

Application for SIPP/SSAS Pension Trustees



Structured Products

Applications will only be accepted via an FSA regulated financial adviser.

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

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

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.

Closing date	24 February 2012
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Plan Name (please tick name of Plan applying for)

Investec Plans	Option 1 (Investec)	Option 2 (UK 5)
FTSE 100 Kick-Out Deposit Plan 26 <input type="checkbox"/> Option 1 <input type="checkbox"/> Option 2	<input type="checkbox"/>	<input type="checkbox"/>
FTSE 100 3 Year Deposit Plan 31 <input type="checkbox"/> Option 1 <input type="checkbox"/> Option 2	<input type="checkbox"/>	<input type="checkbox"/>
FTSE 100 Accelerated Growth Plan 31 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Option 1 (FTSE 100)	Option 2 (EVEN 30™)
FTSE 100 Enhanced Kick-Out Plan 26	<input type="checkbox"/>	<input type="checkbox"/>
FTSE 100 Geared Returns Plan 31	<input type="checkbox"/>	<input type="checkbox"/>
FTSE 100 Bonus Income Plan 21	<input type="checkbox"/>	<input type="checkbox"/>
	Annual	<input type="checkbox"/>
	Monthly	<input type="checkbox"/>
Deposit Growth Plan 14 <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other Plan name _____		

1. Scheme and trustee details

Name of Scheme
Scheme Address
Postcode
Scheme Number

HMRC Reference Number
Date Registered by HMRC <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

Note: For SIPP investments please provide details of two trustees. For SSAS investments please provide details of all trustees – continue on a separate sheet if necessary

Full Name of Trustee 1
Residential Address
Postcode
Date of Birth <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Telephone Number (Daytime)
Signature
X
Full Name of Trustee 2
Residential Address
Postcode
Date of Birth <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Telephone Number (Daytime)
Signature
X

Full Name of Trustee 3
Residential Address
Postcode
Date of Birth <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Telephone Number (Daytime)
Signature
X
Full Name of Trustee 4
Residential Address
Postcode
Date of Birth <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Telephone Number (Daytime)
Signature
X

For SIPP investments only

Full Name of Scheme beneficiary
Residential Address
Postcode
Date of Birth
Telephone Number (Daytime)
Nationality
Occupation

2. Investment

Please specify the amount you would like to invest on behalf of the scheme (minimum £1,500)

Notes: Cheques from a UK bank or building society account held in the name of the Pension Trust should be made payable to: 'Investec Bank plc'. You must reference the name of the Scheme Member for a SIPP and the Scheme name for a SSAS clearly on the cheque. 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

3. Regular payment details

Only applicable for the FTSE 100 Bonus Income Plan 21.

Regular 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 regular payment details.

Bank/Building Society

Account to be credited (for example, The Trustees of the ABC Pension Scheme)

Bank Sort Code - -

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

Building Society Reference or Roll Number

4. Declaration

We declare that we are authorised to provide all instructions in relation to this investment either as Trustees for the Scheme or as specifically authorised as a signatory on behalf of the Scheme (authority provided).

We confirm that:

- The information given on this application at the date of signing is true, complete and correct to the best of our knowledge and belief.
- We declare that we have read and understood the Plan brochure, including the Plan Risks and accept the Terms and Conditions and agree to be bound by the Terms and Conditions under which our Plan will be managed.
- We have taken any and all independent advice required, do not require any further consent and will not be in breach of any regulatory or trust provisions in making this investment.
- We undertake to advise Investec Bank plc immediately in writing of any changes in the information contained in this Application Form, including any changes to the Trustee Holder.
- We confirm that we have the full power to invest in the Plans and have taken all action necessary to authorise the completion of this application and the person(s) signing this Application Form have full power, consents and authority to do so on our behalf.
- We are not acting on behalf of a resident of the United States or a U.S. Person (as defined under the Internal Revenue Code of 1986, as amended) and we will not assist any person who is resident in the United States or a U.S. Person to acquire an interest in the Trust/Bond. We agree to inform you immediately should we believe anyone connected with the trust becomes a resident of the United States or a U.S. Person.

- We are not acting on behalf of a person who is in the United States or who is a U.S. Person (as defined in Regulation S under the U.S. Securities Act of 1933, as amended).
- We authorise Investec Bank plc to hold the subscriptions, Plan investments, interest, dividends and any other rights or proceeds in connection with more investments and any other cash and upon our request to transfer or pay to the Trust any investments, interest, dividends, rights or other proceeds in connection with such investments.
- Where we have chosen a deposit Plan, we agree that our money will be placed on deposit with Investec Bank plc.
- We accept that the Plan Manager will only provide an annual statement on the value of the Plan.

Data Protection – Uses of Your Data

Investec Bank plc is committed to processing your data in accordance with the Data Protection Act 1998. We may use your personal data to provide you with services you request from us, manage your accounts, make decisions, detect and prevent fraud, for analysis and assessment, and to ensure that we comply with legal and regulatory requirements.

For further details of how Investec Bank plc uses your information, please read our Data Protection Statement on our website www.investec.co.uk/dataprotection or ask for a printed copy.

I/We do not wish to receive marketing information by post and telephone.

By signing this form you agree that we can use and disclose your information in the ways described in our Data Protection Statement, as amended or updated from time to time.

5. Notes

- 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.
- 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. In order to comply with these regulations, we require the Verification of Identity Section of this form to be completed.
- Your Plan is designed to be held without change until it matures. The interim value of the underlying investment of the Plan does not directly impact on the benefits generated. The capital return from the Plan depends on the level of the Index at maturity and its performance throughout the Plan Term, which can be obtained from us or from public sources. We will send you Plan statements once a year with information on how your Plan is progressing.
- Capitalised terms unless otherwise defined, have the meanings given to them in the Terms and Conditions within the Plan brochure.

Please state to whom the new business documentation should be issued
Scheme IFA Both

Signatures

Signature
X

Print Name

Date

Capacity

Signature
X

Print Name

Date

Capacity

Please note that applications must be received before 5pm on 24 February 2012.

For Financial Adviser use only – Mandatory

Name of Registered Individual _____
 Name of company _____
 Address _____

 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 _____
 FSA Number _____

Have you provided the customer with investment advice in relation to this product in accordance with the guidance set out in the Plan brochures and in particular, the table set out on page 7 of the Deposit Plans IFA guide and page 8 of the Investment 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.

I confirm that the Scheme and trustee details listed in Section 1 were obtained by me. I have seen evidence to verify the identity of all applicants that meets the standards set out within JMLSG guidance, issued in 2007.
 Name _____
 Job title _____
 Signature
 X
 Date

This declaration cannot 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.
 For verification of third party payers, please use the Confirmation of Verification of Identity Certification on our website.

Please select the appropriate commission option (If you are applying for more than one option within a Plan please state the option number next to the commission selection you have made).

For the FTSE 100 3 Year Deposit Plan 31:
 2.25% Initial commission only
 1% Initial commission plus 0.45% trail commission
 1% Initial commission only
 0% Initial commission only

For the FTSE 100 Kick-Out Deposit Plan 26:
 2.25% Initial commission only (**Option 2 only**)
 1% Initial commission plus 0.45% trail commission (**Option 2 only**)
 1% Initial commission only
 0% Initial commission only

For the Deposit Growth Plan 14 and the FTSE 100 Bonus Income Plan 21:
 3% Initial commission only
 1% Initial commission plus 0.45% trail commission
 1% Initial commission only
 0% Initial commission only

For the FTSE 100 Enhanced Kick-Out Plan 26:
 3% Initial commission only
 2% Initial commission plus 0.75% trail commission
 1% Initial commission only
 0% Initial commission only

For the FTSE 100 Geared Returns Plan 31 and the FTSE 100 Accelerated Growth Plan 31:
 3.5% Initial commission only
 1.25% Initial commission plus 0.5% trail commission
 1% Initial commission only
 0% Initial commission only

For any other Plan, please fill in Plan name and commission required, as specified in the Plan brochure:
 Plan Name _____
 Commission _____

For Investec use only
 Plan Number _____