<input type="checkbox"/>	<input type="checkbox"/>
Commercial Property e.g. Funds investing in Offices and Warehouses	<input type="checkbox"/>	<input type="checkbox"/>
Alternative Investments e.g. Hedge Funds, Private Equity, Structured Products, Commodities, FX	<input type="checkbox"/>	<input type="checkbox"/>
Cash e.g. Cash equivalents	<input type="checkbox"/>	<input type="checkbox"/>

Please provide details of your education, professional qualifications or relevant occupational experience of financial investments.

<input style="width: 98%; height: 95%;" type="text"/>

Please copy this form and complete for any additional nominated entities

In order to meet our regulatory obligations, Investec Wealth & Investment will be disclosing LEI data to the Financial Conduct Authority (FCA) as per our Terms and Conditions.

SIGNATURE OF ACCOUNT HOLDER

PLEASE PRINT NAME

CAPACITY IN WHICH SIGNING

DATE

SIGNATURE OF ACCOUNT HOLDER

PLEASE PRINT NAME

CAPACITY IN WHICH SIGNING

DATE

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Nominated Persons Form 1

This form is to be completed if you wish to nominate a third party individual to pass instructions to us in respect of the operation of your account.

ACCOUNT NAME	
INVESTEC CONTACT:	EXISTING REFERENCE NO.:

Third party details

FIRST NAME	SURNAME
ADDRESS	
POSTCODE	DATE OF BIRTH
COUNTRY OF RESIDENCE	COUNTRY OF BIRTH
NATIONALITY	NATIONAL CLIENT IDENTIFIER (NCI)*
SECOND NATIONALITY	SECOND NATIONAL CLIENT IDENTIFIER (NCI)*

* National Client Identifier information is only required when the first of the four options below is selected. Please see the enclosed table detailing NCI information required for each country (where applicable). If the relevant country is not listed, please provide a valid passport number and expiry date. Should the individual have dual nationality, please complete the NCI details for each nationality. If you do not have the information attached, please contact your Investment Manager.

- Authorised to give instructions regarding portfolio construction, individual investments and the transfer of stock where a change of beneficial owner occurs
- Authorised to provide any information in relation to investments
- Authorised to issue instructions in relations to payments
- Authorised to issue instructions in relation to investment mandate

If you would like us to base any future advice on the knowledge and experience of your nominated person, please arrange for them to complete the below section with their information.

Financial expertise

Individual 1

Have you had any previous experience of using an Investment Management service?	<input type="checkbox"/> YES	<input type="checkbox"/> NO
Have you had any experience in the types of investments listed below?	<input type="checkbox"/> YES	<input type="checkbox"/> NO

If yes, please indicate if you have any previous Knowledge and/or Experience for each of the following:

Knowledge: You understand the distinctive characteristics and important underlying risks of the investment.

Experience: You have previously traded and/or owned the investment in the last 5 years.

	Knowledge	Experience
Fixed Interest e.g. Government and Corporate Bonds	<input type="checkbox"/>	<input type="checkbox"/>
Equities e.g. Stocks and Shares	<input type="checkbox"/>	<input type="checkbox"/>
Commercial Property e.g. Funds investing in Offices and Warehouses	<input type="checkbox"/>	<input type="checkbox"/>
Alternative Investments e.g. Hedge Funds, Private Equity, Structured Products, Commodities, FX	<input type="checkbox"/>	<input type="checkbox"/>
Cash e.g. Cash equivalents	<input type="checkbox"/>	<input type="checkbox"/>

Nominated Persons Form

Section 11

Please provide details of your education, professional qualifications or relevant occupational experience of financial investments.

Please copy this form and complete for any additional nominated individuals

SIGNATURE OF THIRD PARTY	DATE						
By signing this form you are confirming that the information is correct and acknowledging that In order to meet our regulatory obligations, Investec Wealth & Investment will be disclosing the information to the Financial Conduct Authority (FCA).							
SIGNATURE OF ACCOUNT HOLDER	PLEASE PRINT NAME						
CAPACITY IN WHICH SIGNING	DATE						
SIGNATURE OF ACCOUNT HOLDER	PLEASE PRINT NAME						
CAPACITY IN WHICH SIGNING	DATE						

Please read the following notes before signing and dating this form:

In order for us to accept instructions from the above nominated person, you acknowledge:

We are unable to accept any instructions from any nominated person until we have received a specimen signature and we have positively identified the nominated person in accordance with the Anti-Money Laundering Regulations. We will write directly to the nominated person for this information.

That this authority will apply to all instructions given by the nominated person, in so far as you have authorised above.

We, our officers and our employees shall not be responsible in the event that fraudulent activity is perpetrated by any of the above named persons or other persons in respect of this account.

That we may receive both oral and written instructions from the nominated person and we will not be responsible for any error or omissions resulting from misunderstandings in respect of oral instructions.

This authority will be effective from the date of receipt by us and will apply until we receive written notification from you, your Executor or your Receiver that this authority is to be rescinded.

National Client Identifiers (NCIs)

In order to combat market abuse, we are required by regulators to report unique codes known as National Client Identifiers (NCIs) for all individuals associated with a financial transaction. Without these we are unable to execute any financial transactions on your behalf.

Below is the list of NCIs for each nationality. Where 'No NCI Requirement' is listed, please add this wording to the relevant field(s) of this Agreement.

Country Name	NCI Requirement	Country Name	NCI Requirement
Austria	No NCI Requirement	Iceland	Personal Identity Code
Belgium	Belgian National Number	Italy	Fiscal code
Bulgaria	Bulgarian Personal Number	Liechtenstein	National Passport Number
Cyprus	National Passport Number	Lithuania	Personal code
Czech Republic	National identification number	Luxembourg	No NCI Requirement
Germany	No NCI Requirement	Latvia	Personal code
Denmark	Personal identity code	Malta	National Identification Number
Estonia	Estonian Personal Identification Code	Netherlands	National Passport Number
Spain	Tax identification number	Norway	11 digit personal id
Finland	Personal identity code	Poland	National Identification Number
France	No NCI Requirement	Portugal	Tax number
United Kingdom	UK National Insurance number	Romania	National Identification Number
Greece	10 DSS digit investor share	Sweden	Personal identity number
Croatia	Personal Identification Number	Slovenia	Personal Identification Number
Hungary	No NCI Requirement	Slovakia	Personal number
Ireland	No NCI Requirement	All other countries	National Passport Number

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Nominated Persons Form 2

This form is to be completed if you wish to nominate a third party individual to pass instructions to us in respect of the operation of your account.

ACCOUNT NAME	
INVESTEC CONTACT:	EXISTING REFERENCE NO.:

Third party details

FIRST NAME	SURNAME
ADDRESS	
POSTCODE	DATE OF BIRTH
COUNTRY OF RESIDENCE	COUNTRY OF BIRTH
NATIONALITY	NATIONAL CLIENT IDENTIFIER (NCI)*
SECOND NATIONALITY	SECOND NATIONAL CLIENT IDENTIFIER (NCI)*

* National Client Identifier information is only required when the first of the four options below is selected. Please see the enclosed table detailing NCI information required for each country (where applicable). If the relevant country is not listed, please provide a valid passport number and expiry date. Should the individual have dual nationality, please complete the NCI details for each nationality. If you do not have the information attached, please contact your Investment Manager.

- Authorised to give instructions regarding portfolio construction, individual investments and the transfer of stock where a change of beneficial owner occurs
- Authorised to provide any information in relation to investments
- Authorised to issue instructions in relations to payments
- Authorised to issue instructions in relation to investment mandate

If you would like us to base any future advice on the knowledge and experience of your nominated person, please arrange for them to complete the below section with their information.

Financial expertise **Individual 1**

Have you had any previous experience of using an Investment Management service? YES NO

Have you had any experience in the types of investments listed below? YES NO

If yes, please indicate if you have any previous Knowledge and/or Experience for each of the following:
Knowledge: You understand the distinctive characteristics and important underlying risks of the investment.
Experience: You have previously traded and/or owned the investment in the last 5 years.

	Knowledge	Experience
Fixed Interest e.g. Government and Corporate Bonds	<input type="checkbox"/>	<input type="checkbox"/>
Equities e.g. Stocks and Shares	<input type="checkbox"/>	<input type="checkbox"/>
Commercial Property e.g. Funds investing in Offices and Warehouses	<input type="checkbox"/>	<input type="checkbox"/>
Alternative Investments e.g. Hedge Funds, Private Equity, Structured Products, Commodities, FX	<input type="checkbox"/>	<input type="checkbox"/>
Cash e.g. Cash equivalents	<input type="checkbox"/>	<input type="checkbox"/>

Nominated Persons Form

Section 11

Please provide details of your education, professional qualifications or relevant occupational experience of financial investments.

<hr/> <hr/>

Please copy this form and complete for any additional nominated individuals

SIGNATURE OF THIRD PARTY	DATE						
<p>By signing this form you are confirming that the information is correct and acknowledging that In order to meet our regulatory obligations, Investec Wealth & Investment will be disclosing the information to the Financial Conduct Authority (FCA).</p>							
SIGNATURE OF ACCOUNT HOLDER	PLEASE PRINT NAME						
CAPACITY IN WHICH SIGNING	DATE						
SIGNATURE OF ACCOUNT HOLDER	PLEASE PRINT NAME						
CAPACITY IN WHICH SIGNING	DATE						

Please read the following notes before signing and dating this form:

In order for us to accept instructions from the above nominated person, you acknowledge:

We are unable to accept any instructions from any nominated person until we have received a specimen signature and we have positively identified the nominated person in accordance with the Anti-Money Laundering Regulations. We will write directly to the nominated person for this information.

That this authority will apply to all instructions given by the nominated person, in so far as you have authorised above.

We, our officers and our employees shall not be responsible in the event that fraudulent activity is perpetrated by any of the above named persons or other persons in respect of this account.

That we may receive both oral and written instructions from the nominated person and we will not be responsible for any error or omissions resulting from misunderstandings in respect of oral instructions.

This authority will be effective from the date of receipt by us and will apply until we receive written notification from you, your Executor or your Receiver that this authority is to be rescinded.

National Client Identifiers (NCIs)

In order to combat market abuse, we are required by regulators to report unique codes known as National Client Identifiers (NCIs) for all individuals associated with a financial transaction. Without these we are unable to execute any financial transactions on your behalf.

Below is the list of NCIs for each nationality. Where 'No NCI Requirement' is listed, please add this wording to the relevant field(s) of this Agreement.

Country Name	NCI Requirement	Country Name	NCI Requirement
Austria	No NCI Requirement	Iceland	Personal Identity Code
Belgium	Belgian National Number	Italy	Fiscal code
Bulgaria	Bulgarian Personal Number	Liechtenstein	National Passport Number
Cyprus	National Passport Number	Lithuania	Personal code
Czech Republic	National identification number	Luxembourg	No NCI Requirement
Germany	No NCI Requirement	Latvia	Personal code
Denmark	Personal identity code	Malta	National Identification Number
Estonia	Estonian Personal Identification Code	Netherlands	National Passport Number
Spain	Tax identification number	Norway	11 digit personal id
Finland	Personal identity code	Poland	National Identification Number
France	No NCI Requirement	Portugal	Tax number
United Kingdom	UK National Insurance number	Romania	National Identification Number
Greece	10 DSS digit investor share	Sweden	Personal identity number
Croatia	Personal Identification Number	Slovenia	Personal Identification Number
Hungary	No NCI Requirement	Slovakia	Personal number
Ireland	No NCI Requirement	All other countries	National Passport Number

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Section 12

Additional information

Lined area for additional information.

For office use only	
TERMS AND CONDITIONS VERSION	SERVICE BROCHURE VERSION
ISA SERVICE BROCHURE VERSION	RATE CARD
MANAGING YOUR INVESTMENTS	DATE SENT

Bath	01225 341580	Edinburgh	0131 226 5000	Liverpool	0151 227 2030
Belfast	02890 321002	Exeter	01392 204404	London	020 7597 1234
Birmingham	0121 232 0700	Glasgow	0141 333 9323	Manchester	0161 832 6868
Bournemouth	01202 208100	Guildford	01483 304707	Reigate	01737 224223
Cheltenham	01242 514756	Leeds	0113 245 4488	Sheffield	0114 275 5100

investecwin.co.uk

Member firm of the London Stock Exchange.
 Authorised and regulated by the Financial Conduct Authority.
 Investec Wealth & Investment Limited is registered in England.
 Registered No. 2122340. Registered Office: 30 Gresham Street, London, EC2V 7QN.

