

# Direct Investment



Structured Investment & Fixed Income Expertise

Please complete in **BLOCK LETTERS** and in **black ink**.

Return to your Financial Adviser or to Account Manager, Reyker Securities plc  
46 St James's Place, London SW1A 1NS.  
Telephone: 020 7499 9097 Fax: 020 7491 1384.

Should you require additional copies this form may be photocopied.

## Capital Accumulator 'Auto-Call' Plan - Dual Index Series X

### 1 Personal Details

Title (Mr/Mrs/Miss/Ms/Other) \_\_\_\_\_ Surname \_\_\_\_\_

First name(s) in full \_\_\_\_\_

Date of birth 

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Permanent residential address \_\_\_\_\_

Postcode \_\_\_\_\_ Telephone \_\_\_\_\_

E-mail address \_\_\_\_\_

Please tick the box and give details on a separate sheet if you have at any time been entrusted with, or been a member of the family, or an associate, of a person entrusted with, a prominent public function outside the UK.

Prominent public functions include the functions of heads of state, government ministers, members of parliaments, those holding high judicial, governmental, administrative, central bank, diplomatic or military offices and members of the administrative, management or supervisory boards of State-owned enterprises.

### 2 Joint Holders - Direct Investments only

Title (Mr/Mrs/Miss/Ms/Other) \_\_\_\_\_ Surname \_\_\_\_\_

First name(s) in full \_\_\_\_\_

Date of birth 

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Please tick the box and give details on a separate sheet if you have at any time been entrusted with, or been a member of the family, or an associate, of a person entrusted with, a prominent public function outside the UK.

### 3 On behalf of a child - Direct Investments only

Child's name \_\_\_\_\_

Date of birth 

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### 4 National Insurance Number

Do you have a National Insurance (NI) Number?  Yes  No

If 'YES' you must enter it here: 

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Joint Holder:  Yes  No

If 'YES' you must enter it here: 

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(You should be able to find your NI number on a payslip, or form P45 or P60, or a letter from HM Revenue & Customs, or a letter from the DWP, or pension order book).

### 5 Bank Details For Payments

Payments may be paid, by direct credit only, by the Bankers Automated Credit System (BACS) to an account within the UK clearing system. Unless you inform us otherwise, any income, early closure or maturity payments will be made to this account.

Bank/Building Society \_\_\_\_\_

Address \_\_\_\_\_

Postcode \_\_\_\_\_

Name of Account \_\_\_\_\_

Bank Sort Code 

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Full Account Number \_\_\_\_\_

Building Society Reference or Roll Number (if applicable) \_\_\_\_\_

### 6 New Subscriptions

(i) Direct Investment:

I apply to subscribe the following amount to the Plan (minimum £10,000, no maximum).

£ \_\_\_\_\_

Please note that ISA Subscriptions and ISA Transfers are not currently being accepted for this Plan.

Please make your cheque payable to 'Reyker Securities plc - Incapital Client A/C', or for Building Society cheques 'Reyker Securities plc - Incapital Client A/C reference [your name]'. Electronic payments should be sent to sort code 60-00-01; account no. 36210633 Reyker Securities plc quoting the client name.

### 7 Appropriateness

Have you received a personal recommendation from an adviser to invest in this product?  Yes  No

If "Yes", please proceed to **Section 8**. If "No" please answer the questions below before proceeding to **Section 8**. If you do not answer these additional questions, we will not be able to accept your application.

#### Question 1

Have you, in the last 5 years, held any of the following investments?

Shares

Stocks and Shares ISAs

Unit Trusts/OEICs

A product similar to the one you are applying for [known as a Structured Product] i.e. a fixed term investment, where you may get back less than you invested.

#### Question 2

Do you understand that this plan is linked to stock market investments and how your income and/or growth potential is linked to the performance of the underlying investments at maturity?

Yes  No

#### Question 3

Do you understand that the investment has been designed to be held for the full term?

Yes  No

#### Question 4

Do you understand that surrender or transfer to another Account Manager before maturity is only available on a twice-monthly basis and that by doing so you may get back less than you invested, due to movements in the underlying investments, surrender charges or any other charges built into the product?

Yes  No

#### Question 5

Do you fully understand the Risk Factors outlined in the brochure?

Yes  No

Full details on these risks are contained within the Brochure and Terms & Conditions, which you should have read and understood.

## 8 Data Protection

I/We understand that my/our personal details will be passed to or used by Incapital Europe Limited and Account Manager Reyker Securities plc for the purposes of administering my/our investments and for fraud prevention and this could include passing details to our agents and sub-contractors in the UK or any other country (even those which have only limited or no applicable Data Protection Laws) provided that Reyker Securities plc remain responsible for making sure the information is held securely.

## 9 Declaration and Authority

For all Applicants - I/we declare that:

1. I/we am/are 18 years of age or over;
2. I/we am/are not, and am not acting on behalf of, a resident of the United States; and that I/we will not assist any person who is so resident to acquire investments in the Plan. Further, I/we agree to inform Reyker Securities plc immediately should I/we become a resident of the United States.

I/we authorise Reyker Securities plc:

1. To hold my/our cash subscription, Direct Investments, interest (as applicable), dividends and other rights or proceeds in respect of those investments and any cash or other proceeds;
2. To supply an annual statement.

**Early encashment may also lead to some loss of capital. Investors should be aware that the value of units and shares can fall as well as rise and that past performance IS NOT an indication of future performance.**

**I/We have read and understood the Plan brochure, including the Terms & Conditions, and accept the terms under which my investments will be managed. I/We understand that applications are considered on a first come first served basis (although Incapital Europe Limited and Account Manager Reyker Securities plc reserve the right not to accept an application) and that for any applications not accepted, the investment will be returned to me/us without interest. I/We accept that banking of a cheque does not constitute acceptance of an application and that I/we will be notified if my/our application is accepted. I/We acknowledge that the Account Manager will provide an annual report on the value of my investment. I/We declare that this application form has been completed to the best of my knowledge and belief. I/We understand in certain circumstances, when insufficient documentary evidence is provided, Reyker Securities plc may need to verify my/our identity electronically.**

## Signature of Investor(s)

Signature \_\_\_\_\_

Date \_\_\_\_\_

Joint Holder if applicable (Direct Investment only):

Signature \_\_\_\_\_

Date \_\_\_\_\_

## For Financial Adviser completion

Money Laundering Regulations 2007: Under the regulations it is a legal requirement to carry out customer due diligence to, among other things, identify and verify the identity of the customer, and where applicable, beneficial owners of the customer.

Please tick the appropriate box or give the additional information requested:

- I/we have carried out customer due diligence on which Reyker Securities plc may rely:
1. we have identified and verified the identity of the applicant in section 1;
  2. the evidence I/we have obtained to verify the identity of the customer either meets the guidance for standard evidence set out within the guidance for the UK Financial Sector issued by JMLSG or meets the requirements of our local law and regulation, including national money laundering legislation that implements the EU Money Laundering Directive, and any relevant authoritative guidance provided as best practice in relation to the type of business or transaction to which this confirmation relates; and
  3. where the underlying evidence taken in relation to the verification of the customer's identity is held outside the UK, in the event of any enquiry from Reyker Securities Limited or Incapital Europe Limited (or from UK law enforcement agencies or regulators under court order or relevant mutual assistance procedure), copies of the relevant customer records will be made available, to the extent that we are required under local law to retain these records.

## OR

- I/we have not carried out customer due diligence for the following reasons:

Adviser name

Position

Country

Regulator

Regulator Reference Number

Company Name & Address

Branch/Office (if appropriate)

**Have you provided the Customer with investment advice in relation to this investment?**  Yes  No

If 'No, please check that section 8 of this application form has been completed by the client.

## Signature of Adviser

Signature \_\_\_\_\_

Date \_\_\_\_\_

Additional Instructions - including commission arrangements

# Registered Pension Scheme (including SIPP and SSAS)

Please use this form if you are applying on behalf of a Pension Scheme registered with HMRC and/or the Pensions Regulator.

Please complete in BLOCK LETTERS and in black ink.

Return to your Financial Adviser or to Account Manager, Reyker Securities plc  
46 St James's Place, London SW1A 1NS.  
Telephone: 020 7499 9097 Fax: 020 7491 1384.

Should you require additional copies this form may be photocopied.



Structured Investment & Fixed Income Expertise

## Capital Accumulator 'Auto-Call' Plan – Dual Index Series X

### 1 Full Scheme Name

If Small Self-Administered Scheme (SSAS), name of the Pensioner Trustee

Correspondence Address

Postcode

### 2 Scheme Details

(please tick as appropriate)

Is the Scheme:

A Self Invested Personal Pension (SIPP)?

A Small Self Administered Scheme (SSAS)?

An Occupational Pension Scheme (other than a SSAS)?

Please note that in order to process this application, you MUST provide the following documentation, unless previously provided:

- HMRC Pension Scheme Summary page and the scheme's registration details
- Certified Signatory List and instrument authorising persons to give instructions on behalf of the scheme

### 3 Investment Amount

£ \_\_\_\_\_

Please make your cheque payable to 'Reyker Securities plc - Incapital Client A/C', alternatively you can effect an electronic transfer to sort code 60-00-01, account no. 36210633 Reyker Securities plc quoting the scheme name.

### 4 Bank Details For Payments

Payments may be paid, by direct credit only, by the Bankers Automated Credit System (BACS) to an account within the UK clearing system. Unless you inform us otherwise, early closure or maturity payments will be made to this account.

Bank/Building Society

Address

Postcode

Name of Account

Bank Sort Code

Full Account Number

Building Society Reference

or Roll Number (if applicable)

### 5 Appropriateness

Have you received a recommendation from an adviser to invest in this product?

Yes  No

If "Yes", please proceed to **Section 6**. If "No" please answer the questions below before proceeding to **Section 6**. If you do not answer these additional questions, we will not be able to determine whether this investment is appropriate for you.

#### Question 1

Have you, in the last 5 years, held any of the following investments?

Shares

Stock and Shares ISAs

Unit Trusts/ OEICS

A product similar to the one you are applying for [known as a Structured Product] i.e. a fixed term investment, where you may get back less than you invested.

#### Question 2

Do you understand that this plan is linked to stock market investments and how your income and/or growth potential is linked to the performance of the underlying investments at maturity?

Yes  No

#### Question 3

Do you understand that the investment has been designed to be held for the full term?

Yes  No

#### Question 4

Do you understand that surrender or transfer to another Account Manager before maturity is only available on a twice-monthly basis and that by doing so you may get back less than you invested, due to movements in the underlying investments, surrender charges or any other charges built into the product?

Yes  No

#### Question 5

Do you fully understand the Risk Factors outlined in the brochure?

Yes  No

Full details on these risks are contained within the Brochure and Terms & Conditions, which you should have read and understood.

### 6 Data Protection

I/We understand that my/our personal details will be passed to or used by Incapital Europe Limited and Account Manager Reyker Securities plc for the purposes of administering my/our investments and for fraud prevention and this could include passing details to our agents and sub-contractors in the UK or any other country (even those which have only limited or no applicable Data Protection Laws) provided that Reyker Securities plc remain responsible for making sure the information is held securely.

## 7 Declaration and Authority

I/We wish to apply for the Plan and agree to be bound by the terms and conditions of the investment. I/We have read and understood the Plan brochure, including the Terms & Conditions. I/We understand that applications are considered on a first come first served basis (although Incapital Europe Limited and Account Manager Reyker Securities plc reserve the right not to accept an application) and that for any applications not accepted, the investment will be returned to me/us without interest. I/We accept that the banking of a cheque does not constitute acceptance of an application and that I/We will be notified if my/our application is accepted.

I/We declare that the information given is true and complete to the best of my/our knowledge.

I understand in certain circumstances, Reyker Securities plc may need to verify my/our identity by requiring further documents on making electronic searches.

### We declare that:

- a) If the Scheme is an occupational scheme, it is registered, or is seeking registration by the Board of HM Revenue & Customs under Chapter I of Part XIV of the Finance Act 2004. We agree to notify Account Manager Reyker Securities plc if approval is withdrawn or not granted.
- b) If the Scheme is a personal pension scheme, it is registered by the Board of HM Revenue & Customs under Chapter IV of Part XIV of the Finance Act 2004. We agree to notify Account Manager Reyker Securities plc if registration is withdrawn or not granted.
- c) We are applying for the Plan on behalf of other persons who are beneficially entitled to the Plan and declare that to the best of our knowledge and belief, none of the beneficiaries are resident or ordinarily resident in the Republic of Ireland or the United States. We will inform Account Manager Reyker Securities plc, in writing, if we become aware that this declaration is no longer correct.
- d) We are applying for the Plan on behalf of a Pension Scheme and that the Scheme is not in the Republic of Ireland or the United States. We will inform you, in writing, should the Scheme become resident in the Republic of Ireland or the United States.

### We authorise Reyker Securities plc:

- 1) To hold cash subscriptions, Plan investments, interest, dividends, shares and any other rights or proceeds in respect of those investments and any cash or other proceeds;
- 2) On request, to pay to the Trustees of the Scheme, the cash proceeds of the Plan investments. If the Scheme is a SSAS, the Pensioner or Trustee must agree in writing to this request.

**Please return this completed form together with documents specified in section 2 above (Scheme Details) to your Independent Financial Adviser, who will then pass them on to Reyker Securities plc, 46 St James's Place, London SW1A 1NS.**

## Signature(s) of person(s) authorised to sign on behalf of the Scheme

Signature \_\_\_\_\_

Name of authorised signatory \_\_\_\_\_

Date \_\_\_\_\_

Signature \_\_\_\_\_

Name of authorised signatory \_\_\_\_\_

Date \_\_\_\_\_

## For Financial Adviser completion

Money Laundering Regulations 2007: Under the regulations it is a legal requirement to carry out customer due diligence to, among other things, identify and verify the identity of the customer, and where applicable, beneficial owners of the customer.

The Account Manager, Reyker Securities plc, proposes to rely on the applicant scheme's HMRC and/or Pensions Regulator registration.

I/we have verified that the applicant is registered with HMRC and/or Pension Regulator.

If you have carried out any additional customer due diligence on the scheme, its trustee(s), or member(s) please provide details:

Adviser name \_\_\_\_\_

Position \_\_\_\_\_

Country \_\_\_\_\_

Regulator \_\_\_\_\_

Regulator Reference Number \_\_\_\_\_

Company Name & Address \_\_\_\_\_

Branch/Office (if appropriate) \_\_\_\_\_

**Have you provided the Customer with investment advice in relation to this investment?**  Yes  No

If 'No', please check that section 8 of this application form has been completed by the client.

## Signature of Adviser

Signature \_\_\_\_\_

Date \_\_\_\_\_

Additional Instructions - including commission arrangements

# Corporate Investment



Structured Investment & Fixed Income Expertise

Please complete in **BLOCK LETTERS** and in **black ink**, and return to your Financial Adviser or to the Account Manager, Reyker Securities plc, 46 St James's Place, London SW1A 1NS. Telephone: 020 7499 9097 Fax: 020 7491 1384.

Should you require additional copies this form may be photocopied.

## Capital Accumulator 'Auto-Call' Plan – Dual Index Series X

### 1 Company Details

Full Company name \_\_\_\_\_

Contact name \_\_\_\_\_

Business Address \_\_\_\_\_  
\_\_\_\_\_

Postcode \_\_\_\_\_ Telephone \_\_\_\_\_

### 2 Company Registration, Directors, Shareholders

Country of Incorporation: \_\_\_\_\_

Registered No. \_\_\_\_\_

Registered office address in country of incorporation (if different from above)  
\_\_\_\_\_  
\_\_\_\_\_

Please also give, or attach, the following information:

- the names\* of all directors (or equivalent)
- the names\* of individuals who own or control over 25% of its shares or voting rights (principal shareholders)

\* and dates of birth, if known

Please note that in order to process this application, you **MUST** provide the following documents, if not already provided:

- Company register search results
- Certified Signatories List
- Instrument authorising persons to give instructions on behalf of the company

### 3 Bank Details For Payments

Payments may be paid, by direct credit only, by the Bankers Automated Credit System (BACS) to an account within the UK clearing system. Unless you inform us otherwise, any income, early closure or maturity payments will be made into this account.

Bank/Building Society \_\_\_\_\_

Address \_\_\_\_\_

Postcode \_\_\_\_\_

Name of Account \_\_\_\_\_

Bank Sort Code

Full Account Number \_\_\_\_\_

Building Society Reference  
or Roll Number (if applicable) \_\_\_\_\_

### 4 New Subscriptions

(i) Direct Investment:

I apply to subscribe the following amount to the Plan (minimum £10,000, no maximum).

£ \_\_\_\_\_

Please make your cheque payable to **'Reyker Securities plc - Incapital Client A/C'**, electronic payments should be sent to sort code 60-00-01, account no. 36210633, Reyker Securities plc quoting the client name.

### 5 Appropriateness

Has your company, or if your company is acting as a nominee has the beneficial owner received a personal recommendation from an adviser to invest in this product?  Yes  No

If "Yes", please proceed to **Section 6**. If "No" please answer the questions below before proceeding to **Section 6**. If you do not answer these additional questions, we will not be able to determine whether this investment is appropriate for you.

#### Question 1

Has your company or the beneficial owner, in the last 5 years, held any of the following investments?

Shares

Stocks and Shares ISAs

Unit Trusts/ OEICS

A product similar to the one you are applying for [known as a Structured Product] i.e. a fixed term investment, where you may get back less than you invested.

#### Question 2

Does your company or the beneficial owner understand that this plan is linked to stock market investments and how your income and/or growth potential is linked to the performance of the underlying investments at maturity?  Yes  No

#### Question 3

Does your company or the beneficial owner understand that the investment has been designed to be held for the full term?  Yes  No

#### Question 4

Does your company or the beneficial owner understand that surrender or transfer to another Account Manager before maturity is only available on a twice-monthly basis and that by doing so you may get back less than you invested, due to movements in the underlying investments, surrender charges or any other charges built into the product?  Yes  No

#### Question 5

Does your company or the beneficial owner fully understand the Risk Factors outlined in the brochure?  Yes  No

Full details on these risks are contained within the Brochure and Terms & Conditions, which you should have read and understood.

### 6 Director, Shareholder and Authorised Signatory Information

Please tick the box and give details on a separate sheet if you or any other director or principal shareholder have at any time been entrusted with, or been a member of the family, or an associate, of a person entrusted with a prominent public function outside the UK.

Prominent public functions include the functions of heads of state, government ministers, members of parliaments, those holding high judicial, governmental, administrative, central bank, diplomatic or military offices and members of the administrative, management or supervisory boards of State-owned enterprises.

### 7 Data Protection

We understand that our personal details will be passed to or used by Incapital Europe Limited and Account Manager Reyker Securities plc for the purposes of administering my/our investments and for fraud prevention and this could include passing details to our agents and sub-contractors in the UK or any other country (even those which have only limited or no applicable Data Protection Laws) provided that Reyker Securities plc remain responsible for making sure the information is held securely.

## 8 Declaration and Authority

We authorise Reyker Securities plc to hold cash subscriptions, Plan investments, interest, dividends and other rights or proceeds in respect of those investments and any cash or other proceeds.

We declare that:

- If we are applying for the Plan on behalf of other persons who are beneficially entitled to the Plan and declare to the best of our knowledge and belief, none of the beneficiaries are resident or ordinarily resident in the United States. We will inform you, in writing, if we become aware that this declaration is no longer correct.
- If we are applying for the Plan on behalf of a company that the Company is not resident in the United States and we will inform you, in writing, if the Company becomes resident in the United States.

**Early encashment may also lead to some loss of capital. Investors should be aware that the value of units and shares can fall as well as rise and that past performance IS NOT an indication of future performance.**

**We have read and understood the Plan brochure, including the Terms & Conditions, and accept the terms under which our investments will be managed. We understand that applications are considered on a first come first served basis (although Incapital Europe Limited and Account Manager Reyker Securities plc reserve the right not to accept an application) and that for any applications not accepted, the investment will be returned to us without interest. We accept that banking of a cheque does not constitute acceptance of an application and that we will be notified if my/our application is accepted. We acknowledge that the Account Manager will provide an annual report on the value of our investment. We declare that this application form has been completed to the best of our knowledge and belief. We understand in certain circumstances, when insufficient documentary evidence is provided, Reyker Securities plc may need to verify our identity electronically.**

### Signature(s) of person(s) authorised to sign on behalf of the Company

Signature \_\_\_\_\_

Name of authorised signatory \_\_\_\_\_

Date \_\_\_\_\_

Signature \_\_\_\_\_

Name of authorised signatory \_\_\_\_\_

Date \_\_\_\_\_

## For Financial Adviser completion

Money Laundering Regulations 2007: Under the regulations it is a legal requirement to carry out customer due diligence to, among other things, identify and verify the identity of the customer, and where applicable, beneficial owners of the customer.

Please tick the appropriate box or give the additional information requested:

- I/we have carried out customer due diligence on which Reyker Securities plc may rely:
- we have identified and verified the identity of the applicant in section 1;
  - the evidence I/we have obtained to verify the identity of the customer either meets the guidance for standard evidence set out within the guidance for the UK Financial Sector issued by JMLSG or meets the requirements of our local law and regulation, including national money laundering legislation that implements the EU Money Laundering Directive, and any relevant authoritative guidance provided as best practice in relation to the type of business or transaction to which this confirmation relates; and
  - where the underlying evidence taken in relation to the verification of the customer's identity is held outside the UK, in the event of any enquiry from Reyker Securities Limited or Incapital Europe Limited (or from UK law enforcement agencies or regulators under court order or relevant mutual assistance procedure), copies of the relevant customer records will be made available, to the extent that we are required under local law to retain these records.

### OR

- I/we have not carried out customer due diligence for the following reasons:

Adviser name

Position

Country

Regulator

Regulator

Reference Number

Company Name & Address

Branch/Office (if appropriate)

**Have you provided the Customer with investment advice in relation to this investment?**

Yes  No

If 'No, please check that section 8 of this application form has been completed by the client.

### Signature of Adviser

Signature \_\_\_\_\_

Date \_\_\_\_\_

Additional Instructions - including commission arrangements

# Trustee (Charity, Non-Registered Pension Scheme, Other Trusts)



Structured Investment & Fixed Income Expertise

## Capital Accumulator 'Auto-Call' Plan – Dual Index Series X

Please complete in BLOCK LETTERS and in black ink.

Return to your Financial Adviser or to Account Manager, Reyker Securities plc  
46 St James's Place, London SW1A 1NS.  
Telephone: 020 7499 9097 Fax: 020 7491 1384.

Should you require additional copies this form may be photocopied.

### 1 Full Trust or Scheme Name

Correspondence Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Postcode \_\_\_\_\_

### 2 Trust Details

Please give, or attach, the following information:

- The nature of the trust's activities, objects, and purpose
- The names\* of all trustees
- The name of any registration or regulatory authority and registered number (e.g. the Charity Commission and the charity's registration number)
- The names\* of principal beneficial owners (over 25%)
- The names\* of any protector or controller

\* and dates of birth, if known

Please note that in order to process this application, you MUST provide the following documents, if not already provided:

- Trust Deed
- Certified Signatories List
- Instrument authorising persons to give instructions on behalf of the trust

### 3 Investment Amount

£ \_\_\_\_\_

Please make your cheque payable to 'Reyker Securities plc - Incapital Client A/C', alternatively you can effect an electronic transfer to sort code 60-00-01, account no. 36210633 Reyker Securities plc quoting the scheme name.

### 4 Bank Details For Payments

Payments may be paid, by direct credit only, by the Bankers Automated Credit System (BACS) to an account within the UK clearing system. Unless you inform us otherwise, early closure or maturity payments will be made to this account.

Bank/Building Society \_\_\_\_\_  
Address \_\_\_\_\_  
\_\_\_\_\_  
Postcode \_\_\_\_\_  
Name of Account \_\_\_\_\_  
Bank Sort Code   
Full Account Number \_\_\_\_\_  
Building Society Reference  
or Roll Number (if applicable) \_\_\_\_\_

### 5 Appropriateness

Have you received a recommendation from an adviser to invest in this product?  Yes  No

If "Yes", please proceed to **Section 6**. If "No" please answer the questions below before proceeding to **Section 6**. If you do not answer these additional questions, we will not be able to determine whether this investment is appropriate for you.

#### Question 1

Have you, in the last 5 years, held any of the following investments?

- Shares
- Stock and Shares ISAs
- Unit Trusts/ OEICS
- A product similar to the one you are applying for [known as a Structured Product] i.e. a fixed term investment, where you may get back less than you invested.

#### Question 2

Do you understand that this plan is linked to stock market investments and how your income and/or growth potential is linked to the performance of the underlying investments at maturity?  Yes  No

#### Question 3

Do you understand that the investment has been designed to be held for the full term?  Yes  No

#### Question 4

Do you understand that surrender or transfer to another Account Manager before maturity is only available on a twice-monthly basis and that by doing so you may get back less than you invested, due to movements in the underlying investments, surrender charges or any other charges built into the product?  Yes  No

#### Question 5

Do you fully understand the Risk Factors outlined in the brochure?  Yes  No

Full details on these risks are contained within the Brochure and Terms & Conditions, which you should have read and understood.

### 6 Trustee Beneficiary and Authorised Signatory Information

Please tick the box and give details on a separate sheet if you or any other trustee or principal beneficiary have at any time been entrusted with, or been a member of the family, or an associate, of a person entrusted with a prominent public function outside the UK.

Prominent public functions include the functions of heads of state, government ministers, members of parliaments, those holding high judicial, governmental, administrative, central bank, diplomatic or military offices and members of the administrative, management or supervisory boards of State-owned enterprises.

### 7 Data Protection

I/We understand that my/our personal details will be passed to or used by Incapital Europe Limited and Account Manager Reyker Securities plc for the purposes of administering my/our investments and for fraud prevention and this could include passing details to our agents and sub-contractors in the UK or any other country (even those which have only limited or no applicable Data Protection Laws) provided that Reyker Securities plc remain responsible for making sure the information is held securely.

## 8 Declaration and Authority

I/We wish to apply for the Plan and agree to be bound by the terms and conditions of the investment. I/We have read and understood the Plan brochure, including the Terms & Conditions. I/We understand that applications are considered on a first come first served basis (although Incapital Europe Limited and Account Manager Reyker Securities plc reserve the right not to accept an application) and that for any applications not accepted, the investment will be returned to me/us without interest. I/We accept that the banking of a cheque does not constitute acceptance of an application and that I/We will be notified if my/our application is accepted.

I/We declare that the information given is true and complete to the best of my/our knowledge.

I understand in certain circumstances, when insufficient documentary evidence is provided, Reyker Securities plc may need to verify my/our identity electronically.

### We declare that:

- a) We are applying for the Plan on behalf of other persons who are beneficially entitled to the Plan and declare that to the best of our knowledge and belief, none of the beneficiaries are resident or ordinarily resident in the Republic of Ireland or the United States. We will inform Account Manager Reyker Securities plc, in writing, if we become aware that this declaration is no longer correct.
- b) We are applying for the Plan on behalf of a Trust and that the Trust is not in the Republic of Ireland or the United States. We will inform you, in writing, should the Trust become resident in the Republic of Ireland or the United States.

### We authorise Reyker Securities plc:

- 1) To hold cash subscriptions, Plan investments, interest, dividends, shares and any other rights or proceeds in respect of those investments and any cash or other proceeds;
- 2) On request, to pay to the Trustees, the cash proceeds of the Plan investments.

**Please return this completed form together with your cheque and documents specified in sectors 2 above (Trust Details) to your Independent Financial Adviser, who will then pass them on to Reyker Securities plc, 46 St James's Place, London SW1A 1NS.**

## Signature(s) of person(s) authorised to sign on behalf of the Trustees

Signature \_\_\_\_\_

Name of authorised signatory \_\_\_\_\_

Date \_\_\_\_\_

Signature \_\_\_\_\_

Name of authorised signatory \_\_\_\_\_

Date \_\_\_\_\_

## For Financial Adviser completion

Money Laundering Regulations 2007: Under the regulations it is a legal requirement to carry out customer due diligence to, among other things, identify and verify the identity of the customer, and where applicable, beneficial owners of the customer.

Please tick the appropriate box or give the additional information requested:

- I/we have carried out customer due diligence on which Reyker Securities plc may rely:
1. we have identified and verified the identity of the applicant in section 1;
  2. the evidence I/we have obtained to verify the identity of the customer either meets the guidance for standard evidence set out within the guidance for the UK Financial Sector issued by JMLSG or meets the requirements of our local law and regulation, including national money laundering legislation that implements the EU Money Laundering Directive, and any relevant authoritative guidance provided as best practice in relation to the type of business or transaction to which this confirmation relates; and
  3. where the underlying evidence taken in relation to the verification of the customer's identity is held outside the UK, in the event of any enquiry from Reyker Securities Limited or Incapital Europe Limited (or from UK law enforcement agencies or regulators under court order or relevant mutual assistance procedure), copies of the relevant customer records will be made available, to the extent that we are required under local law to retain these records.

### OR

- I/we have not carried out customer due diligence for the following reasons:

Adviser name

Position

Country

Regulator

Regulator Reference Number

Company Name & Address

Branch/Office (if appropriate)

**Have you provided the Customer with investment advice in relation to this investment?**  Yes  No

If 'No', please check that section 8 of this application form has been completed by the client.

## Signature of Adviser

Signature \_\_\_\_\_

Date \_\_\_\_\_

Additional Instructions - including commission arrangements