

## Direct and ISA Application Form

The closing date for direct investments is 1 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 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 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  |                |
| Annual income  | Monthly income |
| Option 1 £   | £              |
| 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

| 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).<br>For UK tax resident individuals 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 £     |
| RBS version  |                |
| Option 1 £   | Option 2 £     |
| FTSE 100 Deposit Growth Plan 3   |                |
| Investec version   |                |
| £  |                |
| RBS version  |                |
| £  |                |
| FTSE 100 Income Deposit Plan 13  |                |
| Annual income  | Monthly income |
| Option 1 £   | £              |
| 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. |                |

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"/> |
| Permanent Residential Address                                       |                                    |
| Surname   | Postcode                           |
| Full Forenames  | Telephone Number (Daytime)         |
| Male <input type="checkbox"/> Female <input type="checkbox"/>       | Tax Identification Number*         |
| Country or Place of Birth*  |                                    |

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



## 8 Declaration & Authority cont.

### For all applicants

I authorise Investec Bank plc:

- to hold my cash subscription, investments, interest, dividends and other rights in respect of those investments and any other cash or other proceeds.
- 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.
- 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.
- 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 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<br>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<br>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 1 October 2010.

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

## Notes

- 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.
- 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 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

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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 \_\_\_\_\_

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 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

1% Initial commission only

- FTSE 100 Kick-Out Deposit Plan 15
- 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

0% Initial commission only

- FTSE 100 Kick-Out Deposit Plan 15
- 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

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.

