



## Offshore Bond Agreement for clients of Financial Advisers

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**Offshore Bond holder 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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# Primary contact 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. You are then requested to complete, sign and return a copy of this *Client Agreement* to us.

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.

Please note that it is your *Financial Adviser*, not IW&I, who is responsible for obtaining from you sufficient personal and financial information about you and for advising you, based upon that information, on an investment strategy which is appropriate to your circumstances. We are not responsible or liable for the accuracy of that information or for any advice which you are given by your *Financial Adviser*. 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 investments objectives, risk appetite and ability to bear any financial 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.

### Our nominee services

Your stock will normally be registered in the name of our *nominee company* and held 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 the 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 you may suffer as a result of being unable to deal in your assets whilst they are in the process of re-registration in the name of our *nominee company*.

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

### Bond provider contact details

NAME OF BOND PROVIDER		BOND REFERENCE	
NAME OF BOND			
CORRESPONDENCE ADDRESS			
		POSTCODE	
CONTACT NAME	BOND PROVIDER FCA REGISTERED NUMBER		
TELEPHONE NUMBER	OFFSHORE BOND PROVIDER RESIDENCE (INSERT COUNTRY e.g. UK)		
EMAIL			
LEGAL ENTITY IDENTIFIER (LEI)*			LEI EXPIRY DATE

\*If the entity does not currently have a Legal Entity Identifier (LEI), instructions on how to apply may be found at <http://www.lseg.com/LEI>

### Bank details

To enable us to make payments to you on behalf of the bond holder please provide details of your bank account:

ACCOUNT NAME			
BANK NAME	ADDRESS		
ACCOUNT NUMBER		SORT CODE	POSTCODE
CLIENT SIGNATURE	DATE		
CLIENT SIGNATURE	DATE		

**Data feeds**

For certain product providers we provide data feeds.

If this service is available to you please provide your reference.

**Offshore bond type**

Non-personalised

Personalised

Please tick the appropriate box

**Section 2**

**Bond holder contact details**

<input type="checkbox"/> MR	<input type="checkbox"/> MRS	<input type="checkbox"/> MISS	<input type="checkbox"/> MS	OTHER <input type="text"/>	FULL NAME <input type="text"/>
OTHER NAMES (ALIAS/MAIDEN ETC) <input type="text"/>					
RESIDENTIAL ADDRESS* <input type="text"/>					
<input type="text"/>				POSTCODE <input type="text"/>	<input type="text"/>
TELEPHONE (HOME) <input type="text"/>			DATE OF BIRTH <input type="text"/>		
TELEPHONE (MOBILE) <input type="text"/>			COUNTRY OF BIRTH <input type="text"/>		
TELEPHONE (BUSINESS) <input type="text"/>			COUNTRY OF RESIDENCE <input type="text"/>		
EMAIL <input type="text"/>					
NATIONALITY <input type="text"/>					
NATIONAL CLIENT IDENTIFIER (NCI)** <input type="text"/>					
DUAL NATIONALITY <input type="text"/>					
SECOND NATIONAL CLIENT IDENTIFIER (NCI)** <input type="text"/>					

**Second bond holder contact details (if applicable)**

<input type="checkbox"/> MR	<input type="checkbox"/> MRS	<input type="checkbox"/> MISS	<input type="checkbox"/> MS	OTHER <input type="text"/>	FULL NAME <input type="text"/>
OTHER NAMES (ALIAS/MAIDEN ETC) <input type="text"/>					
RESIDENTIAL ADDRESS* <input type="text"/>					
<input type="text"/>				POSTCODE <input type="text"/>	<input type="text"/>
TELEPHONE (HOME) <input type="text"/>			DATE OF BIRTH <input type="text"/>		
TELEPHONE (MOBILE) <input type="text"/>			COUNTRY OF BIRTH <input type="text"/>		
TELEPHONE (BUSINESS) <input type="text"/>			COUNTRY OF RESIDENCE <input type="text"/>		
EMAIL <input type="text"/>					
NATIONALITY <input type="text"/>					
NATIONAL CLIENT IDENTIFIER (NCI)** <input type="text"/>					
DUAL NATIONALITY <input type="text"/>					
SECOND NATIONAL CLIENT IDENTIFIER (NCI)** <input type="text"/>					

\* 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.

# Trust only details

## Section 3

### Section 3 (Complete for Trusts only)

Primary contact details	
PRIMARY CONTACT NAME	DATE OF BIRTH
CORRESPONDENCE ADDRESS	
	POSTCODE
TELEPHONE (HOME)	TELEPHONE (BUSINESS)
TELEPHONE (MOBILE)	FACSIMILE
EMAIL	

### Aim(s) of the trust

Set out below is an Investment Policy template. Please note that this is for guidance only and is not mandatory.

If the Trustees wish instead to use an alternative Investment Policy, please tick the box and attach a copy of the Trust's existing Investment Policy Statement dated:

DATE

Please note that any Investment Policy Statement so provided by the Trustees will not become binding on IW&I until IW&I has given its written acceptance of the Investment Policy Statement to the Trustees without qualification or amendment.

**The Trustees have drawn up this Investment Policy Statement to comply with the requirements of the Trustee Act 2000. It has been prepared by the Trustees to provide guidance to the Investment Manager when exercising the asset management functions that have been delegated to them by the Trustees. This statement will remain in force until any changes are notified by the Trustees. IW&I will manage the portfolio in accordance with the agreed Investment Policy Statement.**

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Nature of the Trust	
<b>1</b> Discretionary or Accumulation and Maintenance <input type="checkbox"/>	<b>4</b> Other (please state) <input type="checkbox"/>
DATE OF THE NEXT 10 YEAR CHARGE <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>
<b>2</b> Interest in Possession <input type="checkbox"/>	<b>5</b> Country of Establishment of the Trust
DATE OF THE NEXT 10 YEAR CHARGE <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>
<b>3</b> Charitable <input type="checkbox"/>	
REGISTERED CHARITY NUMBER <input type="text"/>	
OFFICIAL NAME OF THE TRUST <input type="text"/>	
LEGAL ENTITY IDENTIFIER (LEI)* <input type="text"/>	LEI EXPIRY DATE <input type="text"/>

\*If the entity does not currently have a Legal Entity Identifier (LEI), instructions on how to apply may be found at <http://www.lseg.com/LEI>

Details of Settlor		
FULL NAME OF SETTLOR	DATE OF BIRTH	
DATE OF SETTLEMENT (IF APPLICABLE) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	DATE OF DEATH OF SETTLOR (IF APPLICABLE) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	
RESIDENTIAL ADDRESS OF SETTLOR (IF APPLICABLE)		
	POSTCODE	
NATIONALITY	COUNTRY OF BIRTH	COUNTRY OF RESIDENCE
Trust created under the provision of a will? <input type="checkbox"/> YES <input type="checkbox"/> NO		
OCCUPATION (IF APPLICABLE)	PREVIOUS OCCUPATION (IF RETIRED OR OCCUPATION HAS CHANGED WITHIN THE LAST THREE YEARS)	

### Trustees

We shall assume that all of the Trustees are ordinarily resident in the UK for tax purposes. If this is not the case, please provide details in the Additional Information pages at the end of this document.

TRUSTEE 1 FULL NAME		DATE OF BIRTH	
RESIDENTIAL ADDRESS			
		POSTCODE	
EMAIL	MOBILE	TELEPHONE	
NATIONALITY	COUNTRY OF BIRTH	COUNTRY OF RESIDENCE	
TRUSTEE 2 FULL NAME		DATE OF BIRTH	
RESIDENTIAL ADDRESS			
		POSTCODE	
EMAIL	MOBILE	TELEPHONE	
NATIONALITY	COUNTRY OF BIRTH	COUNTRY OF RESIDENCE	
TRUSTEE 3 FULL NAME		DATE OF BIRTH	
RESIDENTIAL ADDRESS			
		POSTCODE	
EMAIL	MOBILE	TELEPHONE	
NATIONALITY	COUNTRY OF BIRTH	COUNTRY OF RESIDENCE	
TRUSTEE 4 FULL NAME		DATE OF BIRTH	
RESIDENTIAL ADDRESS			
		POSTCODE	
EMAIL	MOBILE	TELEPHONE	
NATIONALITY	COUNTRY OF BIRTH	COUNTRY OF RESIDENCE	

Please provide details of any other Trustees in the Additional Information section at the end of this document.

# Trust only details

## Section 3

### Beneficiaries

Please list the beneficiaries of the settlement and their interest. National Client Identifier (NCI) information is only required for beneficiaries of a Bare Trust.

FULL NAME & TITLE												
NATURE OF BENEFICIAL INTEREST												
DATE OF BIRTH							COUNTRY OF RESIDENCE FOR TAX PURPOSES					
ADDRESS												
								POSTCODE				
NATIONALITY					DUAL NATIONALITY							
NATIONAL CLIENT IDENTIFIER (NCI)*					SECOND NATIONAL CLIENT IDENTIFIER (NCI)*							
FULL NAME & TITLE												
NATURE OF BENEFICIAL INTEREST												
DATE OF BIRTH							COUNTRY OF RESIDENCE FOR TAX PURPOSES					
ADDRESS												
								POSTCODE				
NATIONALITY					DUAL NATIONALITY							
NATIONAL CLIENT IDENTIFIER (NCI)*					SECOND NATIONAL CLIENT IDENTIFIER (NCI)*							
FULL NAME & TITLE												
NATURE OF BENEFICIAL INTEREST												
DATE OF BIRTH							COUNTRY OF RESIDENCE FOR TAX PURPOSES					
ADDRESS												
								POSTCODE				
NATIONALITY					DUAL NATIONALITY							
NATIONAL CLIENT IDENTIFIER (NCI)*					SECOND NATIONAL CLIENT IDENTIFIER (NCI)*							
FULL NAME & TITLE												
NATURE OF BENEFICIAL INTEREST												
DATE OF BIRTH							COUNTRY OF RESIDENCE FOR TAX PURPOSES					
ADDRESS												
								POSTCODE				
NATIONALITY					DUAL NATIONALITY							
NATIONAL CLIENT IDENTIFIER (NCI)*					SECOND NATIONAL CLIENT IDENTIFIER (NCI)*							

Please provide details of any other beneficiaries in the section entitled 'Additional information' if necessary.  
 \*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 requested, please contact your Investment Manager.

If there are no named beneficiaries or where there is a class of beneficiary, please provide details below.

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## Section 4

### Despatch of correspondence & confirmation of trades

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

<b>Provide Valuations to:</b>	LEAD TRUSTEE/BOND HOLDER <input type="checkbox"/>	MY FINANCIAL ADVISER FIRM <input type="checkbox"/>	BOND PROVIDER <input type="checkbox"/>
<b>Provide confirmation of trades to:</b>	LEAD TRUSTEE/BOND HOLDER <input type="checkbox"/>	MY FINANCIAL ADVISER FIRM <input type="checkbox"/>	BOND PROVIDER <input type="checkbox"/>
<b>Provide general correspondence to:</b>	LEAD TRUSTEE/BOND HOLDER <input type="checkbox"/>	MY FINANCIAL ADVISER FIRM <input type="checkbox"/>	BOND PROVIDER <input type="checkbox"/>
<b>Provide Tax Pack to:</b>	LEAD TRUSTEE/BOND HOLDER <input type="checkbox"/>	MY FINANCIAL ADVISER FIRM <input type="checkbox"/>	BOND PROVIDER <input checked="" type="checkbox"/>

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.

### Online portfolio valuation service

Do you wish to set up access to view your account(s) on the internet using our Online Portfolio Valuation Service?

Bond Holder 1  Yes  No      Bond Holder 2 (if any)  Yes  No

#### For Trusts Only

Primary Contact  Yes  No

Trustee 1  Yes  No      Trustee 2  Yes  No      Trustee 3  Yes  No      Trustee 4  Yes  No

If "Yes" please provide a memorable six letter word that will be used for security purposes. Bond Holder 1

Bond Holder 2            Primary Contact            Trustee 1

Trustee 2            Trustee 3            Trustee 4

Please provide memorable words of any other Trustees in the Additional Information section at the end of this document.

#### 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 and 2 of this form.
3. To login for the first time it will be necessary to call the Client Service Centre and have access to your PC or laptop, and your mobile phone. Kindly also have your user name (your email address) and the memorable six letter word used in your application to hand as these will be required.
4. Please refer to our full Terms and Conditions document for details of the terms and conditions applicable for the Internet Valuation Facility (Online Portfolio Valuation Service).

### 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

# Communication with other parties/details of the service/details of the trust

## Sections 4-6

<input type="checkbox"/> Correspondence	<input type="checkbox"/> Statements	<input type="checkbox"/> Contract Notes	<input type="checkbox"/> Valuations	<input type="checkbox"/> Accountants Pack			
NAME							
ADDRESS							
			POSTCODE	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

## Section 5

### Service

Your account will be operated on a Discretionary basis as described in Section 5 of our *Terms and Conditions*.

For discretionary clients, we do not normally send out contract notes. The information about 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 6

### Level of portfolio risk

Which of the following statements most closely matches your attitude to portfolio risk?

Please read our Managing Your Investments document for information on our risk classifications.

Low     Low/Medium     Medium     Medium/High     High

### Investment objectives

To enable us to understand and assist in meeting your requirements, please tick one of the following objectives.

To achieve a **balanced return** from **income** and **capital growth**     To **maximise capital growth**     To **maximise income**

### Defined mandate

If you wish us to adopt an alternative investment mandate that either excludes or only includes asset classes please provide details below

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We will agree with you an appropriate benchmark that is relevant to your defined mandate.

### Investment instructions or restrictions

Please indicate in the box below whether there are any *investment* instructions or restrictions. If no restriction(s) is/are specified, we may recommend to you any *investment* or enter into a transaction on any market referred to in Section 6 of our *Terms and Conditions* which we believe to be suitable for you.

Either:

INVESTMENT INSTRUCTIONS OR RESTRICTIONS

or

THERE ARE NO INVESTMENT RESTRICTIONS

PLEASE TICK BOX AND SPECIFY IN THE SPACE BELOW

PLEASE TICK BOX

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### 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.

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### Time horizon

What is the timeframe for investment?  1-5 YEARS  5-10 YEARS  10 YEARS+

### Current investments

Please provide details on the Additional Information section at the end of this document, or a separate schedule, of any relevant investments held. Where possible include dates and costs of acquisition.

Schedule of Investments attached:  YES  NO

### Valuations

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

## Section 7

### Transfer of cash and other assets

Initial amount for investment	£ <input type="text"/>								
Cash transfer	<input type="checkbox"/>								
Existing portfolio	<input type="checkbox"/>								
Details	<input type="checkbox"/> ATTACHED	<input type="checkbox"/> TO FOLLOW							
Additional sums expected	£ <input type="text"/>	APPROXIMATE DATE	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

### 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.

  
  


#### Your Investment

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

  


#### 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).

### Section 8

#### 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](mailto: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.

## Section 9

For the purposes of FATCA and the UK Intergovernmental Agreements (IGAs)

**Section 1: Entity classification for the purposes of FATCA and US IGAs**

If you are NOT a Financial Institution then please complete a separate IW&I FATCA Self Certificate form (available from your IW&I contact).

**a) Financial Institution registered with IRS**

If you have registered as a FI or as a Sponsored Entity please enter your Global Intermediary Identification Number (GIIN).

If you are a Sponsored closely held Investment Vehicle please provide the GIIN of your sponsoring FI.

Please confirm whether the GIIN is your own or your sponsors:

NAME OF SPONSOR (IF APPLICABLE)

-----/-----/--/----	
OWN	SPONSOR

**b) Financial institution not registered with the IRS; please indicate the reason below**

- i) The Entity has applied, or is going to apply, for a GIIN (but has not yet received it)
- ii) The Entity is an 'Exempt Beneficial Owner'
- iii) The Entity is a "Non-Participating FI"
- iv) Other reason (Please specify)

**Section 2: Entity classification for the purposes of the IGAs between the UK and the Crown Dependencies / Gibraltar**

Please complete this section only if you have indicated the entities residence to be in either one of the Crown Dependencies or Gibraltar.

Reporting Financial Institution	<input checked="" type="checkbox"/>	Active NFFE	<input checked="" type="checkbox"/>
Non Reporting Financial Institution	<input checked="" type="checkbox"/>	Passive NFFE (please complete a self cert form)	<input checked="" type="checkbox"/>
Exempt Beneficial Owner	<input checked="" type="checkbox"/>		

**Section 3: Declaration**

1. 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.
2. 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.
3. I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete.

SIGNATURE	DATE <input style="width: 15px; height: 15px;" type="text"/> <input style="width: 15px; height: 15px;" type="text"/> <input style="width: 15px; height: 15px;" type="text"/> <input style="width: 15px; height: 15px;" type="text"/> <input style="width: 15px; height: 15px;" type="text"/> <input style="width: 15px; height: 15px;" type="text"/>
PRINT NAME	CAPACITY

This page is intentionally blank

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## Section 10

**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			
FCA NUMBER		IW&I AGENCY NUMBER	
ADDRESS			
		POSTCODE	
CORRESPONDENCE ADDRESS (IF DIFFERENT)			
		POSTCODE	
TELEPHONE NUMBER		FAX NUMBER	
EMAIL			

**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 understand that where my/our client has requested that Valuations, Loss Notifications and/or all other 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.

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.

**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 10

### Customer declaration

Please ensure that the Customer Declaration is completed by the Bond Holder or if a Trust the Trustees.

I/We authorise you to release information in relation to my/our investments and myself/ourselves to my/our Bond Provider.

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 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*.

### Adviser agreed remuneration (for this and any additional investment)

I/We understand that any adviser agreed remuneration will be paid by the bond provider and has been fully explained to me by my/our *financial adviser*.

### 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

Dealing Commission (per transaction)

Bargain Administration Charge (per transaction)

SIGNED	PLEASE PRINT NAME
CAPACITY IN WHICH SIGNING	DATE
SIGNED	PLEASE PRINT NAME
CAPACITY IN WHICH SIGNING	DATE
SIGNED	PLEASE PRINT NAME
CAPACITY IN WHICH SIGNING	DATE
SIGNED	PLEASE PRINT NAME
CAPACITY IN WHICH SIGNING	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.

### Bond provider agreement (not required when a master agreement is in place)

SIGNED	POSITION
NAME	DATE

### For office use only

CLIENT NAME	CLIENT CODE
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Section 11

Dear Sirs

Please accept this document as my/our authority to transfer my/our account detailed below to Investec Wealth & Investment and accept the instructions below with regard to the stocks/cash to be transferred.

**Existing manager**

NAME	
ACCOUNT NAME	
ACCOUNT NUMBER	
ADDRESS	
	POSTCODE

**Applicant**

FULL NAME	
ADDRESS	
	POSTCODE

**Instructions**

<hr/> <hr/> <hr/>	
SIGNATURE	DATE
FOR CORPORATE BODIES PLEASE STATE CAPACITY OF SIGNATORIES	

**Note:** You will need to complete a separate transfer form for each existing Manager. Investec Wealth & Investment is not responsible for any CGT liability you may incur from your existing Manager.

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## Section 13

### 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

### For office use only

TERMS AND CONDITIONS VERSION	SERVICE BROCHURE VERSION
MANAGING YOUR INVESTMENTS	RATE CARD
DATE SENT	INVESTMENT MANAGER/OFFICE

**Bath** 01225 341580  
**Belfast** 02890 321002  
**Birmingham** 0121 232 0700  
**Bournemouth** 01202 208100  
**Cheltenham** 01242 514756

**Edinburgh** 0131 226 5000  
**Exeter** 01392 204404  
**Glasgow** 0141 333 9323  
**Guildford** 01483 304707  
**Leeds** 0113 245 4488

**Liverpool** 0151 227 2030  
**London** 020 7597 1234  
**Manchester** 0161 832 6868  
**Reigate** 01737 224223  
**Sheffield** 0114 275 5100

[investecwin.co.uk](http://investecwin.co.uk)