

Direct Investment and/or ISA and/or Plan Transfer

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 IX

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).

£ _____

(ii) Stocks & Shares ISA 2010/2011:

I apply to subscribe the following amount to a Stocks & Shares ISA for the tax year ending 5/4/2011 only (minimum £10,000 maximum £10,200).

£ _____

Total Subscription:

£ _____

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 Existing Plan Transfer Please tick as applicable

Stocks and Shares ISA

Approximate Value £ _____

Please complete the attached ISA Transfer Mandate.

8 Appropriateness

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

If "Yes", please proceed to **Section 9**. If "No" please answer the questions below before proceeding to **Section 9**. 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.

9 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.

10 Declaration and Authority

Applicable to all ISA applicants I declare that:

1. All subscriptions made belong to me;
2. I have not subscribed and will not subscribe more than the maximum allowed to a Cash ISA or Stocks & Shares ISA in the same tax year;
3. I have not subscribed and will not subscribe to another Stocks & Shares ISA in the same tax year that I have subscribed to this Stocks & Shares ISA;
4. I am resident and ordinarily resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of the Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to or in a civil partnership with a person who performs such duties. I will inform Reyker Securities plc if I cease to be so resident and ordinarily resident or to perform such duties or be married to or in a civil partnership with a person who performs such duties.

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, ISA investments, interest (as applicable), dividends and other rights or proceeds in respect of those investments and any cash or other proceeds;
2. To make on my/our behalf any claims to relief from tax in respect of ISA investments; and
3. To supply an annual statement.
4. If I am transferring an existing ISA, to invest my cash subscriptions on the first available date after receipt of all cleared funds from my existing account manager as specified but in any event no later than the start date.

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

ISA Transfer Mandate



Structured Investment & Fixed Income Expertise

Capital Accumulator 'Auto-Call' Plan – Dual Index Series IX

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

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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. Personal Details

Please tick which options (note: this form may be photocopied if additional mandates are required)

Stocks and Shares ISA Cash ISA

Title(Mr/Mrs/Miss/Ms/Other) _____ Initial _____

Surname _____

Date of Birth _____

Permanent residential address _____

Postcode _____ Telephone _____

2. Existing ISA Details

Name of Account Manager _____

Address of Account Manager _____

_____ Postcode _____

Account Number _____

Type of Account* _____

Approximate Transfer Value _____

Account Number _____

Type of Account* _____

Approximate Transfer Value _____

Account Number _____

Type of Account* _____

Sort code _____

Building Society roll no. _____

Approximate Transfer Value _____

*Type of account e.g. Stocks and Shares ISA/Cash ISA

Minimum aggregate transfer value £5,000

3. Declaration and Authority

I hereby instruct you to sell investments within my ISA immediately and transfer the cash proceeds, together with any interest, dividends, rights and any other cash within my ISA (less any amount you are entitled to keep under the terms of the ISA), to **Reyker Securities plc, 46 St James's Place, London SW1A 1NS**. Cheques should be made payable to Reyker Securities plc – Incapital Client A/C.

Please transfer my ISA once instructions have been received from Reyker Securities plc to do so. After transfer, all dividends and tax credits due should be made payable directly to me. If you are not in a position to transfer my cash proceeds by the Start Date at the latest, please cancel my request to transfer and reinstate my ISA.

Signature of Investor

Signature _____

Date _____

4. Additional Information (if any)

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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.

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46 St James's Place, London SW1A 1NS.
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Structured Investment & Fixed Income Expertise

Capital Accumulator 'Auto-Call' Plan – Dual Index Series IX

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 IX

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:

- a) 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.
- b) 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:
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

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

Please complete in BLOCK LETTERS and in black ink.

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46 St James's Place, London SW1A 1NS.
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Structured Investment & Fixed Income Expertise

Capital Accumulator 'Auto-Call' Plan – Dual Index Series IX

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