

# ISA Transfer Application Form

The ISA transfer application deadline is 17 September 2010.

The ISA transfer funds deadline is 15 October 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 the transfer of existing 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.

### 1 Investment Option

Please indicate which Plan and Plan option you wish to invest in, and the amount to be invested. If you would like to transfer the full amount into one Plan only please write "FULL AMOUNT" next to the Plan selected. If you are making a transfer into more than one Plan please specify the exact amounts.

FTSE 100 Kick-Out Deposit Plan 15  
 Option 1 £  Option 2 £

FTSE 100 3 Year Deposit Plan 20  
 Option 1 £  Option 2 £

FTSE 100 5 Year Deposit Plan 20  
 Investec version  
 Option 1 £  Option 2 £

RBS version  
 Option 1 £  Option 2 £

FTSE 100 Deposit Growth Plan 3  
 Investec version  
 £

RBS version  
 £

FTSE 100 Income Deposit Plan 13  
 Option 1 £  Annual income  
 £  Monthly income  
 Option 2 £  Annual income  
 £  Monthly income

**ISA Transfer**  
 I apply to transfer the amount stated above as an ISA investment into the Plan selected.  
 I apply to transfer my existing cash ISA A/c no. \_\_\_\_\_ from \_\_\_\_\_ (old manager) to Investec Bank plc (new manager).

### 2 Personal Details

This section must be completed by all applicants.  
 I confirm that I am transferring a Cash ISA.

Amount to be transferred (if not full amount) £

A separate application is required for each ISA you wish to transfer. This form may be photocopied for extra copies.

Title (Mr/Mrs/Miss/Ms) \_\_\_\_\_ Date of Birth

Surname \_\_\_\_\_

Full Forenames \_\_\_\_\_

Male  Female

Permanent Residential Address \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Postcode \_\_\_\_\_

Telephone Number (Daytime) \_\_\_\_\_

### 3 National Insurance Number

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).

## 4 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 this Plan is 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  No

Stocks and Shares ISA Yes  No

Unit Trusts/OEICs Yes  No

Tracker Funds Yes  No

Cash ISA Yes  No

A product similar to the one(s) you are applying for (known as a Structured Product), i.e. a fixed term investment? Yes  No

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

## 5 Income Payment Details

**This section must be completed in order for us to make payment to your account.**

Only applicable for the FTSE 100 Income Deposit Plan 13

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

<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"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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## 6 Declaration & Authority

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

I declare that:

1. all subscriptions made, and to be made, belong to me; (delete if you will not be subscribing to this ISA).
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; (delete if you will not be subscribing to this 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 (delete if you will not be subscribing to this ISA).
7. I agree to the ISA Terms and Conditions.

For all applicants

1. I will instruct the existing cash ISA manager to transfer my existing cash ISA assets in accordance with the ISA transfer request forms.
2. I authorise Investec Bank plc to:
  - 2.1 hold my cash subscriptions, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash and to make on my behalf any claims to relief from tax in respect of ISA investments,
  - 2.2 where I have chosen the RBS version of the FTSE 100 5 Year Deposit Plan 20 or the FTSE 100 Deposit Growth Plan 3, to place my investment on trust with The Royal Bank of Scotland plc as deposit taker where Investec Bank plc shall act as trustee for all investors including myself.
  - 2.3 upon my written request to transfer or pay to me, as the case may be, ISA investments, interest, dividend rights or other proceeds in respect of such investments or any cash,
  - 2.4 to supply me with an annual statement.
3. I declare that the information given in this declaration is true and correct to the best of my knowledge and belief and that I will inform Investec without delay of any change in my circumstances affecting any of the information in this form.
4. 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 RBS version of the FTSE 100 5 Year Deposit Plan 20 or the FTSE 100 Deposit Growth Plan 3 with The Royal Bank of Scotland 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

If you are transferring more than one ISA, please photocopy this form and sign a separate form for each holding you are transferring.

Please note all applications must be received by Investec Administration before 5pm on 17 September 2010.

## 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 .**

## Plan Number(s) (For Investec use only)

FTSE 100 Kick-Out Deposit Plan 15

Option 1 \_\_\_\_\_ Option 2 \_\_\_\_\_

FTSE 100 3 Year Deposit Plan 20

Option 1 \_\_\_\_\_ Option 2 \_\_\_\_\_

FTSE 100 5 Year Deposit Plan 20 – Investec version

Option 1 \_\_\_\_\_ Option 2 \_\_\_\_\_

FTSE 100 5 Year Deposit Plan 20 – RBS version

Option 1 \_\_\_\_\_ Option 2 \_\_\_\_\_

FTSE 100 Deposit Growth Plan 3 – Investec version

\_\_\_\_\_

FTSE 100 Deposit Growth Plan 3 – RBS version

\_\_\_\_\_

FTSE 100 Income Deposit Plan 13 – Annual

Option 1 \_\_\_\_\_ Option 2 \_\_\_\_\_

FTSE 100 Income Deposit Plan 13 – Monthly

Option 1 \_\_\_\_\_ Option 2 \_\_\_\_\_

## Existing ISA Transfer Request

If you are transferring more than one ISA, please photocopy this form and sign a separate form for each holding you are transferring.

I confirm that I am transferring a Cash ISA.

Amount to be transferred (if not full amount)

£

Title (Mr/Mrs/Miss/Ms)

Date of Birth

Surname

Full Forenames

Permanent Residential Address

\_\_\_\_\_

\_\_\_\_\_

Postcode

Telephone Number (Daytime)

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

Maturing Plan Number

Name of your existing ISA manager

Address of ISA manager

\_\_\_\_\_

\_\_\_\_\_

ISA manager Telephone Number

\_\_\_\_\_

Account Number of ISA

I confirm that my investment is currently held in an Investec Structured Products Cash ISA account (if applicable).

### Existing ISA manager instructions:

1. I instruct the manager of the ISA shown above to provide Investec Bank plc any information they may require in relation to the Plan and to sell the ISA assets and send a cheque for the proceeds payable to: 'Investec Bank plc' at Investec Administration, PO Box 1008, St Albans, Hertfordshire AL1 9LZ
2. Any dividends, interest, and tax credits arising after the transfer should be made payable directly to me.

Signature

X \_\_\_\_\_

Date

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 directly authorised  or an authorised representative?   
 Name of network \_\_\_\_\_  
 FSA 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.

**Verification of Identity**

I confirm that:  
 a) the information in sections 2 and 3 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.  
 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 20  
 FTSE 100 Deposit Growth Plan 3  
 FTSE 100 Income Deposit Plan 13
- 2.25% Initial commission only  
 FTSE 100 Kick-Out Deposit Plan 15  
 FTSE 100 3 Year Deposit Plan 20
- 1% Initial commission plus 0.45% trail commission  
 FTSE 100 3 Year Deposit Plan 20  
 FTSE 100 5 Year Deposit Plan 20  
 FTSE 100 Deposit Growth Plan 3  
 FTSE 100 Income Deposit Plan 13
- 1% Initial commission plus 0.28% trail commission  
 FTSE 100 Kick-Out Deposit Plan 15

