



PUMA HERITAGE  
Calculated Excellence

APPLICATION  
FORM

# 01 Application Form Guidance

## Step 1: How to Complete the Form

**This form allows you to subscribe for shares in Puma Heritage plc. You can only apply for shares through a Financial Adviser who has assessed that a subscription for shares in Puma Heritage plc is suitable for you.**

- You should only subscribe for shares on the basis of the information in the Prospectus.
- Representatives such as those with Power of Attorney (POA), should complete the Application Form with details of the Applicant.
- If you wish to subscribe for shares through a Trust or other entity please contact us for a separate form.

**Before you submit the form, please tick the following to confirm:**

- You have completed sections 1-6.
- Your signature in section 6 of the Application Form has been witnessed by someone who is not related to you.
- Your Financial Adviser has completed sections 7-9.
- You or your Financial Adviser have enclosed the necessary verification of identity documentation which must be certified by a regulated individual (e.g. Financial Adviser, solicitor or accountant):  
**either** A Confirmation of Verification of Identity Certificate from your Financial Adviser or Intermediary (please see Part 2 of this application);  
**or** an original certified copy of identification (your passport or driving licence);  
**and**  
an original certified copy of proof of address (driving licence, bank statement or recent utility bill (not mobile phone)).
- If you are acting as Attorney, you have:
  - enclosed an original certified copy of the POA or court order;
  - enclosed verification of identity documents for the representative and the Applicant (see above);
  - You have signed section 5 on behalf of the Applicant.

## Step 2: Submit Application Form

- You or your Financial Adviser should send this Application Form to the address shown below.
  - You can pay the subscription amount as follows:
    - By Cheque: Cheques should be made payable to "SLC Registrars A/C Puma Heritage plc".  
Cheques must be drawn on a UK clearing bank.
    - By Bank Transfer: Account Name: SLC Registrars A/C Puma Heritage plc  
HSBC, 56 High Street, Esher  
Sort Code: 40-20-26  
Account Number: 53663280
- Reference: Please use your first initial and surname as a reference.
- You will receive an acknowledgement of receipt of your application.
  - Your application will be processed and we will notify you of the Shares for which you have subscribed.

**Return your completed Application Form to:**

SLC Registrars  
Elder House  
St Georges Business Park  
Brooklands Road  
Weybridge  
Surrey KT13 0TS

# Application Form for Puma Heritage

## Section 1 – Applicant’s Personal Details

Title (Mr/Mrs/Miss/Ms/Other)		
First name(s)		Last name
Date of birth (DD/MM/YYYY)		Country of birth
National Insurance Number		Nationality
Permanent address		
		Postcode
Telephone		Email address
Is this a joint application?	Yes <input type="checkbox"/>	No <input type="checkbox"/> <i>If you answered 'No' please proceed to the next question relating to Power of Attorney.</i>
Second Applicant		
Title (Mr/Mrs/Miss/Ms/Other)		
First name(s)		Last name
Date of birth (DD/MM/YYYY)		Country of birth
National Insurance Number		Nationality
Permanent address		
		Postcode
Is there a registered Power of Attorney in place for this application?	Yes <input type="checkbox"/>	No <input type="checkbox"/> <i>If you answered 'No' please proceed to Section 2.</i> If you are acting as Attorney, please include an original certified copy of the POA document and verification of identity documents for each Attorney. In all cases SLC will need to verify the identity of all Attorneys and may run electronic searches to do so.
Attorney		
Title (Mr/Mrs/Miss/Ms/Other)		
First name(s)		Last name
Date of birth (DD/MM/YYYY)		
Address		
		Postcode
Would you like this address to be held on the share register and used for all shareholder correspondence?	Yes <input type="checkbox"/>	No <input type="checkbox"/>

## Section 2 – Tax Residency

Please indicate all countries in which the Applicant(s) is/are resident for the purposes of that country's income tax. If the Applicant(s) is/are a US citizen, Green Card holder, or US resident, you must complete and return an IRS (Internal Revenue Service) W-9 form and include any additional tax residencies in the table below.

Country of Tax Residency	Tax Identification Numbers (TIN) If you are a UK tax resident you should leave this space blank. If you are a tax resident of another country this will be the number assigned to you by that country's tax authority.
First Applicant	
Second Applicant (if joint)	



### Section 3 – Adviser Charge

Complete the rows below if you wish SLC Registrars to facilitate an adviser charge. You may specify a fixed amount or a percentage. If you request SLC Registrars to facilitate charges on a percentage basis:

- (a) The Initial Adviser Charge will be calculated as a percentage of the monies the Applicant uses to subscribe for Shares; and  
 (b) Ongoing Adviser Charges will be calculated as a percentage of the value of the Applicant's Shareholding at the relevant time.

Initial Adviser Charge	£		%
Ongoing Adviser Charge	£		%

Tick here if SLC Registrars is to facilitate the payment of VAT in addition to the amounts specified above:  Initial  Ongoing

### Section 4 – Applicant's Subscription

There is no maximum limit on the size of your subscription. It must be for a minimum of £25,000. Where you have expressed your wishes for SLC Registrars to facilitate an adviser charge (as set out in Section 3) please note that it will be taken from total funds received.

Total Subscription Amount	£	
---------------------------	---	--

You may apply for only Income or Growth Shares or a combination of the two. If you decide to apply for a combination, the percentage total must equal 100%.

Type of Shares	Income Shares		%
	Growth Shares		%

### Section 5 – Applicant's Bank Account Details for Receipt of Payments from Puma Heritage plc Other than Redemption Proceeds (eg Dividends)

Account Name			
Account Number			
Sort Code			
Bank or Building Society Name			
Address of Bank or Building Society			
			Postcode



## Section 6 – Applicant’s Declaration

This Application Form is signed as a deed and must be witnessed by someone who is not related to you. By signing this Application Form, you confirm that:

1. You have read and understood the Puma Heritage plc Prospectus in particular the section headed "Risk Factors".
2. You have read the data protection schedule at the end of this application form and referred to in Puma Investments' Privacy Statement and understand the purposes for which your personal data will be used to process your application.
3. You agree to be bound by the Terms and Conditions of Application set out in the Prospectus.
4. You are applying for the Shares detailed in Section 4.
5. Representative(s) (if applicable) should sign on behalf of the Applicant.

Where you have agreed to pay your Financial Adviser Initial and/or Ongoing Adviser Charges, as indicated in Section 3:

6. You consent to SLC Registrars facilitating the payment to the Financial Adviser (named in Section 7) of the Adviser Charge(s) (set out in Section 3) plus VAT (if applicable).

Signature of Applicant/ Representative(s)		Date	
Signature of Second Applicant/Representative(s) (if joint)		Date	
Signature of Witness		Name of Witness	
Address of Witness			
		Postcode	
Occupation of Witness			

### Data Protection

We would like to keep you informed of other Puma Investments products and services which we think will be of interest to you. By ticking this box you are agreeing to this. We will not share your details with any third parties for marketing purposes and you can opt-out at any time.

### Mailing preference

The printing and postage costs of sending out the Puma Heritage plc shareholder documents and notices are paid for by Puma Heritage plc itself. Therefore, to reduce waste and help to cut costs, we will default to sending you notice by post when the shareholder documents and notices have been published to the following website: [www.pumaheritage.co.uk](http://www.pumaheritage.co.uk).

Please tick the box if you would prefer to receive all shareholder documents and notices by post instead.

Once your shares have been allotted, you can update your communication preferences at any time by registering for the ShareView service provided by SLC Registrars. The relevant webpage can be found at: [www.shareview.co.uk/4/Info/Portfolio/Default/en/Home/Portfolio/Pages/Portfolio.aspx](http://www.shareview.co.uk/4/Info/Portfolio/Default/en/Home/Portfolio/Pages/Portfolio.aspx). You will need your Shareholder Reference Number which can be found either on your share certificate or by identifying yourself to SLC Registrars by phone (Tel: 01903 706150) or email ([office@slcregistrars.com](mailto:office@slcregistrars.com)).

These sections are to be completed by the Financial Adviser.

### Section 7 – Financial Adviser Details

Company (including the name of any network to which you or your firm is connected)			Financial Adviser Stamp (if applicable)
FCA Number			
Address			
		Postcode	
Financial Adviser's Details	Administrator's Details (if different to Financial Adviser)		
Name	Name		
Email	Email		
Telephone	Telephone		

### Section 8 – Please Provide the Bank Details into Which the Adviser Charge Should Be Paid

Account Name	
Account Number	
Sort code	
Bank Name	

### Section 9 – Financial Adviser Declaration

By signing this Application Form, you confirm that:

1. You have read and understood the Puma Heritage plc Prospectus.
2. You agree to be bound by the Terms and Conditions of Application.
3. You have assessed that a subscription for Shares meets the Applicant's objectives, that s/he has the expertise, experience and knowledge to understand the risks and that s/he is able to financially bear the associated risks involved in such a subscription.

Where the applicant has completed section 3:

4. You have agreed with the Applicant that SLC Registrars can facilitate the payment to you of the Adviser Charge(s) set out in section 3, plus VAT (if applicable).

Signature of Financial Adviser	Date	
--------------------------------	------	--

## Data Protection Schedule

1. The information that the Investor provides on this Application Form or subsequently in other communications or correspondence with the Trading Adviser in any form will be held and used in compliance with that data protection legislation which is binding on the Trading Adviser. For the purposes of the data protection legislation the Trading Adviser will be the data controller.
2. The Trading Adviser may hold and process the Investor's data for
  - (a) the administration of the investment offering for which the Investor is currently applying or may apply for in future;
  - (b) for the operation of an investment (including e.g. for registration and distribution purposes);
  - (c) for the purposes of statistical analysis;
  - (d) for independent audit purposes for the marketing of goods or services (by the Trading Adviser and any of its affiliates); and / or
  - (e) for regulatory and legal reasons such as but not limited to anti money laundering and anti-terrorism financing checks and procedures.

The Trading Adviser may transfer the Investor's data to its affiliates or other third parties such as the Registrar, your financial adviser or other appropriate service providers. Where this is the case such third parties will be subject to data protection obligations and will only use your personal data for the purposes set out above.
3. The legal basis for the Trading Adviser processing the Investor's personal information in the ways described in clause 2 will typically be because the processing is necessary: (i) to fulfil its obligations under this Agreement; (ii) for its legitimate business interests; (iii) for compliance with a legal obligation to which it is subject; or (iv) because the Investor has provided the Trading Adviser with their consent.
4. The Trading Adviser may transfer the Investor's personal information to a third party in countries outside the United Kingdom for further processing in accordance with the purposes set out in clause 2. In particular, the Investor's personal information may be transferred throughout the Trading Adviser's Associates and to outsourced service providers located abroad. In these circumstances the Trading Adviser will, as required by applicable law, ensure that the Investor's privacy rights are adequately protected by appropriate technical, organisation, contractual or other lawful means.
5. The Trading Adviser will retain the Investor's personal information as long as is reasonably necessary for the purposes listed in clause 2 or as required by local applicable law. Usually, the Trading Adviser will retain its file and information in relation to the Investor after the termination of the engagement for such period as may be required by law or for 6 years (whichever is longer). All papers and files, including important original documents such as trust deeds, corporate documents and contractual agreements will be stored in the Trading Adviser's archive storage facilities. Please contact the Trading Adviser directly for further details of applicable retention periods.
6. Where a Financial Adviser or other authorised professional person acts on the Investor's behalf, the Trading Adviser shall be entitled to disclose information concerning the Investor's investment to that Financial Adviser or other professional person unless the Investor instructs the Trading Adviser in writing not to do so. Save as noted above, the Trading Adviser will not without good and reasonable cause provide to any other third party any information relating to the Investor, unless the Investor has given his/her written consent or unless the Trading Adviser is required to do so by law or by a regulatory authority.
7. If the Investor wishes the Trading Adviser to remove his/her data from its records the Trading Adviser will do so within a reasonable time upon receipt of an instruction in writing, as far as is reasonably practical and within the Trading Adviser's control, subject to any legal or taxation or accounting or regulatory constraints which require the Trading Adviser to retain data for a period of time. The Investor is entitled to request details of information the Trading Adviser holds about him/her and to require the Trading Adviser to correct any inaccuracies in such personal data. In addition, the Investor has other rights under applicable data protection legislation that it may exercise against the Trading Adviser along with the right to withdraw any consent to the data processing, the right to lodge a complaint with the applicable data protection supervisory authority (being the Information Commissioner's Office or any superseding or replacement body). If the Investor would like more information about how to exercise their other rights, they should contact the Trading Adviser directly.
8. Except as provided for in this data protection schedule the Trading Adviser will not permit so far as it is within its control any third party to use data held by it about the Investor for purposes other than those set out at clause 2.
9. Further information regarding data protection at Puma Investments can be found by reading the Privacy Statement available at [www.pumainvestments.co.uk/privacy-statement](http://www.pumainvestments.co.uk/privacy-statement)

# Confirmation of Verification of Identity Certificate

The following sections are to be completed by the applicant's Financial Adviser or Intermediary.

## Section 10 – Details of Individual

Title (Mr/Mrs/Miss/Ms/Other)	
First name(s)	Last name
Date of birth (DD/MM/YYYY)	
Current Address (and previous address if individual has changed address in the last three months)	

## Section 11 – Details of Introducing Firm (or Sole Trader)

Full Name of Regulated Firm (or Sole Trader)	
FCA Reference Number	

## Section 12 – Confirmation

### I/We confirm that:

- (a) the information in section 10 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:
- 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).
- (c) upon request copies of the documentation used for identity verification will be made available to the Trading Adviser/Share Registrar.

Signed	Full Name
Job Title (regulated Individual)	Date

### Explanatory notes for the anti-money laundering introduction certificate

- A separate confirmation must be completed for each customer (e.g. joint holders, trustee cases and joint life cases). Where a third party is involved, the identity of that person must also be verified, and a confirmation provided.
- This form cannot be used to verify the identity of any customer that falls into one of the following categories:
  - those who are exempt from verification as being an existing client of the introducing firm prior to the introduction of the requirement for such verification;
  - those who have been subject to Simplified Due Diligence under the Money Laundering Regulations; or
  - those whose identity has been verified using the source of funds as evidence.
- This confirmation must carry an original signature or an electronic equivalent.





