

Application for UK Corporate Investors*

*Excluding Offshore Bond Providers, who have a separate Application Form.



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
6 November 2020

Applications will only be accepted via a financial adviser 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 96	<input type="checkbox"/>	FTSE 100 Step Down Kick-Out Plan 39 - BNP version	<input type="checkbox"/>
FTSE 100 Defensive Kick-Out Deposit Plan 22	<input type="checkbox"/>	FTSE 100 Enhanced Kick-Out Plan 96 - BNP version	<input type="checkbox"/>
FTSE 100 3 Year Deposit Plan 60	<input type="checkbox"/>	FTSE 100 8 Year Kick-Out Plan 5 - BNP version	<input type="checkbox"/>
FTSE 100 3 Year Defensive Deposit Plan 24	<input type="checkbox"/>	FTSE 100 8 Year Defensive Kick-Out Plan 5 - BNP version	<input type="checkbox"/>
FTSE 100 6 Year Deposit Plan 22	<input type="checkbox"/>		
FTSE4Good 6 Year Deposit Plan 2	<input type="checkbox"/>		
FTSE 100 6 Year Defensive Deposit Plan 32 (Min Return version)	<input type="checkbox"/>		
FTSE 100 Income Deposit Plan 38 - Monthly	<input type="checkbox"/>		

1. Corporate and Shareholder details

Please attach a certified copy of the Certificate of Incorporation/Trading Certificate of the Corporate to this Application Form.

Please notify us if the correspondence address for the Corporate is different from the registered address given on this Application Form.

The details below must be completed for all persons authorised to sign on behalf of the Corporate. Please photocopy this page if you have more than two authorised signatories.

Name of Corporate

Registered number

Registered address

Postcode

Country of incorporation

Trading address/Principal business address (if different to registered address)

Postcode

Tax reference number(s)

Authorised Signatory 1

Full name

Position

Date of birth

Address

Postcode

Country of residence

Nationality

Continued on next page >

Authorised Signatory 2

Full name _____

Position _____

Date of birth

d	d	m	m	y	y	y	y
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Address _____

Postcode _____

Country of residence _____

Nationality _____

2. Tax Status

Investec Bank plc is obliged by UK tax legislation to identify and report to HM Revenue and Customs personal information and account details relating to clients who are resident for tax purposes in certain countries (e.g. the USA). As part of this we may ask you for additional information and/or documentation from time to time relating to the tax status of:

- (a) the company;
- (b) anyone who owns 20% or more of the company, or who has 20% or more of the voting rights in the company;
- (c) where the company is owned by another organisation, any individuals who are the ultimate beneficial owners of the company;
- (d) anyone who controls the business decisions of the company, e.g. directors.

List all countries where the company is resident for tax purposes. This usually means the country/countries where you have an obligation to pay taxes or file tax returns. Please also provide the company's associated Tax Identification Number (TIN). 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 for example, a business or company registration number or other similar form of identification. If a TIN is unavailable please provide the appropriate reason A or B where appropriate:

Reason A – The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents

Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason)

Country of tax residence _____	TIN _____	If no TIN is available, enter Reason A or B <input type="checkbox"/>
Country of tax residence _____	TIN _____	If no TIN is available, enter Reason A or B <input type="checkbox"/>
Country of tax residence _____	TIN _____	If no TIN is available, enter Reason A or B <input type="checkbox"/>

Is the company resident for tax purposes in any country/countries other than those stated above? Yes No

If yes, please photocopy this page and provide details.

Does the company have a Global Intermediary Identification Number (GIIN) issued by the US Inland Revenue Service? Yes No

If it does, please provide the GIIN _____

Is your organisation a U.S. Person? Yes, please complete Section 2a below No, please go to Section 2b

Section 2a – If your organisation is a U.S. Person: please tick one of the boxes below:

- 1. Your organisation is a Specified U.S. Person
- 2. Your organisation is a U.S. Person, but is not a Specified U.S. Person

If you have ticked 2 above, please provide a reason for your answer below: _____

Section 2b – Only complete if non U.S. Person

Please tick one if the following boxes:

- 1. Financial Institution (FI) Please complete Section 2c and 2d
- 2. Non-Financial Foreign* Entity (NFFE) Please complete Section 2e and 2f
- *Non U.S.

Section 2c – Financial Institution classification under FATCA

Please tick one of the three options below:

- 1. Financial Institution or a Registered Deemed Compliant Financial Institution
- 2. Sponsored, closely held Investment Vehicle
- 3. Trustee Documented (UK resident Trusts only)

If you ticked 1 above, please provide your Global Intermediary Identification Number (GIIN) _____

If you ticked 2 above, please provide the following information about your sponsor:

Name _____

Global Intermediary Identification Number (GIIN) _____

If you ticked 3 above, please provide the following information about the Financial Institution who is acting as trustee:

Name _____

Global Intermediary Identification Number (GIIN) _____

If you have not provided any Global Intermediary Identification Number (GIIN) above, please tick one of the reasons below?

- 1. Your organisation has applied, or is going to apply, for a GIIN (but has not yet received it)
- 2. Exempt Beneficial Owner
- 3. Certified Deemed Compliant Financial Institution (other than Sponsored, closely held Investment Vehicle)
- 4. Non-Participating Foreign Financial Institution
- 5. Other reason (please specify in the space below: _____)

Please go to Section 2d

Section 2d: Financial Institution classification under the CRS/DAC

Please tick one of the options below:

- 1. If the organisation is an Investment Entity:
 - a) The Investment Entity is located in a Non-Participating Jurisdiction and managed by another Financial Institution
 - b) Any other Investment Entity not mentioned in 1a above
- 2. Depository Institution, Custodial Institution or Specified Insurance Company

Section 2e: Non-Financial Foreign Entity (NFFE) classification under FATCA

Please tick one of the following four options:

- 1. Active NFFE
- 2. Passive NFFE
- 3. Direct Reporting NFFE
- 4. Sponsored Direct Reporting NFFE

If you ticked 1 or 2 above, please go to Section 2f.

If you ticked 3 above, please provide your Global Intermediary Identification Number (GIIN): _____

Please go to Section 2f.

If you ticked 4 above, please provide the following information about your sponsor:

Name _____

Global Intermediary Identification Number (GIIN) _____

Please go to Section 2f.

Section 2f: Non-Financial Entity (NFE) classification under the CRS/DAC

Please tick one of the following options:

- 1. If the organisation is an Active NFE, please specify the type:
 - a) A corporation the stock of which is regularly traded on an established securities market or a Related Entity of such a corporation
 - b) A Government Entity
 - c) An International Organisation
 - d) Any other Active NFE
- 2. The organisation is a Passive NFE

If you ticked 1a above, please provide the name of the established securities market on which the corporation is regularly traded:

If you are a Related Entity of a regularly traded corporation, please provide the name of the regularly traded corporation that the Entity in 1a is a Related Entity of:

3. Investment

Please specify the amount you would like to invest (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

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 Corporate, should be made payable to: **Investec Bank plc**. You must reference the name of the Corporate clearly on the cheque.

Maturing Investec Plan number

4. 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, ABC Limited) _____

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

Building Society reference or roll number

5. FSCS Information

Please complete the following section so that we can record potential FSCS eligibility. For further information on the FSCS and eligibility criteria please visit www.fscs.org.uk

The following entities, as defined in the Prudential Regulation Authority handbook, are not eligible for the FSCS deposit guarantee scheme:

- › Credit institution
- › Financial institution
- › Investment firm
- › Insurance undertaking
- › Reinsurance undertaking
- › Collective investment undertaking
- › Pension or retirement fund
- › Public authority, other than a small local authority

Is your company or corporate body classified as one of the above entities? Yes No

Please tick this box if your company or corporate body is an Unincorporated Association or Mutual Association

Please tick this box if your company or corporate body is classified as a small local authority

Please tick one of the following:

- › Medium-sized Enterprise: Made up of enterprises which employ fewer than 250 persons and which have an annual turnover not exceeding EUR 50 million, and/or an annual balance sheet total not exceeding EUR 43 million.
- › Small Enterprise: An enterprise which employs fewer than 50 persons and whose annual turnover and/or annual balance sheet total does not exceed EUR 10 million.
- › Microenterprise: An enterprise which employs fewer than 10 persons and whose annual turnover and/or annual balance sheet total does not exceed EUR 2 million.
- › None of the above three options.

6. Adviser fees

You may incur fees for the services received from your financial adviser for our Deposit Plans and Investment Plans. 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 initial investment.

Please state what you have agreed with your financial adviser:

I/We confirm that:

Fees have been settled directly with my/our financial adviser.

Or

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

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

If you are applying for more than one direct 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"/> %

7. Declaration

I/We, the Authorised Signatories declare that I/we are authorised to give all types of instructions relating to this investment.

- › 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, relating to the Plan chosen, 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 related to the tax status of all individuals referred to under the heading 'Tax Status' in the Applicant Details section. 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 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 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 Authorised Signatories. I/We agree to provide evidence of the change if I am/we are asked to.
- › I/We confirm that a true copy of the Certificate of Incorporation/Trading Certificate and evidence of authority for Authorised Signatories are attached.
- › I/We confirm that I/we are a UK Corporate.
- › 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 company. I/We agree to inform you immediately should I/we believe anyone connected with the company becomes a resident of the United States or a U.S. Person and on our request to transfer or pay to the company any investments, interest, dividends, rights or other proceeds in respect of such investments.
- › 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 Corporate 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

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.

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 this 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.

8. Your signature

Please sign

Authorised Signatory: X	Date	d	d	m	m	y	y	y	y
Full name									
Capacity									
Authorised Signatory: X	Date	d	d	m	m	y	y	y	y
Full name									
Capacity									

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Please note that applications must be received before 5pm on 6 November 2020.

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 _____

Company's 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 Corporate, authorised signatory and shareholder details listed under Section 1 were obtained by me and the bank details provided in Section 4 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"/> <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"/>
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 _____

Please note that applications must be received before 5pm on 6 November 2020.

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.

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.