

# Application for SIPP/SSAS Pension Trustees



Financial advisers must ensure they have registered a fully completed Terms of Business.  
Failure to do so will result in this application being rejected.

Closing date  
1 April 2021

Applications will only be accepted via financial advisers qualified to FCA Level 4 standard.

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 0344 892 0942.

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.

## Investec Plans

Please tick the name of the Plan you are applying for from the list below.

FTSE 100 Kick-Out Deposit Plan 99	<input type="checkbox"/>	FTSE 100 Step Down Kick-Out Plan 42 - BNP version	<input type="checkbox"/>
FTSE 100 Defensive Kick-Out Deposit Plan 25	<input type="checkbox"/>	FTSE 100 Enhanced Kick-Out Plan 99 - BNP version	<input type="checkbox"/>
FTSE 100 3 Year Deposit Plan 63	<input type="checkbox"/>	FTSE 100 8 Year Kick-Out Plan 8 - BNP version	<input type="checkbox"/>
FTSE 100 3 Year Defensive Deposit Plan 27	<input type="checkbox"/>		
FTSE 100 6 Year Deposit Plan 25	<input type="checkbox"/>		
FTSE 100 6 Year Defensive Deposit Plan 35	<input type="checkbox"/>		

(Min Return version)

FTSE 100 Income Deposit Plan 41 - Monthly

## 1. Scheme and trustee details

### Name of Scheme

\_\_\_\_\_  
Scheme address

\_\_\_\_\_  
Postcode

\_\_\_\_\_  
Country of establishment

\_\_\_\_\_  
Scheme number

\_\_\_\_\_  
HMRC reference number

Date registered by HMRC

**Note:** Please provide details of **all** trustees – continue on a separate sheet if necessary.

### Full name of Trustee 1

\_\_\_\_\_  
Residential address

\_\_\_\_\_  
Postcode

\_\_\_\_\_  
Nationality

\_\_\_\_\_  
Telephone number (daytime)

Date of birth

### Full name of Trustee 2

\_\_\_\_\_  
Residential address

\_\_\_\_\_  
Postcode

\_\_\_\_\_  
Nationality

\_\_\_\_\_  
Telephone number (daytime)

Date of birth

**Full name of Trustee 3**

\_\_\_\_\_

Residential address

\_\_\_\_\_

Postcode

\_\_\_\_\_

Nationality

\_\_\_\_\_

Telephone number (daytime)

Date of birth

**Full name of Trustee 4**

\_\_\_\_\_

Residential address

\_\_\_\_\_

Postcode

\_\_\_\_\_

Nationality

\_\_\_\_\_

Telephone number (daytime)

Date of birth

**Protector details**

Full name

\_\_\_\_\_

Address

\_\_\_\_\_

Postcode

\_\_\_\_\_

Country of residence

\_\_\_\_\_

Nationality

Date of birth

\_\_\_\_\_

**Settlor details**

Full name

\_\_\_\_\_

Address

\_\_\_\_\_

Postcode

\_\_\_\_\_

Country of residence

\_\_\_\_\_

Nationality

Date of birth

\_\_\_\_\_

**Beneficiary details**

Please provide details of all beneficiaries with 25% or more of beneficial ownership, using additional paper if necessary.

**Full name of Beneficiary 1**

\_\_\_\_\_

Address

\_\_\_\_\_

Postcode

\_\_\_\_\_

Country of residence

\_\_\_\_\_

Nationality

Date of birth

\_\_\_\_\_

If class of beneficiaries, please state

\_\_\_\_\_

**Full name of Beneficiary 2**

\_\_\_\_\_

Address

\_\_\_\_\_

Postcode

\_\_\_\_\_

Country of residence

\_\_\_\_\_

Nationality

Date of birth

\_\_\_\_\_

If class of beneficiaries, please state

\_\_\_\_\_

Full name of Beneficiary 3

\_\_\_\_\_

Address

\_\_\_\_\_

Postcode

\_\_\_\_\_

Country of residence

\_\_\_\_\_

Nationality

Date of birth

If class of beneficiaries, please state

\_\_\_\_\_

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

<input type="checkbox"/> Savings	<input type="checkbox"/> Pension	<input type="checkbox"/> Salary	<input type="checkbox"/> Maturing Investments or Encashment Claim
<input type="checkbox"/> Share/Asset Sale	<input type="checkbox"/> Property Sale	<input type="checkbox"/> Company Profits	<input type="checkbox"/> Inheritance
<input type="checkbox"/> Loan	<input type="checkbox"/> Divorce Settlement	<input type="checkbox"/> 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.)

<input type="checkbox"/> Savings	<input type="checkbox"/> Pension	<input type="checkbox"/> Salary	<input type="checkbox"/> Maturing Investments or Encashment Claim
<input type="checkbox"/> Share/Asset Sale	<input type="checkbox"/> Property Sale	<input type="checkbox"/> Company Profits	<input type="checkbox"/> Inheritance
<input type="checkbox"/> Loan	<input type="checkbox"/> Divorce Settlement	<input type="checkbox"/> Gift	Other _____

For SIPP investments only

Full name of scheme beneficiary

\_\_\_\_\_

Residential address

\_\_\_\_\_

Postcode

\_\_\_\_\_

Telephone number (daytime)

Date of birth

Nationality

\_\_\_\_\_

Occupation

\_\_\_\_\_

2. Investment

Please specify the amount you would like to invest on behalf of the scheme (minimum £3,000)

£

If you wish to split your investment amount please specify here

\_\_\_\_\_

Method of Payment:

Cheque Or  Electronic

Bank Details

Account title

I N V E S T E C B A N K P L C H O L D I N G

Sort code

-    -

Account number

Cheques should be made payable to "Investec Bank plc". Bankers drafts or Building Society cheques must be made payable to "Investec Bank plc reference (your name)". Application Forms with post dated cheques will not be accepted.

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.

Maturing Investec Plan number

### 3. 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 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 relevant Plan brochure for payment structure.

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)

Building Society reference or roll number

### 4. Adviser fees

**Please note:** For our Deposit Plans and Investment Plans you will need to discuss and agree any fee with your financial adviser. This will need to be paid directly to them.

### 5. Declaration

I/We declare that I/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).

- › I/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.
- › I/We declare that I/we understand 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.
- › I/We acknowledge that in order to comply with its obligations under UK tax legislation, Investec Bank plc may request me/us to provide additional information and/or documentation related to the tax status of my/our organisation and any trustee, settlor, protector or beneficiary. I/We agree to comply at all times with such a request from Investec Bank plc within the time specified by Investec Bank plc in its request.
- › I/We agree that if I am identified as a Reportable Person for the purposes of any of UK's information sharing agreements (including Foreign Account Tax Compliance Act (FATCA) and OECD Common Reporting Standard (CRS)), I authorise Investec Bank plc:
  - To share information about my accounts held with Investec Bank plc with HM Revenue and Customs who may then share the information with my local tax authority(ies) or
  - To share information about my accounts held with Investec Bank plc with my local tax authority(ies) if required under Applicable Laws.
- › Investec Bank plc will retain a record of the information you give us about your organisation, its owners and controllers and may disclose this information to HM Revenue & Customs in order to meet its legal and regulatory obligations. For more information about how Investec Bank plc uses personal information, please read our Data Protection Statement at [www.investec.com/cib-dataprotection](http://www.investec.com/cib-dataprotection) or ask for a printed copy. Where you have given us information about your organisation's owners and controllers, you confirm that:
  - you have permission from those persons to share their information with us; and
  - they agree with the ways in which we will use their information as explained above and in our Data Protection Statement.
- › I/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.
- › I/We agree to advise Investec Bank plc within 30 days in writing of any changes in the information contained in this Application Form, including any changes to the Trustee Holder. I/We agree to provide evidence of the change if I am/we are asked to.
- › I/We confirm that I/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.
- › I/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 I/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. I/We agree to inform you immediately should I/we believe anyone connected with the trust becomes a resident of the United States or a U.S. Person.
- › I/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).
- › I/We authorise Investec Bank plc to hold the subscriptions, Plan investments, interest and any other rights or proceeds in connection with our investments and any other cash and upon our request to transfer or pay to the Scheme any investments, interest, rights or other proceeds in connection with such investments.
- › Where I/we have chosen a Deposit Plan, I/we agree that our money will be placed on deposit with Investec Bank plc. Where I/we have chosen an Investment Plan, I/We agree that our money will be used to purchase securities issued by BNP Paribas Issuance B.V..
- › I/We accept that the Plan Manager will only provide an annual statement on the value of the Plan.
- › I/We have received the FSCS Information Sheet that was provided with this application form.
- › I/We confirm that I/we 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 your Plan(s) will be managed.

## How we use 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](http://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](mailto: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.

## 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. In order to comply with these regulations, we require the Verification of Identity Section of this form to be completed.
2. 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.
3. Capitalised terms unless otherwise defined, have the meanings given to them in the Terms and Conditions within the Plan brochure.
4. Please reference client name/client designation when making payment to this account. Failing to do so may result in your application being rejected.

Bank: HSBC Bank plc    Sort code: 40 02 50    Account number: 41340794    Account name: Investec Bank plc

5. Investec will not facilitate payment of fees for Plans.

## 6. Your signature

Please sign

Authorised Signatory: <input type="checkbox"/>	Date <input type="text" value="d"/> <input type="text" value="d"/> <input type="text" value="m"/> <input type="text" value="m"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/>
Full name	
Capacity	
Authorised Signatory: <input type="checkbox"/>	Date <input type="text" value="d"/> <input type="text" value="d"/> <input type="text" value="m"/> <input type="text" value="m"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/>
Full name	
Capacity	

INVL104

Please note that applications must be received before 5pm on 1 April 2021.

Please return the completed and signed Application Forms to: Investec Structured Products, PO Box 914, Newport NP20 9PE.

If you have difficulty in reading our literature, please call us on 020 7597 4065. We can supply this in a range of formats including large print, audio and Braille.

**Issued by:** Investec Bank plc. Registered and incorporated in England No. 00489604. Investec Bank plc is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Registered under Financial Services Register reference 172330. Investec Bank plc does not offer investment advice or make any recommendations regarding these Plans.

Continued on next page >

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 Deposit Plans.

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

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 directly authorised  or an authorised representative?

Name of network \_\_\_\_\_

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 this product 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 the Scheme and trustee details listed in Section 1 were obtained by me and the bank details provided in Section 3 belong to the customer. I have seen evidence to verify the identity of all applicants that meets the standards set out within JMLSG guidance, issued in 2017.

Authorised Signatory: <input checked="" type="checkbox"/>	Date <input type="text" value="d"/> <input type="text" value="d"/> <input type="text" value="m"/> <input type="text" value="m"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/> <input type="text" value="y"/>
Full name _____	
Job title _____	

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 Investec use only**

Plan number \_\_\_\_\_

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## Basic information about the protection of your eligible deposits

<b>Eligible deposits in Investec Bank plc are protected by:</b>	The Financial Services Compensation Scheme ("FSCS") <sup>1</sup>
<b>Limit of protection:</b>	£85,000 per depositor per bank/building society/credit union <sup>2</sup> . The following trading names are part of your bank/building society/credit union:  Investec Structured Products
<b>If you have more eligible deposits at the same bank/building society/credit union:</b>	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. <sup>2</sup>
<b>If you have a joint account with other person(s):</b>	The limit of £85,000 applies to each depositor separately. <sup>3</sup>
<b>Reimbursement period in case of bank, building society or credit union's failure:</b>	20 working days <sup>4</sup>
<b>Currency of reimbursement:</b>	Pound sterling (GBP, £)
<b>To contact Investec Bank plc for enquiries relating to your account:</b>	Investec Structured Products PO Box 914 Newport NP20 9PE  Tel: 0344 892 0942
<b>To contact the FSCS for further information on compensation:</b>	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: <a href="mailto:ICT@fscs.org.uk">ICT@fscs.org.uk</a>
<b>More information:</b>	<a href="http://www.fscs.org.uk">http://www.fscs.org.uk</a>

## 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](mailto: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.



## 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 fund<sup>1</sup>
  - › public authority, other than a small local authority.
- (4) It is a deposit of a credit union to which the credit union itself is entitled.
- (5) It is a deposit which can only be proven by a financial instrument<sup>2</sup> (unless it is a savings product which is evidenced by a certificate of deposit made out to a named person and which existed in the UK, Gibraltar or a Member State of the EU on 2 July 2014).
- (6) It is a deposit of a collective investment scheme which qualifies as a small company.<sup>3</sup>
- (7) It is a deposit of an overseas financial services institution which qualifies as a small company.<sup>4</sup>
- (8) It is a deposit of certain regulated firms (investment firms, insurance undertakings and reinsurance undertakings) which qualify as a small business or a small company<sup>5</sup> – refer to the FSCS for further information on this category.
- (9) It is not held by an establishment of a bank, building society or credit union in the UK or, in the case of a bank or building society incorporated in the UK, it is not held by an establishment in Gibraltar.

For further information about exclusions, refer to the FSCS website at [www.fscs.org.uk](http://www.fscs.org.uk)

<sup>1</sup> Deposits by personal pension schemes, stakeholder pension schemes and occupational pension schemes of micro, small and medium sized enterprises are not excluded.

<sup>2</sup> As listed in Part I of Schedule 2 to the Financial Services and Markets Act 2000 (Regulated Activities) Order 2001, read with Part 2 of that Schedule.

<sup>3</sup> Under the Companies Act 1985 or Companies Act 2006.

<sup>4</sup> See footnote 3.

<sup>5</sup> See footnote 3.