

## AIM Portfolio IHT Plan Client Agreement (including ISA) for Clients introduced by external financial advisers

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Account Name(s) (including any sub-account designation)

### To be read in conjunction with the enclosed *Terms and Conditions*

Words and phrases used in this *Client Agreement* shown in italics have the definitions set out in the Definitions section at the end of the *Terms and Conditions*. For the purpose of this *Agreement*, references to “we” “our” or “us” refer to Investec Wealth & Investment (“IW&I”) and references to “you” or “your” refer to the party or parties named above, unless otherwise stated.

This *Client Agreement* and the other documents (as set out in Section 1 and the *Terms and Conditions*) which form the *Agreement* between us and you set out the basis upon which IW&I will provide these services to you. It replaces all prior arrangements or understandings between us and you.

**Please complete this document as comprehensively as possible. Please complete all fields as applicable; any gaps should be marked ‘not applicable’.**

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Primary contact details

Section 1

Our Agreement

This *Client Agreement* should be read in conjunction with the *Terms and Conditions* (including the Annexes), the Sections of our current service brochures and ratecard which sets out our charges, and any other document which we may provide to you which states it is to form part of the *Agreement* between us and you. You are then requested to complete, sign and return a copy of this *Client Agreement* to us.

As stated in the *Terms and Conditions*, the *Agreement* between you and us will come into force when all of the following matters have been completed:

1. We have received a completed and signed copy of this *Client Agreement*.
2. We have fulfilled our obligations under the appropriate Money Laundering legislation or regulations in respect of our engagement by new customers.

Once the above matters have been completed, and if applicable, we have re-registered your securities in the name of our *nominee company*, you will receive from us a *Commencement Letter* which sets out the date on which we shall begin to manage your portfolio in accordance with the terms of the *Agreement*.

Prior to the date set out in the *Commencement Letter* and subject to the terms of the *Agreement*, we will at your request provide advice in respect of individual assets and on your instructions deal in respect of individual assets. However, we will not be able to provide this service unless we have received from you a signed copy of this *Client Agreement*, and we have fulfilled our obligations under the appropriate Money Laundering legislation or regulations.

Please note that it is your *Financial Adviser*, not IW&I, who is responsible for obtaining from you sufficient personal and financial information about you and for advising you, based upon that information, on an investment strategy which is appropriate to your circumstances. We are not responsible or liable for the accuracy of that information or for any advice which you are given by your *Financial Adviser*.

Our nominee services

Your stock will normally be registered in the name of our *nominee company* and held on your behalf. Our *nominee company* is a member of the CREST Settlement System and, wherever practicable, will hold your stock in uncertificated form. Assets held in our *nominee company* are subject to the rules of the Financial Conduct Authority (FCA).

You should be aware that the time taken to re-register cash, assets, shares and/or securities in the name of our *nominee company* will vary dependent on a number of factors outside of our control. As such we may not be able to effect any transaction you instruct us to carry out prior to the date set out in the *Commencement Letter* and we do not accept liability for any loss you may suffer as a result of being unable to deal in your assets whilst they are in the process of re-registration in the name of our *nominee company*.

In the event that you continue to receive correspondence direct from companies or their registrars (particularly in respect of corporate actions), you should inform us immediately and retain any such documentation pending our recommendation.

Section 1

Client details

Applicant 1

MRMRSMISSMS

OTHER

FULL NAME

OTHER NAMES  
(ALIAS/MAIDEN ETC)

RESIDENTIAL ADDRESS\*

POSTCODE

TELEPHONE (HOME)

TELEPHONE (BUSINESS)

TELEPHONE (MOBILE)

EMAIL ADDRESS

DATE OF BIRTH

NATIONALITY

NATIONAL CLIENT IDENTIFIER (NCI)\*\*

DUAL NATIONALITY

SECOND NATIONAL CLIENT IDENTIFIER (NCI)\*\*

COUNTRY OF BIRTH

COUNTRY OF RESIDENCE

If two individuals are setting up a joint account, this agreement will allow Investec Wealth & Investment to accept instructions from either party.

Applicant 2 (if any)

MRMRSMISSMS

OTHER

FULL NAME

OTHER NAMES  
(ALIAS/MAIDEN ETC)

RESIDENTIAL ADDRESS\*

POSTCODE

TELEPHONE (HOME)

TELEPHONE (BUSINESS)

TELEPHONE (MOBILE)

EMAIL ADDRESS

DATE OF BIRTH

NATIONALITY

NATIONAL CLIENT IDENTIFIER (NCI)\*\*

DUAL NATIONALITY

SECOND NATIONAL CLIENT IDENTIFIER (NCI)\*\*

COUNTRY OF BIRTH

COUNTRY OF RESIDENCE

If two individuals are setting up a joint account, this agreement will allow Investec Wealth & Investment to accept instructions from either party.

\* If you have resided at the above address for less than 5 years please provide your previous address details in the section entitled 'Additional Information'.

\*\* A table detailing NCI information required for each country (where applicable) can be found on the back of the 'Nominated Persons Form' in section 11 of this document. If the relevant country is not listed, please provide a valid passport number and expiry date. Should you or the second applicant have dual nationality, please complete the NCI details (where applicable) for each nationality. If you do not have the information attached, please contact your Investment Manager.

## Section 2

**Despatch of correspondence & confirmation of trades**

Please indicate below to whom you would like valuations, confirmation of trades, general correspondence and annual reports (tax information) to be sent.

<b>Provide Valuations to:</b>	ME/US <input type="checkbox"/>	MY/OUR FINANCIAL ADVISER FIRM <input type="checkbox"/>
<b>Provide confirmation of trades to:</b>	ME/US <input type="checkbox"/>	MY/OUR FINANCIAL ADVISER FIRM <input type="checkbox"/>
<b>Provide general correspondence to:</b>	ME/US <input type="checkbox"/>	MY/OUR FINANCIAL ADVISER FIRM <input type="checkbox"/>
<b>Provide Annual Report to:</b>	ME/US <input type="checkbox"/>	MY/OUR FINANCIAL ADVISER FIRM <input type="checkbox"/>
<b>If you would prefer we can undertake all communication via your <i>Financial Adviser firm</i>* (please tick)</b>		<input type="checkbox"/>

\* If you request valuations (including any digital valuations), annual reports, loss notifications and/or all communications to be sent to your *Financial Adviser firm* only, your *Financial Adviser firm* will be responsible for forwarding all of these communications to you in a timely manner. If no boxes are ticked, we shall forward the documents to you.

**Investec Online**

The Investec Online service will provide you with secure access to real time holdings, asset allocation, quarterly valuations and many additional features.

To use this service, please provide a memorable six letter word that will be used for security purposes.

Applicant 1	<input type="text"/>	Applicant 2 (if any)	<input type="text"/>
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By using the Investec Online service you will have access to your valuations and annual reports online and you will be notified by email when they are available to view. **We will not send you paper copies of your valuation or annual report by post.**

However, if you would prefer to receive paper copies of your valuations or annual reports by post please tick the relevant box

<input type="checkbox"/>	Valuations	<input type="checkbox"/>	Annual Report
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**Please Note:**

1. Each applicant must have their own email address and preferably mobile telephone number.
2. Kindly ensure that you have provided both the email address and mobile telephone number within Section 1 of this form.
3. We will send you an email outlining how to log in for the first time. You will be required to have the six letter memorable word above to hand.
4. Please refer to our full Terms and Conditions document for details of the terms and conditions applicable for Investec Online.

**Instructions from any *nominated person***

If you wish to appoint any *nominated person* or entity to pass instructions to us in respect of the operation of your account (e.g. spouse, partner, other adviser, etc.) please complete the separate nomination form at the back of this document,

Please tick relevant box and complete section listed

Nominated entity (e.g. Solicitors, Accountant, etc.)	<input type="checkbox"/>	Section 10
Nominated person (e.g. spouse, relative, adviser etc.)	<input type="checkbox"/>	Section 11

Communication with other parties/tax/risk/valuations

Sections 2, 3, 4 & 5

Information to other persons

If you wish us to give information to other persons in respect of the operation of your account (e.g. Solicitor, Accountant, etc.), please list them below. If after the date of this *Client Agreement* your wishes change, please notify us in writing in accordance with Section 42 of the *Terms and Conditions*. Please send copy information to the following parties:

☐ Correspondence

☐ Statements

☐ Contract Notes

☐ Valuations

☐ Accountants Pack

NAME

ADDRESS

POSTCODE

☐ Correspondence

☐ Statements

☐ Contract Notes

☐ Valuations

☐ Accountants Pack

NAME

ADDRESS

POSTCODE

Section 3

Residency for taxation purposes

Customer Declaration

I am/we are resident(s) of 

INSERT COUNTRY, E.G. UK

 for *taxation* purposes.

**Please note:**

a) we may be required to disclose certain information about the Trust's transactions to HM Revenue & Customs and overseas authorities if requested;

b) if you invest in US securities please read the guidance notes on US Withholding Tax in our *Terms and Conditions*.

Section 4

Classification of investment objective and risk

Due to the nature of the *investments* held within the product, you will be classified as growth objective with high risk.

Investing in *AIM Shares* traded on the London Stock Exchange will mean that the value of the assets, and the income received from them, may go down as well as up and you may not get back all the money invested. There are three main reasons why this might happen:

a) the actual or perceived financial standing and trading well-being of the *AIM Companies* involved may change;

b) the *AIM Shares* themselves are subject to the laws of supply and demand and are capable of significant price movements irrespective of market and corporate factors. Such movements could be a reflection of the company size and marketability;

c) the *AIM Market* itself is capable of large movements due to economic, political and other factors.

AIM is a market designed primarily for emerging or smaller companies to which a higher investment risk tends to be attached than to larger or more established companies. *AIM Shares* are not admitted to the official list of the United Kingdom Listing Authority.

Section 5

Valuations

A valuation of your portfolio will be produced on the  DAY of  MONTH (not later than three months from the commencement date of the *Agreement*) and thereafter at quarterly intervals.

## Section 6

## Transfer of cash and other assets

Initial amount for investment (minimum £100,000)

£

## Your money

Any funds which we hold for you will be held in a bank account on your behalf subject to the *FCA Client Assets Rules*.

If you request us to pay money to you, we will normally only pay money by automated transfer to the bank or building society nominated by you below. If your account changes or you wish money to be paid to another account we ask that you confirm this in writing in advance of payment.

BANK / BUILDING SOCIETY

BRANCH

SORT CODE

ACCOUNT NUMBER

BUILDING SOCIETY ROLL NUMBER

ACCOUNT NAME

IBAN NUMBER  
(IF AN OVERSEAS BANK ACCOUNT)

CLIENT SIGNATURE

DATE

CLIENT SIGNATURE

DATE

## Payments

All cheques should be made payable to "Investec Wealth & Investment Limited".

## Financial Background

In order to comply with anti-money laundering regulations, we are required to form a complete understanding of how our clients accumulated their overall wealth and the assets that we are being asked to manage. We are unable to accept funds for investment without this information.

## Origins of Wealth

Please describe briefly the principal sources of your overall wealth.

## Your Investment

Please indicate how the specific capital sum that you wish Investec Wealth & Investment to manage arose.

## Source of Funds

Please indicate where the specific capital sum (cash and assets) that you wish Investec Wealth & Investment to manage will be being transferred from (e.g. personal bank account held at HSBC; portfolio transferred from another investment manager). Please also indicate from which country the funds originate (e.g. UK).

OCCUPATION

(IF APPLICABLE)

PREVIOUS OCCUPATION

(IF RETIRED OR OCCUPATION HAS CHANGED WITHIN THE LAST THREE YEARS)

### Section 7

#### Communication preferences

We would like to use your details to keep in touch by sending information which we believe is relevant and useful to you. This information may include investment news and insights alongside marketing updates and exclusive event invites.

To help further develop and understand the right information and services that we can provide, we may also use your information for internal marketing analytics.

Please confirm how you would like to receive investment news and insights alongside marketing updates and exclusive event invites from IW&I:

(Please tick all that apply)

Email: ☐

Post: ☐

SMS: ☐

Social Media Messaging: ☐

In order for us to continue to develop and grow our business, we would like your permission to share some of your information with selected third-party partners.

☐ Yes, I am happy for my information to be shared securely with carefully selected marketing partners to help Investec Wealth & Investment better understand the needs and interests of current and future clients through analytics and insight.

For more information on this and how we treat your data securely, please see our Data Protection Notice.

At any time you can change your mind and opt-out or update your communication preferences by contacting: [communications@investecwin.co.uk](mailto:communications@investecwin.co.uk) or by contacting your Investment Manager.

#### Authority to communicate by fax and email

Please note that given the data security issues surrounding the sending of unencrypted emails, should you, or any nominated person on your behalf communicate with us by fax or email or request that we provide information to you or any *nominated person* by email the following provisions will apply:

##### **Where you communicate with us by fax or email**

You give us authority to receive instructions from you by email and fax in relation to the matters listed below and in relation to any other matters connected with your account and the relationship between us and you.

- 1) This authority shall extend to the matters listed below only or in any way connected with your account and the relationship between us and you:
  - a) the transfer of funds between accounts in your name(s);
  - b) the processing / amendment / cancellation of other information relating to this account.
- 2) Where instructions received by us are given by email, we give no guarantee as to the timeliness or execution of those instructions, including cases, for example, where the addressee at our offices is not available or is away or our email systems are not available. You should not assume that any email has been received by us and/or actioned unless you have received either an email and/or telephone call acknowledging our receipt.

##### **Where you request that we provide information to you by email**

- 1) you confirm that you are responsible for the security and access to your email account.
- 2) unless you inform us otherwise we are entitled to assume that the email address given below remains current.

EMAIL ADDRESS:

We shall not normally accept instructions given by email. You should also be aware that email is not a secure medium and therefore any instructions received by us purporting to be from you by email will be actioned but no liability will be accepted for any false instructions or lateness whatsoever. We shall have no obligation to verify the authenticity of any email sent to us and we reserve the right to not action instructions if we believe such instructions could be fraudulent. In such circumstances we will contact you by telephone to verify whether the instructions are genuine.

This authority shall continue in full force and effect until we receive from you, in writing in accordance with the provisions of Section 32 of the Terms and Conditions in a form other than by email or fax, different instructions.

**Please note that this instruction does not extend to the transfer of unsold stock out of our nominee company or safe custody, nor to paying money away to third parties.**

## Important

- 1** We can only act as your investment manager if a copy of this *Client Agreement* is signed and returned to us.
- 2** You should ensure that you have received our *Terms and Conditions* and all other documents referred to in Section 1 of this *Client Agreement* and that you are fully aware of our charges currently in force.
- 3** You should notify us immediately if any of the information set out in this *Client Agreement* or that you may provide to us in the future should change.
- 4** In the case of **joint accounts** we will accept instructions and pass information to either one of you.

## Section 8

## Applicant 1

Please refer to the explanatory notes/instructions and/or contact your tax adviser to help complete this form

**Section A: Beneficial Owner Information**

FULL NAME (MANDATORY)									
PERMANENT RESIDENCE ADDRESS (MANDATORY)									
		POSTCODE	<table><tr><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>						
MAILING ADDRESS (IF DIFFERENT)									
		POSTCODE	<table><tr><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>						
COUNTRY OF BIRTH (MANDATORY)	PLACE OF BIRTH (TOWN OR CITY) (MANDATORY)	DATE OF BIRTH (MANDATORY)	<table><tr><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>						

**Section B: Tax Residency (MANDATORY)**

Please indicate ALL countries in which you are resident for the purposes of that country's income tax. You must provide your tax identification number (TIN) for each country you are tax resident in. Example TIN's include NI number (UK and Isle of Man), Social Security Number (Guernsey, Jersey, Gibraltar), and US Tin (US).

If you are unable to provide a relevant Tax Identification Number (e.g. Minor) then please explain the reason why in the Tax Identification Number box, e.g. Minor.

If you are a US citizen, Green Card holder, US resident, or have a substantial presence in the US \* (see definition below), you must complete and return to Investec Wealth & Investment an IRS (Internal Revenue Service) W-9 form and include US and any additional non-US tax residencies in the table below.

\* Substantial presence is defined as if you were physically present in the US on at least: 31 days during the current year; and 183 days during the 3 year period that includes the current year and the 2 years immediately before that.

COUNTRY OF TAX RESIDENCY	TAX IDENTIFICATION NUMBER
COUNTRY OF TAX RESIDENCY	TAX IDENTIFICATION NUMBER
COUNTRY OF TAX RESIDENCY	TAX IDENTIFICATION NUMBER
COUNTRY OF TAX RESIDENCY	TAX IDENTIFICATION NUMBER

**Section C: Declaration Section (MANDATORY)**

- I undertake to advise Investec Wealth & Investment promptly of any change in circumstances which causes the information contained herein to become incorrect or incomplete and to provide Investec Wealth & Investment with an updated declaration within 30 days of such a change in circumstances.
- I am aware that in certain circumstances Investec Wealth & Investment will be obliged to share this information with UK tax authorities, who may pass it on to other tax authorities.
- I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete.

SIGNED	DATE	<table><tr><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>						
PRINT NAME	CAPACITY							

**For office use only**

Upon receipt; this form should be forwarded to the Regulatory Reporting department in Liverpool.

Please supply account number(s) if this is a new self certificate for use against existing accounts:

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## Section 8

## Applicant 2

Please refer to the explanatory notes/instructions and/or contact your tax adviser to help complete this form

## Section A: Beneficial Owner Information

FULL NAME (MANDATORY)			
PERMANENT RESIDENCE ADDRESS (MANDATORY)			
		POSTCODE	
MAILING ADDRESS (IF DIFFERENT)			
		POSTCODE	
COUNTRY OF BIRTH (MANDATORY)	PLACE OF BIRTH (TOWN OR CITY) (MANDATORY)	DATE OF BIRTH (MANDATORY)	

## Section B: Tax Residency (MANDATORY)

Please indicate ALL countries in which you are resident for the purposes of that country's income tax. You must provide your tax identification number (TIN) for each country you are tax resident in. Example TIN's include NI number (UK and Isle of Man), Social Security Number (Guernsey, Jersey, Gibraltar), and US Tin (US).

If you are unable to provide a relevant Tax Identification Number (e.g. Minor) then please explain the reason why in the Tax Identification Number box, e.g. Minor.

If you are a US citizen, Green Card holder, US resident, or have a substantial presence in the US \* (see definition below), you must complete and return to Investec Wealth & Investment an IRS (Internal Revenue Service) W-9 form and include US and any additional non-US tax residencies in the table below.

\* Substantial presence is defined as if you were physically present in the US on at least: 31 days during the current year; and 183 days during the 3 year period that includes the current year and the 2 years immediately before that.

COUNTRY OF TAX RESIDENCY	TAX IDENTIFICATION NUMBER
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COUNTRY OF TAX RESIDENCY	TAX IDENTIFICATION NUMBER

## Section C: Declaration Section (MANDATORY)

- I undertake to advise Investec Wealth & Investment promptly of any change in circumstances which causes the information contained herein to become incorrect or incomplete and to provide Investec Wealth & Investment with an updated declaration within 30 days of such a change in circumstances.
- I am aware that in certain circumstances Investec Wealth & Investment will be obliged to share this information with UK tax authorities, who may pass it on to other tax authorities.
- I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete.

SIGNED	DATE					
	CAPACITY					
PRINT NAME						

## For office use only

Upon receipt; this form should be forwarded to the Regulatory Reporting department in Liverpool.

Please supply account number(s) if this is a new self certificate for use against existing accounts:

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## Section 9

## To Investec Wealth &amp; Investment

This is our standard client agreement upon which we intend to rely. For your own benefit and protection, you should read this agreement (a defined term in our *Terms and Conditions*) carefully before signing. If you do not understand any point, please ask for further information.

To be completed by your *Financial Adviser*

CONTACT NAME	
NAME OF FIRM <b>Vision Independent Financial Planning Ltd</b>	
FCA NUMBER <b>487395</b>	IW&I AGENCY NUMBER
ADDRESS <b>Vision House</b>	
<b>Unit 6A Falmouth Business Park, Bickland Water Road</b>	
<b>Falmouth, Cornwall</b>	POSTCODE <b>T R 1 1 4 S Z</b>
CORRESPONDENCE ADDRESS (IF DIFFERENT)	
	POSTCODE
TELEPHONE NUMBER	FAX NUMBER
EMAIL	

## Bank details

Any payments to you on behalf of your clients will be through the bank account details already held for your IW&I agency above.

## Electronic Reporting

If you use a back office system and require details to be provided for this client please provide details of the provider.

If we are able to support your request we will arrange to provide data. However, we do not offer this service for all back office systems.

Declarations by the *Financial Adviser*

I/We certify that:

I/We confirm that I/we have undertaken a full fact find for the client(s) and assessed suitability of this service in accordance with FCA requirements. I/We confirm that I/we will notify IW&I of any change in our client(s) circumstances that may affect the management of the portfolio.

This information will be used by us for the purposes of fulfilling our Know Your Customer obligations with regards to the management of your client(s) portfolio. It will not be used for any other purpose.

I/We confirm that

- (a) the information in Section 1 above was obtained by me/us in relation to the customer;
- (b) the evidence I/we have obtained to verify the identity of the customer and certified copies of the underlying documentary evidence can be provided upon request

meets the standard evidence set out within the guidance for the UK Financial Sector issued by JMLSG; ☐ or

exceeds the standard evidence (written details of the further verification evidence taken are attached to this confirmation). ☐

or

I/We have not verified the identity of the Applicant(s). ☐

I/We understand that any remuneration paid to me/us on behalf of my/our client(s) is inclusive of any VAT that may be applicable.

I/We understand that where my/our client has requested that valuations (including any digital valuations), annual reports, loss notifications and/or all communications are sent to me/us that I/we accept the responsibility of forwarding all of these communications to my/our client in a timely manner.

I/We understand that for digital valuations and annual reports that I/we will have to either email the valuation or annual report or print and post these to my/our clients if they do not use Investec Online.

**Note:** If you are unable to provide documentary evidence of money laundering verification or you have not undertaken verification of the Applicant(s), we will contact the Applicant(s) direct in order to fulfil our obligations under the money laundering legislation. This will delay the commencement of this *Agreement*.

SIGNED	NAME	
	DATE	

Declarations

Section 9

Customer declaration

I/We authorise you to release information in relation to my/our investments and myself/ourselves to my/our *financial adviser firm*.

I/We authorise you to accept instructions in relation to my/our investment mandate from my/our *financial adviser firm* ☐ Please Tick

I/We authorise you to accept instructions in relation to payments from my/our account from my/our *financial adviser firm* ☐ Please Tick

I/We authorise you to facilitate the payment as outlined below to my/our *financial adviser firm*.

I/We confirm that the basis of any adviser agreed remuneration has been fully explained to me/us by our *financial adviser firm*.

I/We confirm that I/we give you prior express consent, where in exceptional circumstances you agree to retain a limit order for more than one day, not to publish those limit orders.

I/We confirm that I/we give you prior express consent to deal off-market as detailed in the Order Execution Policy in the Annexes of the *Terms and Conditions*.

Non-Recurring adviser agreed remuneration

I/We confirm that I/we agree to the payment of non-recurring adviser agreed remuneration of (enter £ value or % of investment)   
**inclusive** of any VAT that may be applicable.

Recurring adviser agreed remuneration

I/We confirm that I/we agree to the payment of recurring adviser agreed remuneration to Vision I.F.P. Ltd **inclusive** of any VAT that may be payable, of:

· Adviser Charge (enter £ value or % of investment)

per annum

· Supervisory oversight, consultancy, marketing and administration

0.36%

per annum (please amend for >£1m accounts)

Total

per annum

Please note we will continue to pay your adviser at the agreed rate unless we hear from you in writing.

Investec Wealth & Investment AIM Portfolio IHT Plan Charges

Initial Fees

Charged at

N/A

SPECIAL INSTRUCTIONS (IF ANY)

Concessionary Fee for Vision IFP clients

Annual Fees

Annual Fee

1.00%

Bargain Administration Charge

N/A

SPECIAL INSTRUCTIONS (IF ANY)

Concessionary Fee for Vision IFP clients

VAT may be added to charges, where applicable, at the standard rate.

SIGNED

NAME

SIGNED

NAME

DATE

DATE

In the case of joint accounts this *Client Agreement* must be signed by all parties. The account will be operated on the instruction of one signatory unless specified differently.

For office use only

CLIENT NAME

CLIENT CODE

## Clients of Financial Advisers ISA Stocks and Shares applicant 1

Terms in *italics* refer to the definitions section of the Terms and Conditions for Investment Management and Dealing Services.

I apply to subscribe for an Investec Wealth & Investment (IW&I) Stocks and Shares Individual Savings Account for the tax year commencing 6th April 2023 and for subsequent years where applicable. I agree that such subscriptions will be subject to IW&I's standard charges and terms applicable at that time.

IW&I CONTACT:		EXISTING REFERENCE NO.:	
NAME OF FINANCIAL ADVISER:			

<b>1 Personal details</b> In order to comply with HM Revenue & Customs requirements, the personal details section must be completed in full			
TITLE/NAME			
PERMANENT RESIDENTIAL ADDRESS			
			POSTCODE
TELEPHONE NO. HOME		TELEPHONE NO. WORK	
DATE OF BIRTH		DO YOU HAVE A NATIONAL INSURANCE NO.?	YES <input type="checkbox"/> NO <input type="checkbox"/>
		NATIONAL INSURANCE NO.	

<b>2 Declaration &amp; Authority for a Client of Financial Advisers Stocks and Shares ISA</b>	
I wish to subscribe to a Client of Financial Advisers Stocks and Shares ISA for the tax year 2023/2024 by:	
TRANSFERRING CASH FROM MY PORTFOLIO <input type="checkbox"/>	CHEQUE (ATTACHED)* <input type="checkbox"/>
TRANSFERRING PROCEEDS OF SALES FROM MY PORTFOLIO <input type="checkbox"/>	SHARES FROM ALL-EMPLOYEE SAVINGS-RELATED SHARE OPTION/PROFIT SHARING SCHEME <input type="checkbox"/>
MY INITIAL SUBSCRIPTION IS FOR £	THE MAXIMUM YOU MAY SUBSCRIBE IS £20,000
MY ACCOUNT IS TO BE SET UP IN ACCORDANCE WITH MY OTHER ACCOUNTS AS STATED ON THE CLIENT AGREEMENT FORM SIGNED BY ME	
* All cheques should be made payable to "Investec Wealth & Investment Limited".	

<b>3 Declaration</b>		
<p><b>I declare that:</b></p> <p>(a) I am 18 years of age or over.</p> <p>(b) I have not subscribed and will not subscribe to another Stocks and Shares ISA in the same year that I subscribe to this <i>Clients of Financial Advisers Stocks and Shares ISA</i>. (N.B. for these purposes a reference to a year is a reference to a tax year).</p> <p>(c) I am resident in the <i>United Kingdom</i> for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of the Income Tax (Earnings &amp; Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the <i>United Kingdom</i>, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform Investec Wealth &amp; Investment if I cease to be so resident or to perform such duties or be married to a person who performs such duties.</p>	<p>(d) All subscriptions made and to be made belong to me.</p> <p>(e) I have not subscribed and will not subscribe more than the overall subscription limit to any combination of permitted ISAs in the same tax year.</p> <p><b>I hereby authorise IW&amp;I directly or through its appointed nominee company to:</b></p> <p>(a) Hold my cash subscription, <i>ISA investments</i>, interest, dividends and any other rights or proceeds in respect of those <i>investments</i> and any other cash.</p> <p>(b) Make on my behalf any claims to relief from tax in respect of <i>ISA investments</i>.</p> <p>(c) On my written request to transfer or pay to me as the case may be <i>ISA investments</i>, interest, dividends, rights or other proceeds in respect of such investments or any cash.</p>	<p><b>I acknowledge that:</b></p> <p>(a) My ISA is subject to the <i>Terms and Conditions</i>. For your own benefit and protection you should read these terms carefully before signing them. If you do not understand any point please ask for further information.</p> <p>(b) My ISA will be operated on the same service, risk and objective profile stated in the <i>Client Agreement</i> as applicable and signed by me.</p> <p>(c) The information contained in this Application Form will be held and processed in accordance with Data Protection Legislation as defined in the relevant section of the <i>Terms and Conditions</i>.</p> <p>(d) IW&amp;I will pass information and accept instructions from my <i>financial adviser</i> detailed above if authorised by me in the <i>Client Agreement</i> as applicable, unless IW&amp;I is notified differently in writing.</p>
<p>I declare that, to the best of my knowledge and belief, the information provided by me herewith is true and correct, I agree to inform IW&amp;I of any changes in this information without delay. I agree to the <i>Terms and Conditions</i>. I declare that this Application Form has been completed to the best of my knowledge and belief.</p>		

<b>4 Signature</b> In order to comply with HM Revenue & Customs requirements, you must put your signature in the client signature box below and also fill in the date box.	
CLIENT SIGNATURE	DATE

Please complete and return this form to your Investment Manager.

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## Clients of Financial Advisers ISA Stocks and Shares applicant 2

Terms in *italics* refer to the definitions section of the Terms and Conditions for Investment Management and Dealing Services.

I apply to subscribe for an Investec Wealth & Investment (IW&I) Stocks and Shares Individual Savings Account for the tax year commencing 6th April 2023 and for subsequent years where applicable. I agree that such subscriptions will be subject to IW&I's standard charges and terms applicable at that time.

IW&I CONTACT:		EXISTING REFERENCE NO.:	
NAME OF FINANCIAL ADVISER:			

<b>1 Personal details</b> In order to comply with HM Revenue & Customs requirements, the personal details section must be completed in full			
TITLE/NAME			
PERMANENT RESIDENTIAL ADDRESS			
			POSTCODE
TELEPHONE NO. HOME		TELEPHONE NO. WORK	
DATE OF BIRTH		DO YOU HAVE A NATIONAL INSURANCE NO.?	YES <input type="checkbox"/> NO <input type="checkbox"/>
		NATIONAL INSURANCE NO.	

<b>2 Declaration &amp; Authority for a Client of Financial Advisers Stocks and Shares ISA</b>	
I wish to subscribe to a Client of Financial Advisers Stocks and Shares ISA for the tax year 2023/2024 by:	
TRANSFERRING CASH FROM MY PORTFOLIO <input type="checkbox"/>	CHEQUE (ATTACHED)* <input type="checkbox"/>
TRANSFERRING PROCEEDS OF SALES FROM MY PORTFOLIO <input type="checkbox"/>	SHARES FROM ALL-EMPLOYEE SAVINGS-RELATED SHARE OPTION/PROFIT SHARING SCHEME <input type="checkbox"/>
MY INITIAL SUBSCRIPTION IS FOR £	THE MAXIMUM YOU MAY SUBSCRIBE IS £20,000
MY ACCOUNT IS TO BE SET UP IN ACCORDANCE WITH MY OTHER ACCOUNTS AS STATED ON THE CLIENT AGREEMENT FORM SIGNED BY ME	
* All cheques should be made payable to "Investec Wealth & Investment Limited".	

<b>3 Declaration</b>		
<p><b>I declare that:</b></p> <p>(a) I am 18 years of age or over.</p> <p>(b) I have not subscribed and will not subscribe to another Stocks and Shares ISA in the same year that I subscribe to this <i>Clients of Financial Advisers Stocks and Shares ISA</i>. (N.B. for these purposes a reference to a year is a reference to a tax year).</p> <p>(c) I am resident in the <i>United Kingdom</i> for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of the Income Tax (Earnings &amp; Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the <i>United Kingdom</i>, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform Investec Wealth &amp; Investment if I cease to be so resident or to perform such duties or be married to a person who performs such duties.</p>	<p>(d) All subscriptions made and to be made belong to me.</p> <p>(e) I have not subscribed and will not subscribe more than the overall subscription limit to any combination of permitted ISAs in the same tax year.</p> <p><b>I hereby authorise IW&amp;I directly or through its appointed nominee company to:</b></p> <p>(a) Hold my cash subscription, <i>ISA investments</i>, interest, dividends and any other rights or proceeds in respect of those <i>investments</i> and any other cash.</p> <p>(b) Make on my behalf any claims to relief from tax in respect of <i>ISA investments</i>.</p> <p>(c) On my written request to transfer or pay to me as the case may be <i>ISA investments</i>, interest, dividends, rights or other proceeds in respect of such investments or any cash.</p>	<p><b>I acknowledge that:</b></p> <p>(a) My ISA is subject to the <i>Terms and Conditions</i>. For your own benefit and protection you should read these terms carefully before signing them. If you do not understand any point please ask for further information.</p> <p>(b) My ISA will be operated on the same service, risk and objective profile stated in the <i>Client Agreement</i> as applicable and signed by me.</p> <p>(c) The information contained in this Application Form will be held and processed in accordance with Data Protection Legislation as defined in the relevant section of the <i>Terms and Conditions</i>.</p> <p>(d) IW&amp;I will pass information and accept instructions from my <i>financial adviser</i> detailed above if authorised by me in the <i>Client Agreement</i> as applicable, unless IW&amp;I is notified differently in writing.</p>
<p>I declare that, to the best of my knowledge and belief, the information provided by me herewith is true and correct, I agree to inform IW&amp;I of any changes in this information without delay. I agree to the <i>Terms and Conditions</i>. I declare that this Application Form has been completed to the best of my knowledge and belief.</p>		

<b>4 Signature</b> In order to comply with HM Revenue & Customs requirements, you must put your signature in the client signature box below and also fill in the date box.	
CLIENT SIGNATURE	DATE

Please complete and return this form to your Investment Manager.

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**WHEN TRANSFERRING AN ISA TO INVESTEC WEALTH & INVESTMENT (IW&I), PLEASE COMPLETE AN ISA APPLICATION FORM IF YOU WISH TO SUBSCRIBE WITHIN THE CURRENT TAX YEAR.**

## Clients of Financial Advisers ISA Transfer application form applicant 1

Please complete a separate ISA Transfer Form for each provider you wish to make a transfer from.

IW&I CONTACT:	<input type="text"/>	EXISTING REFERENCE NO.:	<input type="text"/>
NAME OF FINANCIAL ADVISER:	<input type="text"/>		

### Personal details

MR/MRS/MISS/MS	FORENAME(S)		
OTHER <i>Please state</i>	SURNAME		
PERMANENT RESIDENTIAL ADDRESS			
<input type="text"/>			
<input type="text"/>		POSTCODE	<input type="text"/>
TELEPHONE NO. HOME		TELEPHONE NO. WORK	
DATE OF BIRTH	<input type="text"/>	DO YOU HAVE A NATIONAL INSURANCE NO.	<input type="checkbox"/> YES <input type="checkbox"/> NO
		NATIONAL INSURANCE NO.	<input type="text"/>

### Authority to Transfer ISAs

I APPLY TO TRANSFER MY EXISTING ISA A/C NO.	
FROM (OLD MANAGER)	
ADDRESS	
<input type="text"/>	
<input type="text"/>	POSTCODE
<b>To: Investec Wealth &amp; Investment, The Plaza, 100 Old Hall Street, Liverpool, L3 9AB</b> I authorise you to provide information to, and accept the instructions of, Investec Wealth & Investment with regard to the transfer of cash balances and securities of my ISA(s).	
I WISH TO TRANSFER THE WHOLE OF MY ISA(S) <input type="checkbox"/> OR TRANSFER HOLDINGS <input type="checkbox"/> OR CASH <input type="checkbox"/> TO THE VALUE OF: £	
SPECIFIC HOLDINGS TO BE TRANSFERRED/SOLD	
<input type="text"/>	
<input type="text"/>	

### Declaration

#### I Declare that:

- I am 18 years of age or over.
- I have not subscribed and will not subscribe more than the overall subscription limit to any combination of permitted ISAs in the same tax year\*.

#### I authorise Investec Wealth & Investment:

- To hold my cash subscription, *ISA investments*, interest, dividends and any other rights or proceeds in respect of those *investments* and any other cash.
- To make on my behalf any claims to relief from tax in respect of *ISA investments*.
- On my written request to transfer or pay to me as the case may be *ISA investments*, interest, dividends, rights or other proceeds in respect of such *investments* or any cash.

#### I acknowledge that:

- My ISA is subject to the *Terms and Conditions for Investment Management and Dealing Services*, in particular the section entitled *Terms and Conditions*.
- My *ISA* will be operated on the same service, risk and objective profile stated in the *Client Agreement* and signed by me unless otherwise agreed between us.
- The information contained in this Application Form will be held and processed in accordance with Data Protection Legislation as defined in the relevant section of the *Terms and Conditions*.

\*The maximum allowance is currently £20,000.

I declare that this Application Form has been completed to the best of my knowledge and belief.

CLIENT SIGNATURE	DATE
<input type="text"/>	<input type="text"/>

Please complete and return this form to your Investment Manager.

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**WHEN TRANSFERRING AN ISA TO INVESTEC WEALTH & INVESTMENT (IW&I), PLEASE COMPLETE AN ISA APPLICATION FORM IF YOU WISH TO SUBSCRIBE WITHIN THE CURRENT TAX YEAR.**

## Clients of Financial Advisers ISA Transfer application form applicant 2

Please complete a separate ISA Transfer Form for each provider you wish to make a transfer from.

IW&I CONTACT:	<input type="text"/>	EXISTING REFERENCE NO.:	<input type="text"/>
NAME OF FINANCIAL ADVISER:	<input type="text"/>		

### Personal details

MR/MRS/MISS/MS	FORENAME(S)		
OTHER <i>Please state</i>	SURNAME		
PERMANENT RESIDENTIAL ADDRESS			
<input type="text"/>			
<input type="text"/>		POSTCODE	<input type="text"/>
TELEPHONE NO. HOME		TELEPHONE NO. WORK	
DATE OF BIRTH	<input type="text"/>	DO YOU HAVE A NATIONAL INSURANCE NO.	<input type="checkbox"/> YES <input type="checkbox"/> NO
		NATIONAL INSURANCE NO.	<input type="text"/>

### Authority to Transfer ISAs

I APPLY TO TRANSFER MY EXISTING ISA A/C NO.	
FROM (OLD MANAGER)	
ADDRESS	
<input type="text"/>	
<input type="text"/>	POSTCODE
<b>To: Investec Wealth &amp; Investment, The Plaza, 100 Old Hall Street, Liverpool, L3 9AB</b> I authorise you to provide information to, and accept the instructions of, Investec Wealth & Investment with regard to the transfer of cash balances and securities of my ISA(s).	
I WISH TO TRANSFER THE WHOLE OF MY ISA(S) <input type="checkbox"/> OR TRANSFER HOLDINGS <input type="checkbox"/> OR CASH <input type="checkbox"/> TO THE VALUE OF: £	
SPECIFIC HOLDINGS TO BE TRANSFERRED/SOLD	
<input type="text"/>	
<input type="text"/>	

### Declaration

#### I Declare that:

- I am 18 years of age or over.
- I have not subscribed and will not subscribe more than the overall subscription limit to any combination of permitted ISAs in the same tax year\*.

#### I authorise Investec Wealth & Investment:

- To hold my cash subscription, *ISA investments*, interest, dividends and any other rights or proceeds in respect of those *investments* and any other cash.
- To make on my behalf any claims to relief from tax in respect of *ISA investments*.
- On my written request to transfer or pay to me as the case may be *ISA investments*, interest, dividends, rights or other proceeds in respect of such *investments* or any cash.

#### I acknowledge that:

- My ISA is subject to the *Terms and Conditions for Investment Management and Dealing Services*, in particular the section entitled *Terms and Conditions*.
- My *ISA* will be operated on the same service, risk and objective profile stated in the *Client Agreement* and signed by me unless otherwise agreed between us.
- The information contained in this Application Form will be held and processed in accordance with Data Protection Legislation as defined in the relevant section of the *Terms and Conditions*

\*The maximum allowance is currently £20,000.

I declare that this Application Form has been completed to the best of my knowledge and belief.

CLIENT SIGNATURE	DATE
<input type="text"/>	<input type="text"/>

Please complete and return this form to your Investment Manager.

## Section 10

# Nominated Entity Form

INVESTEC CONTACT:  EXISTING REFERENCE NO.:

## Entity Details

NAME OF ENTITY																												
REGISTERED ADDRESS																												
																		POSTCODE										
COUNTRY OF INCORPORATION												DATE OF INCORPORATION																
ACTIVITIES																												
PRIMARY CONTACT																												
LEGAL ENTITY IDENTIFIER (LEI)*																				LEI EXPIRY DATE								

\*If the entity does not currently have a Legal Entity Identifier (LEI), we will be unable to allow dealing authority to be granted. Instructions on how to apply may be found at <http://www.lseg.com/LEI>

<input type="checkbox"/>	Authorised to give instructions regarding portfolio construction, individual investments and the transfer of stock where a change of beneficial owner occurs
<input type="checkbox"/>	Authorised to provide any information in relation to investments
<input type="checkbox"/>	Authorised to issue instructions in relations to payments
<input type="checkbox"/>	Authorised to issue instructions in relation to investment mandate

If you would like us to base any future advice on the knowledge and experience of your nominated person, please arrange for them to complete the below section with their information.

DESIGNATED DIRECTOR
---------------------

## Financial expertise

### Individual 1

Have you had any previous experience of using an Investment Management service? ☐ YES ☐ NO

Have you had any experience in the types of investments listed below? ☐ YES ☐ NO

If yes, please indicate if you have any previous Knowledge and/or Experience for each of the following:

**Knowledge:** You understand the distinctive characteristics and important underlying risks of the investment.

**Experience:** You have previously traded and/or owned the investment in the last 5 years.

	Knowledge	Experience
<b>Fixed Interest</b> e.g. Government and Corporate Bonds	<input type="checkbox"/>	<input type="checkbox"/>
<b>Equities</b> e.g. Stocks and Shares	<input type="checkbox"/>	<input type="checkbox"/>
<b>Commercial Property</b> e.g. Funds investing in Offices and Warehouses	<input type="checkbox"/>	<input type="checkbox"/>
<b>Alternative Investments</b> e.g. Hedge Funds, Private Equity, Structured Products, Commodities, FX	<input type="checkbox"/>	<input type="checkbox"/>
<b>Cash</b> e.g. Cash equivalents	<input type="checkbox"/>	<input type="checkbox"/>

Please provide details of your education, professional qualifications or relevant occupational experience of financial investments.

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Please copy this form and complete for any additional nominated entities

In order to meet our regulatory obligations, Investec Wealth & Investment will be disclosing LEI data to the Financial Conduct Authority (FCA) as per our Terms and Conditions.

<div>SIGNATURE OF ACCOUNT HOLDER</div>	<div>PLEASE PRINT NAME</div>
<div>CAPACITY IN WHICH SIGNING</div>	<div>DATE<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div></div>
<div>SIGNATURE OF ACCOUNT HOLDER</div>	<div>PLEASE PRINT NAME</div>
<div>CAPACITY IN WHICH SIGNING</div>	<div>DATE<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div></div>

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## Nominated Persons Form 1

This form is to be completed if you wish to nominate a third party individual to pass instructions to us in respect of the operation of your account.

ACCOUNT NAME

INVESTEC CONTACT:

EXISTING REFERENCE NO.:

## Third party details

FIRST NAME

SURNAME

ADDRESS

POSTCODE

DATE OF BIRTH

COUNTRY OF RESIDENCE

COUNTRY OF BIRTH

NATIONALITY

NATIONAL CLIENT IDENTIFIER (NCI)\*

SECOND NATIONALITY

SECOND NATIONAL CLIENT IDENTIFIER (NCI)\*

\* National Client Identifier information is only required when the first of the four options below is selected. Please see the enclosed table detailing NCI information required for each country (where applicable). If the relevant country is not listed, please provide a valid passport number and expiry date. Should the individual have dual nationality, please complete the NCI details for each nationality. If you do not have the information attached, please contact your Investment Manager.

- ☐ Authorised to give instructions regarding portfolio construction, individual investments and the transfer of stock where a change of beneficial owner occurs
- ☐ Authorised to provide any information in relation to investments
- ☐ Authorised to issue instructions in relations to payments
- ☐ Authorised to issue instructions in relation to investment mandate

If you would like us to base any future advice on the knowledge and experience of your nominated person, please arrange for them to complete the below section with their information.

## Financial expertise

## Individual 1

Have you had any previous experience of using an Investment Management service?

☐ YES

☐ NO

Have you had any experience in the types of investments listed below?

☐ YES

☐ NO

If yes, please indicate if you have any previous Knowledge and/or Experience for each of the following:

**Knowledge:** You understand the distinctive characteristics and important underlying risks of the investment.

**Experience:** You have previously traded and/or owned the investment in the last 5 years.

	Knowledge	Experience
<b>Fixed Interest</b> e.g. Government and Corporate Bonds	<input type="checkbox"/>	<input type="checkbox"/>
<b>Equities</b> e.g. Stocks and Shares	<input type="checkbox"/>	<input type="checkbox"/>
<b>Commercial Property</b> e.g. Funds investing in Offices and Warehouses	<input type="checkbox"/>	<input type="checkbox"/>
<b>Alternative Investments</b> e.g. Hedge Funds, Private Equity, Structured Products, Commodities, FX	<input type="checkbox"/>	<input type="checkbox"/>
<b>Cash</b> e.g. Cash equivalents	<input type="checkbox"/>	<input type="checkbox"/>

Nominated Persons Form

Section 11

Please provide details of your education, professional qualifications or relevant occupational experience of financial investments.

Please copy this form and complete for any additional nominated individuals

SIGNATURE OF THIRD PARTY

DATE

By signing this form you are confirming that the information is correct and acknowledging that In order to meet our regulatory obligations, Investec Wealth & Investment will be disclosing the information to the Financial Conduct Authority (FCA).

SIGNATURE OF ACCOUNT HOLDER

PLEASE PRINT NAME

CAPACITY IN WHICH SIGNING

DATE

SIGNATURE OF ACCOUNT HOLDER

PLEASE PRINT NAME

CAPACITY IN WHICH SIGNING

DATE

Please read the following notes before signing and dating this form:

In order for us to accept instructions from the above nominated person, you acknowledge:

We are unable to accept any instructions from any nominated person until we have received a specimen signature and we have positively identified the nominated person in accordance with the Anti-Money Laundering Regulations. We will write directly to the nominated person for this information.

That this authority will apply to all instructions given by the nominated person, in so far as you have authorised above.

We, our officers and our employees shall not be responsible in the event that fraudulent activity is perpetrated by any of the above named persons or other persons in respect of this account.

That we may receive both oral and written instructions from the nominated person and we will not be responsible for any error or omissions resulting from misunderstandings in respect of oral instructions.

This authority will be effective from the date of receipt by us and will apply until we receive written notification from you, your Executor or your Receiver that this authority is to be rescinded.

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**National Client Identifiers (NCIs)**

In order to combat market abuse, we are required by regulators to report unique codes known as National Client Identifiers (NCIs) for all individuals associated with a financial transaction. Without these we are unable to execute any financial transactions on your behalf.

Below is the list of NCIs for each nationality. Where 'No NCI Requirement' is listed, please add this wording to the relevant field(s) of this Agreement.

Country Name	NCI Requirement	Country Name	NCI Requirement
Austria	No NCI Requirement	Iceland	Personal Identity Code
Belgium	Belgian National Number	Italy	Fiscal Code
Bulgaria	Bulgarian Personal Number	Liechtenstein	National Passport Number
Cyprus	National Passport Number	Lithuania	Personal Code
Czech Republic	National Identification Number	Luxembourg	No NCI Requirement
Germany	No NCI Requirement	Latvia	Personal Code
Denmark	Personal Identity Code	Malta	National Identification Number
Estonia	Estonian Personal Identification Code	Netherlands	National Passport Number
Spain	Tax Identification Number	Norway	11 Digit Personal ID
Finland	Personal Identity Code	Poland	National Identification Number
France	No NCI Requirement	Portugal	Tax Number
United Kingdom	UK National Insurance Number	Romania	National Identification Number
Greece	10 DSS Digit Investor Share	Sweden	Personal Identity Number
Croatia	Personal Identification Number	Slovenia	Personal Identification Number
Hungary	No NCI Requirement	Slovakia	Personal Number
Ireland	No NCI Requirement	All other countries	National Passport Number

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## Nominated Persons Form 2

This form is to be completed if you wish to nominate a third party individual to pass instructions to us in respect of the operation of your account.

ACCOUNT NAME

INVESTEC CONTACT:

EXISTING REFERENCE NO.:

## Third party details

FIRST NAME

SURNAME

ADDRESS

POSTCODE

DATE OF BIRTH

COUNTRY OF RESIDENCE

COUNTRY OF BIRTH

NATIONALITY

NATIONAL CLIENT IDENTIFIER (NCI)\*

SECOND NATIONALITY

SECOND NATIONAL CLIENT IDENTIFIER (NCI)\*

\* National Client Identifier information is only required when the first of the four options below is selected. Please see the enclosed table detailing NCI information required for each country (where applicable). If the relevant country is not listed, please provide a valid passport number and expiry date. Should the individual have dual nationality, please complete the NCI details for each nationality. If you do not have the information attached, please contact your Investment Manager.

- ☐ Authorised to give instructions regarding portfolio construction, individual investments and the transfer of stock where a change of beneficial owner occurs
- ☐ Authorised to provide any information in relation to investments
- ☐ Authorised to issue instructions in relations to payments
- ☐ Authorised to issue instructions in relation to investment mandate

If you would like us to base any future advice on the knowledge and experience of your nominated person, please arrange for them to complete the below section with their information.

## Financial expertise

## Individual 1

Have you had any previous experience of using an Investment Management service?

☐ YES

☐ NO

Have you had any experience in the types of investments listed below?

☐ YES

☐ NO

If yes, please indicate if you have any previous Knowledge and/or Experience for each of the following:

**Knowledge:** You understand the distinctive characteristics and important underlying risks of the investment.

**Experience:** You have previously traded and/or owned the investment in the last 5 years.

	Knowledge	Experience
<b>Fixed Interest</b> e.g. Government and Corporate Bonds	<input type="checkbox"/>	<input type="checkbox"/>
<b>Equities</b> e.g. Stocks and Shares	<input type="checkbox"/>	<input type="checkbox"/>
<b>Commercial Property</b> e.g. Funds investing in Offices and Warehouses	<input type="checkbox"/>	<input type="checkbox"/>
<b>Alternative Investments</b> e.g. Hedge Funds, Private Equity, Structured Products, Commodities, FX	<input type="checkbox"/>	<input type="checkbox"/>
<b>Cash</b> e.g. Cash equivalents	<input type="checkbox"/>	<input type="checkbox"/>

Nominated Persons Form

Section 11

Please provide details of your education, professional qualifications or relevant occupational experience of financial investments.

Please copy this form and complete for any additional nominated individuals

SIGNATURE OF THIRD PARTY

DATE

By signing this form you are confirming that the information is correct and acknowledging that In order to meet our regulatory obligations, Investec Wealth & Investment will be disclosing the information to the Financial Conduct Authority (FCA).

SIGNATURE OF ACCOUNT HOLDER

PLEASE PRINT NAME

CAPACITY IN WHICH SIGNING

DATE

SIGNATURE OF ACCOUNT HOLDER

PLEASE PRINT NAME

CAPACITY IN WHICH SIGNING

DATE

Please read the following notes before signing and dating this form:

In order for us to accept instructions from the above nominated person, you acknowledge:

We are unable to accept any instructions from any nominated person until we have received a specimen signature and we have positively identified the nominated person in accordance with the Anti-Money Laundering Regulations. We will write directly to the nominated person for this information.

That this authority will apply to all instructions given by the nominated person, in so far as you have authorised above.

We, our officers and our employees shall not be responsible in the event that fraudulent activity is perpetrated by any of the above named persons or other persons in respect of this account.

That we may receive both oral and written instructions from the nominated person and we will not be responsible for any error or omissions resulting from misunderstandings in respect of oral instructions.

This authority will be effective from the date of receipt by us and will apply until we receive written notification from you, your Executor or your Receiver that this authority is to be rescinded.

28

**National Client Identifiers (NCIs)**

In order to combat market abuse, we are required by regulators to report unique codes known as National Client Identifiers (NCIs) for all individuals associated with a financial transaction. Without these we are unable to execute any financial transactions on your behalf.

Below is the list of NCIs for each nationality. Where 'No NCI Requirement' is listed, please add this wording to the relevant field(s) of this Agreement.

Country Name	NCI Requirement	Country Name	NCI Requirement
Austria	No NCI Requirement	Iceland	Personal Identity Code
Belgium	Belgian National Number	Italy	Fiscal Code
Bulgaria	Bulgarian Personal Number	Liechtenstein	National Passport Number
Cyprus	National Passport Number	Lithuania	Personal Code
Czech Republic	National Identification Number	Luxembourg	No NCI Requirement
Germany	No NCI Requirement	Latvia	Personal Code
Denmark	Personal Identity Code	Malta	National Identification Number
Estonia	Estonian Personal Identification Code	Netherlands	National Passport Number
Spain	Tax Identification Number	Norway	11 Digit Personal ID
Finland	Personal Identity Code	Poland	National Identification Number
France	No NCI Requirement	Portugal	Tax Number
United Kingdom	UK National Insurance Number	Romania	National Identification Number
Greece	10 DSS Digit Investor Share	Sweden	Personal Identity Number
Croatia	Personal Identification Number	Slovenia	Personal Identification Number
Hungary	No NCI Requirement	Slovakia	Personal Number
Ireland	No NCI Requirement	All other countries	National Passport Number

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### Additional information

This image shows a single sheet of white paper with horizontal blue ruling lines. The lines are evenly spaced and run across the width of the page. There is no text or other markings on the paper.

For office use only	
TERMS AND CONDITIONS VERSION	SERVICE BROCHURE VERSION
RATE CARD	DATE SENT

<b>Belfast</b>	02890 321002	<b>Edinburgh</b>	0131 226 5000	<b>Liverpool</b>	0151 227 2030
<b>Birmingham</b>	0121 232 0700	<b>Exeter</b>	01392 204404	<b>London</b>	020 7597 1234
<b>Bournemouth</b>	01202 208100	<b>Glasgow</b>	0141 333 9323	<b>Manchester</b>	0161 832 6868
<b>Bristol</b>	01172 444860	<b>Guildford</b>	01483 304707	<b>Sheffield</b>	0114 275 5100
<b>Cheltenham</b>	01242 514756	<b>Leeds</b>	0113 245 4488		

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Investec Wealth & Investment Limited is registered in England.  
Registered No. 2122340. Registered Office: 30 Gresham Street, London, EC2V 7QN.