

Direct and ISA Application Form

The closing date for direct investments is 28 May 2010.

Please return your completed and signed Application Form to your financial adviser who will send it to:
Investec Administration, PO Box 1008, St Albans, Hertfordshire AL1 9LZ.

This Application Form is for direct investments and new ISAs. ISAs are restricted to UK tax resident individuals only.

For additional forms (e.g. for a spouse, partner or friend), simply photocopy this form.

If you have any questions regarding the application process please speak with your financial adviser or ring 0845 603 9176.

Please complete this form in BLOCK CAPITALS and in black ink, ticking boxes where appropriate.

To be completed by the Investor.

1a Direct Investments	
I apply to subscribe the following amount as a direct investment into the Plan(s) selected (Minimum total £1,500 and maximum £1,000,000 per Plan).	
FTSE 100 Kick-Out Deposit Plan 12	
Option 1	Option 2
£	£
FTSE 100 3 Year Deposit Plan 17	
Option 1	Option 2
£	£
FTSE 100 5 Year Deposit Plan 17	
Investec version	
Option 1	Option 2
£	£
Lloyds version	
Option 1	Option 2
£	£
FTSE 100 Income Deposit Plan 10	
Annual income	Monthly income
Option 1	Option 1
£	£
Option 2	Option 2
£	£
FTSE 100 Plus Income Deposit Plan 6	
Annual income	Monthly income
Option 1	Option 1
£	£
Option 2	Option 2
£	£
Cheques should be made payable to 'Investec Bank plc', for a Building Society cheque or bankers draft 'Investec Bank plc reference [your name]'. Application Forms with post-dated cheques will not be accepted.	

1b Cash ISA for tax year 2010/11	
I apply to subscribe the following amount as all or part of my ISA allowance into the Plan selected for the tax year 2010/11. (Minimum total £1,500). For UK tax resident individuals only.	
FTSE 100 Kick-Out Deposit Plan 12	
Option 1	Option 2
£	£
FTSE 100 3 Year Deposit Plan 17	
Option 1	Option 2
£	£
FTSE 100 5 Year Deposit Plan 17	
Investec version	
Option 1	Option 2
£	£
Lloyds version	
Option 1	Option 2
£	£
FTSE 100 Income Deposit Plan 10	
Annual income	Monthly income
Option 1	Option 1
£	£
Option 2	Option 2
£	£
FTSE 100 Plus Income Deposit Plan 6	
Annual income	Monthly income
Option 1	Option 1
£	£
Option 2	Option 2
£	£
Cheques should be made payable to 'Investec Bank plc', for a Building Society cheque or bankers draft 'Investec Bank plc reference [your name]'. Application Forms with post-dated cheques will not be accepted.	

Tick here if the proceeds are coming from a maturing Investec Plan

Maturing Plan Number

Total Direct and ISA Subscription £

2 Personal Details This section must be completed by all applicants	
Title (Mr/Mrs/Miss/Ms)	Date of Birth <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Surname	Permanent Residential Address
Full Forenames	Postcode
Male <input type="checkbox"/> Female <input type="checkbox"/>	Telephone Number (Daytime)
Country or Place of Birth*	Tax Identification Number*

*For investors in Guernsey and the Isle of Man only.

3 Joint Holders

The Joint Holder must complete this section.
For DIRECT INVESTMENTS ONLY

Title (Mr/Mrs/Miss/Ms) _____ Date of Birth

Surname _____

Full Forenames _____

4 On behalf of a Child

This section is ONLY applicable for direct investments and the Investec version of the FTSE 100 5 Year Deposit Plan 17.

For direct investments on behalf of a child, the adult signing the form acts as a nominee of the child.

Child's Name _____

Child's Date of Birth

5 National Insurance Number

This section is mandatory for ISA INVESTMENTS ONLY

Do you have a National Insurance (NI) Number? Yes No

If 'YES' you must enter it here:

(You should be able to find your NI number on a payslip, form P45 or P60 or a letter from HM Revenue & Customs, a letter from the DWP (Department for Work and Pensions), or pension order book).

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6 Appropriateness

This section must be completed by all applicants.

Have you received a personal recommendation from your financial adviser to invest in the Plan(s) selected? Yes No

If 'Yes', please proceed to the next section.

If 'No' please answer the questions below. We will not be able to accept your investment if we cannot determine whether the selected Plan(s) are appropriate for you.

Appropriateness questions – the following questions only need to be answered if you have not received investment advice.

1. Have you, in the last five years, held any of the following investments?

Shares	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Stocks and Shares ISA	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Unit Trusts/OEICs	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Tracker Funds	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Cash ISA	Yes <input type="checkbox"/>	No <input type="checkbox"/>
A product similar to the one(s) you are applying for (known as a Structured Product), i.e. a fixed term investment?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
2. Do you understand that stock market movements will influence the return you receive (on top of your initial Plan deposit)? Yes No
3. Do you understand the Plan(s) have been designed to be held for the full term? Yes No
4. Do you fully understand the risks of the Plan(s) that are explained in the brochure(s)? Full details on these are contained in the Brochure and Terms and Conditions, which you should have read and understood. Yes No

7 Income Payment Details

Only applicable for the FTSE 100 Income Deposit Plan 10 and the FTSE 100 Plus Income Deposit Plan 6.

Income payments can only be made by direct credit by the Bankers Automated Credit System (BACS) to an account with a bank or Building Society within the UK clearing system.

Please refer to the Brochure for income payment details.

Bank/Building Society _____

Account to be credited (for example, MR & MRS A JONES) _____

Bank Sort Code - -

Full Account Number

(Normally 8 digits occasionally 7, Lloyds TSB for example)

Building Society Reference or Roll Number

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8 Declaration & Authority

This section must be completed, signed and dated by all applicants. Application Forms will not be processed if this section is incomplete.

Applicable to direct investment applicants only

I declare that, as set out in personal details section, I am 18 years of age or over, and either: resident and ordinarily resident in the UK for tax purposes and that I am not acting on behalf of a Non-UK tax resident, or, a resident of the Isle of Man, or, a resident of Guernsey.

Applicable to all cash ISA applicants

I apply to subscribe for a cash ISA for the tax year 2010/11.

I declare that:

1. all subscriptions made, and to be made, belong to me.
2. I am 18 years of age or over.
3. I have not subscribed, and will not subscribe, more than the overall subscription limit in total to a cash ISA and a stocks and shares ISA in the same tax year.
4. I have not subscribed, and will not subscribe, more than the cash ISA subscription limit to one cash ISA.
5. I have not subscribed, and will not subscribe, to another cash ISA with a different ISA manager in the same tax year that I subscribe to this cash ISA.
6. I am resident and ordinarily resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform Investec Bank plc if I cease to be so resident and ordinarily resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.
7. I agree to the ISA Terms and Conditions.

8 Declaration & Authority cont.

For all applicants

I authorise Investec Bank plc:

1. to hold my cash subscription, investments, interest, dividends and other rights in respect of those investments and any other cash or other proceeds.
2. where I have chosen the Lloyds version of the FTSE 100 5 Year Deposit Plan 17, to place my investment on trust with Lloyds TSB Bank plc as deposit taker where Investec Bank plc shall act as trustee for all investors including myself.
3. on my request to transfer or pay to me any cash realised on or deriving from, as the case may be, direct investments, interest, dividends, rights or other proceeds in respect of such investments, any cash or other proceeds.
4. to supply me with an annual Plan statement.

I have read and understood the Plan brochure(s), including Plan risks and accept the Terms and Conditions and agree to the Terms and Conditions under which my Plan(s) will be managed.

I also agree that my Plan(s) will be placed either on deposit with Investec Bank plc, or where I have chosen the Lloyds version of the FTSE 100 5 Year Deposit Plan 17 with Lloyds TSB Bank plc and in such second example Investec shall act as bare trustee for my cash investment.

I acknowledge that the Plan Manager will only provide an annual statement on the value of my Plan(s). I declare that this Application Form has been completed to the best of my knowledge and belief.

Signature X _____
Print Name _____
Date _____
I have attached a copy of my passport or identification issued by the state <input type="checkbox"/> *

Joint Holder if applicable:

Signature X _____
Print Name _____
Date _____
I have attached a copy of my passport or identification issued by the state <input type="checkbox"/> *

Please note all applications must be received by Investec Administration before 5pm on 28 May 2010.

*For investors in Guernsey and the Isle of Man only.

Notes

1. Money Laundering Regulations (as amended): Under the regulations, there is a legal requirement to prove the identity of people who wish to make an investment. You may therefore be asked for some evidence of your identity. This will normally be a passport or similar form of identity check together with proof of address from a gas bill, electricity bill or similar item. We may also check your identity using electronic systems.
2. Data Protection Act 1998 (as amended): Investec will store information that we hold about you for administration and marketing. We may contact you about our services, and the services of companies with whom we have a relationship, in the future. **If you would prefer not to receive such information please mark this box .**

Isle of Man

This document has been prepared by Investec Bank plc (the Bank) and is intended for distribution by the Bank through licensed financial advisers in the Isle of Man. The Bank alone shall be responsible for the contents of this document and for any distribution thereof and, without derogating from the generality of the foregoing, for ensuring that the contents of this document and any distribution thereof comply with all the applicable legal and regulatory requirements in the Isle of Man.

The offering is not subject to approval or regulation by the Isle of Man Financial Supervision Commission (the Commission) and the Commission does not vouch for the correctness of any statements made or opinions expressed with regard to it. The offering is not subject to the benefit of any compensation arrangements in the Isle of Man.

Jersey

These deposit products are not to be offered in Jersey and Investec Bank plc is not regulated in Jersey under the Banking Business (Jersey) Law 1991.

Plan Number(s) (For Investec use only)

FTSE 100 Kick-Out Deposit Plan 12

Option 1 _____ Option 2 _____

FTSE 100 3 Year Deposit Plan 17

Option 1 _____ Option 2 _____

FTSE 100 5 Year Deposit Plan 17 – Investec version

Option 1 _____ Option 2 _____

FTSE 100 5 Year Deposit Plan 17 – Lloyds version

Option 1 _____ Option 2 _____

FTSE 100 Income Deposit Plan 10 – Annual

Option 1 _____ Option 2 _____

FTSE 100 Income Deposit Plan 10 – Monthly

Option 1 _____ Option 2 _____

FTSE 100 Plus Income Deposit Plan 6 – Annual

Option 1 _____ Option 2 _____

FTSE 100 Plus Income Deposit Plan 6 – Monthly

Option 1 _____ Option 2 _____

Name of Registered Individual _____

Name of company _____

Address _____

Postcode _____

Telephone number _____

Email address _____

Are you a member of a network? Yes No

If yes, are you direct authorised or an authorised representative?

Name of network _____

Local Regulator, e.g. FSA, FSC _____ Registration Number _____

Have you provided the customer with investment advice in relation to the product(s) in accordance with the guidance set out in the Plan brochures and in particular, the table set out on page 8 of the Deposit Plans IFA guide? Yes No

If 'No', how has the investment been taken out (e.g. execution only)*? _____

Have you conducted a review of appropriateness? Yes No

If no, please specify reason* _____

*If further space is required for your answers please attach the additional information on a separate sheet.

If you are applying for more than one option within a Plan please state the option next to the commission option you have selected.

3% Initial commission only

FTSE 100 5 Year Deposit Plan 17

FTSE 100 Income Deposit Plan 10

FTSE 100 Plus Income Deposit Plan 6

2.25% Initial commission only

FTSE 100 Kick-Out Deposit Plan 12

FTSE 100 3 Year Deposit Plan 17

1% Initial commission plus 0.45% trail commission

FTSE 100 3 Year Deposit Plan 17

FTSE 100 5 Year Deposit Plan 17

FTSE 100 Income Deposit Plan 10

FTSE 100 Plus Income Deposit Plan 6

1% Initial commission plus 0.28% trail commission

FTSE 100 Kick-Out Deposit Plan 12

1% Initial commission only

FTSE 100 Kick-Out Deposit Plan 12

FTSE 100 3 Year Deposit Plan 17

FTSE 100 5 Year Deposit Plan 17

FTSE 100 Income Deposit Plan 10

FTSE 100 Plus Income Deposit Plan 6

0% Initial commission only

FTSE 100 Kick-Out Deposit Plan 12

FTSE 100 3 Year Deposit Plan 17

FTSE 100 5 Year Deposit Plan 17

FTSE 100 Income Deposit Plan 10

FTSE 100 Plus Income Deposit Plan 6

Commission rebates are not available for ISA investments.

Verification of Identity

I confirm that:

a) the information in sections 2, 3 and 5 was obtained by me in relation to the customer(s);

b) the evidence I have obtained to verify the identity of the customer(s) meets the standard evidence set out within the guidance Notes for the UK Financial Sector issued by JMLSG in 2007.

Signed _____

Name _____

Position _____ Date _____

This declaration can not be used to verify the identity of any customer that falls into one of the following categories:

- Those who are exempt from verification as being an existing client of the introducing firm prior to the introduction of the requirement for such verification;
- Those whose identity has not been verified by virtue of the application of a permitted exemption under the money Laundering Regulations; or
- Those whose identity has been verified using the source of funds as evidence.

If any of the above apply please contact us before proceeding.

For verification of third party payers, please use the confirmation of Verification of Identity Certification on our website.

Please tick the box that applies to the commission payment you require.

