

ISA Transfer Application Form Only Stocks and Shares ISA

**If you are reinvesting proceeds from a maturing Plan
please use our Direct and ISA Application Form.**

This Application Form is for Investment Plans.

The ISA transfer application deadline is 3 April 2020.
The ISA transfer funds deadline is 11 May 2020.

Please return your completed Application Form to:
Investec Structured Products
PO Box 914
Newport
NP20 9PE



This application is for the transfer of existing ISAs into our Investment Plans.

If you are reinvesting proceeds from a maturing Plan please use our [Direct and ISA Application Form](#).

This Application Form must be completed by the investor.

Please use **BLOCK CAPITALS** and **BLACK INK** and read the guidance notes below to help you complete your application.

Please note ISAs are restricted to UK tax resident individuals only.

Please note if you are a non-UK resident, you must be aged 18 or over and resident in Jersey, Guernsey or the Isle of Man.

If you have any questions about our Plan(s) and the Terms and Conditions please speak to your financial adviser before completing this Application Form.

Please note:

The terms and conditions of some ISA products do not allow only part of an ISA to be transferred. Your existing provider may need you to give them specific information before the transfer can go ahead. Please check with your existing ISA provider if you are not sure about this.

Guidance notes for completing your Application Form

Section 1 – Personal details

Please fill in all of your personal details, including your Bank or Building Society account information.

Section 2 – New investments

This section must be completed for all new investments. From the list provided select the Plan(s) and state the amount you would like to invest.

Section 3 – Declaration

Please read the Declaration.

Section 4 – Using your information

This section of the declaration includes information on Data Protection and how Investec may use your details.

Section 5 – Fee arrangement

Please disclose any fee arrangement you have agreed with your financial adviser.

Section 6 – Your signature

Please ensure you sign the Application Form.

Section 7 – Application checklist for Investors

Please ensure you have completed and signed all relevant sections. If you do not complete all relevant sections your application may be rejected.

Adviser section – Your financial adviser will need to fill in the section noted 'for adviser use only'.

Section 8 – Application checklist for Advisers

Please ensure you have completed and signed all relevant sections. If you do not complete all relevant sections your application may be rejected.

Once you have completed all relevant sections please return your signed Application Form to your financial adviser who will send it to:

Investec Structured Products

PO Box 914

Newport

NP20 9PE

If you have any questions regarding the application process please speak with your financial adviser or call **0344 892 0942**.

Title (Mr/Mrs/Miss/Ms/Other) _____ Date of birth Male Female

Surname _____

Full forename(s) _____

Country of birth _____

Place of birth _____

Nationality _____

Citizenship _____

Permanent residential address _____

Postcode _____

Telephone number (daytime)

Nature of business/occupation _____

National Insurance (NI) number (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).

1. Are you resident in the UK for tax purposes? Yes No

2. Are you a US citizen? Yes No

3. Are you resident for tax purposes in any other country? Yes No

In the event you have answered Yes to Questions 2 or 3 above, please provide the Country and Tax Identification Number (TIN) details in the following sections. A TIN is the tax reference number issued to you by the tax office in the country where you are resident for tax purposes. Where a country does not issue a TIN, please provide an equivalent number.

Country Tax Identification Number _____

Country Tax Identification Number _____

Payment details

This section must be completed in order for us to make income or maturity payments into your account.

Please note we are unable to accept instructions for payments to third parties.

Payments can only be made electronically to an account with a Bank or Building Society within the UK clearing system. Please refer to the relevant Plan brochure for the payment structure.

Bank/Building Society _____

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

Bank sort code - - Full account number (Normally 8 digits occasionally 7)

Building Society reference or roll number

Source of funds – what has created/is generating the funding with which you are opening this Plan:

- Savings
- Pension
- Salary
- Maturing Investments or Encashment Claim
- Share/Asset Sale
- Property Sale
- Company Profits
- Inheritance
- Loan
- Divorce Settlement
- Gift
- Other _____

Source(s) which originally created your wealth and significantly contributed to your wealth since? (This may be the same as the Source of funds.)

- Savings
- Pension
- Salary
- Maturing Investments or Encashment Claim
- Share/Asset Sale
- Property Sale
- Company Profits
- Inheritance
- Loan
- Divorce Settlement
- Gift
- Other _____

2. New investments

Select your Plan(s)

Transfer Value

Please tell us the approximate value of the ISA you wish to transfer

Please select the Plan(s) you wish to invest into from the list provided and insert the relevant amount. You may invest in more than one Plan on the same Application Form.

If you would like to invest the full amount into one Plan please write 'FULL AMOUNT' next to the Plan selected.

Please note this is subject to a minimum investment amount of £3,000 per Plan. If you are making an investment into more than one Plan please specify the exact amount.

Investment Plans

FTSE 100 Defensive Step Down Kick-Out Plan 26

FTSE 100 Enhanced Kick-Out Plan 92

FTSE 100 Step Down Kick-Out Plan 35

FTSE 100 Defensive Income Plan 23 (option 1)

FTSE 100 Defensive Income Plan 23 (option 2)

Investec/Lowes 8:8 Plan 17

FTSE 100 8 Year Kick-Out Plan 1

FTSE 100 8 Year Defensive Kick-Out Plan 1

3. Declaration – Investment Plans, ISA Transfer Form

Read thoroughly

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 (this includes a Help to Buy ISA), stocks and shares ISA, an innovative finance ISA and a Lifetime ISA.
4. I have not subscribed, and will not subscribe, to another stocks and shares ISA in the same tax year that I subscribe to this stocks and shares ISA.
5. I am resident in the United Kingdom for tax purposes or, if not UK tax 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 or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.
6. I have read and understood the ISA Terms and Conditions.

For all applicants

I will instruct the existing ISA manager to transfer my existing ISA assets in accordance with the Existing ISA Transfer Request tear off form.

I declare that:

- a) I am neither in the United States nor a U.S. Person (as defined in Regulation S under the U.S. Securities Act of 1933, as amended, or as defined in the U.S. Internal Revenue Code of 1986, as amended).
- b) I have received the FSCS Information Sheet that was provided with this application form.
- c) I have read and understood the Key Information Document and Plan brochure(s), including Plan risks and selling restrictions, and the Terms and Conditions under which the Plan(s) will be managed.

I authorise Investec Bank plc:

1. To hold my ISA investments, interest 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. Upon my written request to transfer or pay to me any amounts, as determined in accordance with the Terms and Conditions of my Plan(s), realised on or deriving from ISA investments including all rights and proceeds in respect of such ISA investments.
3. To supply me with an annual Plan statement.

I/We agree to comply at all times with any request from Investec Bank plc to provide additional information and or documentation related to my/our tax status within the timescale specified by Investec Bank plc in its request.

You agree that your monies will be used to purchase securities issued by the relevant Issuer, as specified in the Plan brochure. You acknowledge that the Plan Manager will only provide an annual statement on the value of your Plan(s).

If you require further information or do not understand at any point please speak to your financial adviser prior to signing this Application Form.

Once you have read the above, please sign in Section 6.

4. Using your information

Uses of your data

Investec Bank plc and its subsidiaries ('Investec') recognise and respect the privacy and data protection rights of individuals with regards to personal data (i.e. information that directly or indirectly identifies an individual). We may use your personal data to provide you with (including but not limited to) services you request from us, manage your accounts, make decisions, detect and prevent fraud, for analysis and assessment and/or to ensure that we comply with legal and regulatory requirements.

For further details as to how Investec uses your information, please refer to our Data Protection Notice which is available at the following link www.investec.com/cib-dataprotection

All enquiries, requests or concerns relating to the processing of your personal data and/or to ask for a printed copy of the Data Protection Notice, should be sent to the Data Protection Officer at Investec Bank plc, 30 Gresham Street, London EC2V 7QP or by email to dataprotection@investec.co.uk

Marketing

Investec Corporate Investment Bank may contact you periodically by telephone and/or post to provide information regarding events, products, services and content that may be of interest to you, unless you advise us that you do not wish to receive marketing or market research communications from us.

Please confirm if you are happy to receive marketing or market research communications from us by email or other electronic means by ticking the box below:

I consent to receive marketing by email or other electronic means.

If you wish to stop receiving marketing or market research communications from Investec Corporate Investment Bank you can click on the unsubscribe link in the marketing communication or contact the Data Protection Officer as described above.

5. Fee arrangement

Tell us about your fee arrangement

You may incur fees for the services received from your financial adviser. Your financial adviser will explain how much this will cost and together you must agree how you will pay for it. This could be a set fee paid upfront or alternatively it can be deducted from your ISA transfer amount, however this will reduce your holdings that benefit from having ISA status going forward.

Please state what you have agreed with your financial adviser:

I confirm that:

Fees have been settled directly with my financial adviser.

Or

I would like Investec Bank plc to deduct the fee stated below from the amount I invest and pay it to my financial adviser:

Fee to be taken: £ Or % (please state amount or %)

If you are applying for more than one ISA investment, please state how you wish the fee to be split in the boxes below:

Any payment we make to your financial adviser in respect of fees they charge you, is inclusive of any applicable VAT.

| | | | |
|-----------------|-----|------------------------|------------------------|
| Plan name _____ | Fee | £ <input type="text"/> | <input type="text"/> % |
| Plan name _____ | Fee | £ <input type="text"/> | <input type="text"/> % |
| Plan name _____ | Fee | £ <input type="text"/> | <input type="text"/> % |

6. Your signature

Please sign

You confirm that you have read and agreed to the declaration as set out in Section 3, and have discussed and agreed the Adviser Fee detailed in Section 5.

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 Structured Products before 5pm on 3 April 2020.

I declare, to the best of my knowledge and belief, that the information given in this Application Form is true and correct and that I will inform Investec Bank plc within 30 days of any change in my circumstances affecting any of the information contained in this Application Form.

Signature: Date

Print name _____

INVL94

7. Application checklist for Investors

Please review

To progress with the application, it is **mandatory** you complete all relevant sections. Please do not apply without a form as we will not accept the application. Please do not amend previously submitted forms as we will not accept the application.

Investor checklist

- › Have you fully completed the 'Personal details' information? Please note all information must be completed (Section 1)
- › Have you selected the Plan(s) in which you wish to invest and the amount per Plan? (Section 2)
- › Have you advised us of the fees you have agreed with your financial adviser? (Section 5)
- › Have you printed your full name, signed and dated the application form? (Section 6)

Adviser section

Financial adviser use only – MANDATORY

Please ensure you have registered a fully completed Terms of Business. Failure to do so will result in this application being rejected.

Please note that you must be qualified to FCA Level 4 standard to provide advice on our Investment Plans.

For the application to be processed ALL sections must be completed.

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 _____

Local regulator, e.g. FCA, FSC _____

Financial Services Register reference number

Principal's Financial Services Register reference number (if applicable)

I confirm that I have provided the customer with the Key Information Document for this/these product(s).

Have you provided the customer with investment advice in relation to these product(s) in accordance with the guidance set out in the Plan brochures?

Yes No

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

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

Under our Terms of Business the Intermediary is responsible for assessing the suitability and/or appropriateness of Investec products for potential clients.

Have these checks been completed? Yes No

Verification of identity

I confirm that:

- a) The information in Section 1 to 3 was obtained by me in relation to the customer(s);
- b) The bank details provided in Section 1 belong to the customer(s);
- c) The payment has come from a bank account in the name of the customer(s);
- d) If gift from another, the payment has come from a bank account in the name of the gift provider;
- e) 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 2017.

| | |
|--|---------------------------|
| Authorised Signatory: <input type="text"/> | Date <input type="text"/> |
| Full name _____ | |
| Position _____ | |

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 or power of attorney, please use the confirmation of Verification of Identity Certification on our website.

To progress with the application, it is **mandatory** you complete all relevant sections. Please do not apply without a form as we will not accept the application. Please do not amend previously submitted forms as we will not accept the application.

Adviser checklist

- › Have you fully completed the Adviser section?
- › Have you registered a fully completed Terms of Business in place with Investec Structured Products? Please note, if you are a part of a National IFA or Network you may have centralised Terms of Business with Investec Structured Products. If you are unsure please contact 0344 892 0942 to check.
- › Where you wish to transfer the full amount from your transferring Plan please write 'FULL AMOUNT' or the exact transfer value.
- › Have you provided verification of identity for all parties including all holders of power of attorney (if applicable)?
- › Has an authorised signatory printed full name, signed and dated the Adviser section?

Existing ISA Transfer request

Please answer either Question 1 or Question 2:

1. If you have **not** subscribed to this ISA in the current tax year, please indicate here how much of your ISA you want to transfer.

Either if you want to transfer the whole ISA, tick here

Or

If less, indicate the amount you wish to transfer here £

2. If you have subscribed to this ISA in the current tax year, please indicate the total subscriptions made in current tax year £

The amount in your account representing current tax year subscriptions can only be transferred in whole and not in part.

Please indicate here how much of your ISA you want to transfer:

Either if you want to transfer the whole ISA, tick here

Or

£ including current year subscriptions as stated above, tick here

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

Minimum investment amount £3,000.

Title (Mr/Mrs/Miss/Ms/Other) _____ Date of birth

Surname _____

Full forename(s) _____

Permanent/residential address _____

Postcode _____

Telephone number (daytime)

National Insurance (NI) number (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).

Please note that the address you provide below will be the address that your request will be sent to.

Name of your existing ISA manager _____

Address of ISA manager _____

Postcode

Account sort code - -

Account number of ISA

Transferred from:

Stocks and Shares

Or

Cash ISA

Notes for existing ISA Manager

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 Structured Products, PO Box 914, Newport NP20 9PE.**

2. Any dividends, interest, and tax credits arising after the transfer should be made payable directly to me.

Where I must give notice to close or transfer part of the existing ISA, or the existing ISA contains a fixed-term deposit that has not reached its maturity date, I instruct my existing ISA provider to either: (tick the appropriate box)

Wait for the full notice period to end or wait until the maturity date (whichever is relevant) before going ahead with this transfer;

Or

Depending on the terms and conditions, carry out the transfer as soon as possible – I will accept any consequential loss of interest or charges which may be applied.

| | |
|------------------|--|
| Signature: X | Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> |
| Print name _____ | |

The ISA transfer application deadline is 3 April 2020.
The ISA transfer funds deadline is 11 May 2020.

Please return your completed and signed Application Form to your financial adviser who will send it to:

Investec Structured Products
PO Box 914
Newport
NP20 9PE

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324540/TAL 1019



Basic information about the protection of your eligible deposits

| | |
|---|---|
| Eligible deposits in Investec Bank plc are protected by: | The Financial Services Compensation Scheme ("FSCS") ¹ |
| Limit of protection: | £85,000 per depositor per bank/building society/credit union ² . The following trading names are part of your bank/building society/credit union: Investec Structured Products |
| If you have more eligible deposits at the same bank/building society/credit union: | All your eligible deposits at the same bank/building society/credit union are "aggregated" and the total is subject to the limit of £85,000. ² |
| If you have a joint account with other person(s): | The limit of £85,000 applies to each depositor separately. ³ |
| Reimbursement period in case of bank, building society or credit union's failure: | 20 working days ⁴ |
| Currency of reimbursement: | Pound sterling (GBP, £) or, for branches of UK banks operating in other EEA Member States, the currency of that State. |
| To contact Investec Bank plc for enquiries relating to your account: | Investec Structured Products PO Box 914 Newport NP20 9PE Tel: 0344 892 0942 |
| To contact the FSCS for further information on compensation: | Financial Services Compensation Scheme 10th Floor Beaufort House 15 St Botolph Street London EC3A 7QU Tel: 0800 678 1100 or +44 (0)20 7741 4100 Email: ICT@fscs.org.uk |
| More information: | http://www.fscs.org.uk |

Additional information

1. Scheme responsible for the protection of your eligible deposit

Your eligible deposit is covered by a statutory Deposit Guarantee Scheme. If insolvency of your bank, building society or credit union should occur, your eligible deposits would be repaid up to £85,000 by the Deposit Guarantee Scheme.

2. General limit of protection

If a covered deposit is unavailable because a bank, building society or credit union is unable to meet its financial obligations, depositors are repaid by a Deposit Guarantee Scheme. This repayment covers at maximum £85,000 per bank, building society or credit union. This means that all eligible deposits at the same bank, building society or credit union are added up in order to determine the coverage level. If, for instance a depositor holds a savings account with £80,000 and a current account with £20,000, he or she will only be repaid £85,000. This method will also be applied if a bank, building society or credit union operates under different trading names. Investec Bank plc also trades under Investec Structured Products. This means that all eligible deposits with one or more of these trading names are in total covered up to £85,000.

In some cases eligible deposits which are categorised as “temporary high balances” are protected above £85,000 for six months after the amount has been credited or from the moment when such eligible deposits become legally transferable. These are eligible deposits connected with certain events including:

- (a) certain transactions relating to the depositor’s current or prospective only or main residence or dwelling;
- (b) a death, or the depositor’s marriage or civil partnership, divorce, retirement, dismissal, redundancy or invalidity;
- (c) the payment to the depositor of insurance benefits or compensation for criminal injuries or wrongful conviction.

More information can be obtained under <http://www.fscs.org.uk>

3. Limit of protection for joint accounts

In case of joint accounts, the limit of £85,000 applies to each depositor.

However, eligible deposits in an account to which two or more persons are entitled as members of a business partnership, association or grouping of a similar nature, without legal personality, are aggregated and treated as if made by a single depositor for the purpose of calculating the limit of £85,000.

4. Reimbursement

The responsible Deposit Guarantee Scheme is the Financial Services Compensation Scheme, 10th Floor Beaufort House, 15 St Botolph Street, London, EC3A 7QU, Tel: 0800 678 1100 or +44 (0)20 7741 4100, Email: ICT@fscs.org.uk. It will repay your eligible deposits (up to £85,000) within 20 working days until 31 December 2018; within 15 working days from 1 January 2019 until 31 December 2020; within 10 working days from 1 January 2021 to 31 December 2023; and within 7 working days from 1 January 2024 onwards, save where specific exceptions apply.

Where the FSCS cannot make the repayable amount available within 7 working days, it will, from 1 June 2016 until 31 December 2023, ensure that you have access to an appropriate amount of your covered deposits to cover the cost of living (in the case of a depositor which is an individual) or to cover necessary business expenses or operating costs (in the case of a depositor which is not an individual or a large company) within 5 working days of a request.

If you have not been repaid within these deadlines, you should contact the Deposit Guarantee Scheme since the time to claim reimbursement may be barred after a certain time limit. Further information can be obtained under <http://www.fscs.org.uk>

5. Other important information

In general, all retail depositors and businesses are covered by Deposit Guarantee Schemes. Exceptions for certain deposits are stated on the website of the responsible Deposit Guarantee Scheme. Your bank, building society or credit union will also inform you of any exclusions from protection which may apply. If deposits are eligible, the bank, building society or credit union shall also confirm this on the statement of account.

Exclusions list

A deposit is excluded from protection if:

- (1) The holder and any beneficial owner of the deposit have never been identified in accordance with money laundering requirements. For further information, contact your bank, bank building society or credit union.
- (2) The deposit arises out of transactions in connection with which there has been a criminal conviction for money laundering.
- (3) It is a deposit made by a depositor which is one of the following:
 - › credit institution
 - › financial institution
 - › investment firm
 - › insurance undertaking
 - › reinsurance undertaking
 - › collective investment undertaking
 - › pension or retirement fund⁶
 - › public authority, other than a small local authority.

For further information about exclusions, refer to the FSCS website at www.fscs.org.uk

⁶Deposits by personal pension schemes, stakeholder pension schemes and occupational pension schemes of micro, small and medium sized enterprises are not excluded.