Application Form Guidance

Step 1: How to Complete the Form

This form allows the Trust to subscribe for shares in Puma Heritage plc on behalf of a Trust. Please note according to s.126 of the Companies Act 2006, only individuals and UK corporate entities may hold shares on behalf of a Trust. The Trustees should only subscribe for shares on the basis of the information in the Prospectus. If there is not enough space for the required number of Trustees to complete their details please attach an additional sheet with this information.

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

- ☐ You have completed sections 1 to 7.
- ☐ The signature(s) on this Application Form in section 7 have been witnessed by someone who is not related to the Trustee(s).
- ☐ The Financial Adviser has completed sections 9 to 11.
- ☐ Verification of identity documents of the Trustees have been enclosed along with the application. These must be certified by a regulated individual (e.g. Financial Adviser, solicitor or accountant):
  - An Identity Verification Certificate or one of each of the following;
  - A certified copy (which must be an original version) of identification (your passport or driving licence) plus;
  - A certified copy (which must be an original version) of proof of address (driving licence, bank statement or recent utility bill (but not mobile phone)).

Step 2: Submit Application Form

The Trustees or the Trust's Financial Adviser should send this Application Form to the address shown below.

The subscription amount can be paid in the following ways:

By Cheque:	Cheques should be 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 the Trust name as a reference

The Trust will receive an acknowledgement of receipt of the application.

The application will be processed and we will notify the trustee(s) of the Shares for which the Trust has subscribed.

Return your completed Application Form to:

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

PUMA HERITAGE
Calculated Excellence

APPLICATION FORM FOR TRUSTS

Application Form for Puma Heritage

Section 1 – Trust information

Trust Name			
Settlor name			
Settlor Address			
		Postcode	
Type of trust			
First Beneficiary			
Name			
Address			
		Postcode	
Second Beneficiary			
Name			
Address			
		Postcode	

If there are more than two beneficiaries please provide the names and address in section 8

Section 2 – Trustee Details

First Trustee			
Name			
Address			
		Postcode	
Date of Birth		Nationality	
Country of Tax Residency			
Second Trustee			
Name			
Address			
		Postcode	
Date of Birth		Nationality	
Country of Tax Residency			
Third Trustee			
Name			
Address			
		Postcode	
Date of Birth		Nationality	
Country of Tax Residency			

Please confirm which address(es) to send correspondence: First Trustee ☐ Second Trustee ☐ Third Trustee ☐
If there are more than three Trustees please provide the names and address in section 8

Mailing Address (if different from above)			
		Postcode	
Contact email			
Contact Telephone Number			

Section 3 – Trust Tax Residency

Please indicate the country in which the Trust is resident for the purposes of that country's income tax. If the Trust is resident in the US, you must complete and return an applicable IRS (Internal Revenue Service) form.

Country of Tax Residency	Tax Identification Number (TIN)	Tax Identification Numbers (TIN) (If the Trust is a UK Tax resident please provide the Unique Tax Reference Number (UTR) or if it is a tax resident of another country this will be the number assigned by that country's tax authority.)
Is the Trust a Financial Institution?*	Yes (go to section 4) ☐	No (go to section 5) ☐

* A Financial Institution is an investment entity, a custodial institution or a depository institution. For further details please refer to HMRC (or equivalent) tax guidance on the implementation of the US Foreign Account Tax Compliance Ac (known as "FATCA"), EU Directive 2011/16/EU, the Crown Dependencies and Overseas Territories Agreements on exchange of tax information (known as "CDOT") and the global Agreement on the Automatic Exchange of Financial Account Information (known as "CRS"), collectively known as "FATCA".

Section 4 – The Trust is a Financial Institution

Please provide a Global Intermediary Identification Number ("GIIN")*

* A GIIN is obtained by registering with the United States Internal Revenue Service ("IRS").
Further details are available from the IRS at www.irs.gov/Businesses/Corporations/Information-for-Foreign-Financial-Institutions

Please confirm whether it is the GIIN of the Entity or the Sponsoring Financial Institution:

Entity ☐ Sponsoring Financial Institution ☐ Name of Sponsoring Financial Institution:

If you are unable to provide a GIIN, please give reasons below:

Section 5 – The Trust is NOT a Financial Institution

If the Trust is not a Financial Institution it is considered to be a Non-Financial Entity ("NFE") for FATCA purposes.
Please confirm the status of the Trust according to HMRC:

Active NFE ☐ (go to Section 6)* Passive NFE ☐ (complete the rest of this section)

Other ☐ (provide details and go to Section 6): Details:

* The most common example of an Active NFE in the case of a Trust is one that is conducting trading activites and meets certain conditions such as an active income test. If the Trust is not an Active NFE it will be a Passive NFE. For further details see the HMRC guidance available at www.gov.uk/government/publications/uk-us-automatic-exchange-of-information-agreement

Where the Trust is a Passive NFE, please list below the details of each controlling person of the Trust:

Name	Country of Tax Residence	Tax Identification Number	Country of Birth	Date of Birth
Trust Name				
First Beneficiary				
Second Beneficiary				
First Trustee				
Second Trustee				
Third Trustee				

If there are more than two Beneficiaries or more than three Trustees, please provide in Section 7 the above information for each additional Beneficiary and/or each additional Trustee. If any other person controls the Trust, please provide these details in Section 7. You are recommended to take advice on the definition of "controller" or alternatively refer to HMRC's guidance on FATCA.

If the Trust is a "Direct Reporting NFE" or a "Sponsored Direct Reporting NFE" please confirm this in Section 7 and provide the GIIN of the NFE or its Sponsoring Entity as applicable.

Section 6 – Adviser Charge

You may specify a fixed amount or a percentage. If you request us 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 (this is facilitated by Puma Heritage plc)	£	%
Ongoing Adviser Charge (this is facilitated by Puma Heritage plc)	£	%

Tick here if Puma Heritage plc is to facilitate the payment of VAT in addition to the amounts specified above: ☐ Initial ☐ Ongoing

Section 7 – Declaration

This Declaration must be signed by at least three Trustees or, if there are less than three, all Trustees. By signing this Declaration, the Trustees confirm that:

1. The information provided in this form is, to the best of the Trustees' knowledge and belief, accurate and complete.
2. The Trustees have read and understood the Puma Heritage plc Prospectus in particular the section headed "Risk Factors".
3. The Trustees agree to be bound by the Terms and Conditions of Application set out in the Prospectus. Where the Trustee's have agreed to pay the Trust's Financial Adviser Initial and/or Ongoing Adviser Charges, as indicated in Section 6.
4. The Trustees undertake to advise Puma Investment Management Ltd ("Puma Investments") promptly of any change in circumstances which causes the information contained in this form to become incorrect or incomplete and to provide Puma Investments with an updated declaration within 30 days of such a change in circumstances. This includes details of any beneficiaries who receive a discretionary distribution in future and whose details have not yet been included in this form, including controlling persons.
5. The Trustees acknowledge that, in certain circumstances, Puma Investments will be obliged to share this information with UK tax authorities who may pass it on to the tax authorities of other countries.
6. The Trustees consent to Puma Heritage plc facilitating the payment to the Financial Adviser (named in Section 9) of the Adviser Charge(s) (set out in Section 6) plus VAT (if applicable).

Signature of First Trustee	
Name	
Date	
Signature of Second Trustee	
Name	
Date	
Signature of Third Trustee	
Name	
Date	

Data Protection

Please note that your personal details will not be passed to any other third parties without your consent and so will not be used for any marketing purposes other than as set out here. The personal information in this Application Form shall be stored on a database and shall be used by SLC Registrars and Puma Investments to process your application. Puma Investments, and its affiliates, would like to keep you infomed with the latest chaged to our offerings that we think are relevant to you. If you would like to recieve these marketing materials from us, please tick this box. ☐

Mailing prefrence

The printing and postage costs of sending out the Heritage plc annual and interim reports are paid for by Heritage plc itself. Therefore, to reduce waste and help to cut costs, we will default to sending these to you electronically via the email address provided above. Please tick the box if you would prefer to receive these by post. You can update your preference at any time by calling us on 020 7408 4100. ☐

Section 8 – Further Information

Please use this section to provide further information in connection with this cerificiation, including in particular the details of any additional trustees (not listed in sections 2 or 5, if applicable) or additional beneficiaries (not listed in sections 1 or 5, if applicable).

These sections are to be completed by the Financial Adviser

Section 9 – 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 10 – Please provide the bank details into which the Adviser Charge should be paid

Account Name	
Account Number	
Sort code	
Bank Name	

Section 11 – 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.
4. You have verified the identity of the Applicant (and, where applicable, any Representative(s)) in accordance with the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 and confirm that documentary evidence has been obtained and identify checks have been undertaken to confirm that the Applicant's (and Representative(s), if applicable) name and address as shown on this Application are correct. You agree to provide the Company and the Promoters with copies of the identity checks carried out if requested to do so.
   Where you have completed section 8:
5. You have agreed with the Applicant that Puma Heritage plc can facilitate the payment to you of the Adviser Charge(s) set out in section 8, plus VAT (if applicable).

Signature of Financial Adviser		Date	

For further information and copies of the Information memorandum please contact:

PUMA INVESTMENTS

Bond Street House
14 Clifford Street London, W1S 4JU
Advisor Enquiries: 020 7408 4070
Investor Enquiries: 020 7408 4100

E: info@pumainvestments.co.uk
www.pumainvestments.co.uk

Prospective shareholders should not subscribe for any Shares referred to in this Application Form except on the basis of the Prospectus, a copy of which is available from Puma Heritage or Puma Investments. Puma Investments is the trading name of Puma Investment Management Limited which is authorised and regulated by the Financial Conduct Authority, FRN 590919.

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