

# Application Form Guidance

PLEASE NOTE THAT CAPITALISED TERMS NOT OTHERWISE DEFINED IN THIS APPLICATION FORM HAVE THE MEANINGS GIVEN TO THEM IN THE DOCUMENT ENTITLED 'PUMA AIM INHERITANCE TAX SERVICE: INVESTOR AGREEMENT' (REFERRED TO IN THIS APPLICATION FORM AS THE "INVESTOR AGREEMENT").

## Step 1: Complete the form

- Before you can apply for the Puma AIM Inheritance Tax Service you must read the following documents:
  - the Investor Agreement, including the section entitled 'Custodian Terms' and,
  - if you are investing in a Puma AIM IHT ISA, the section entitled 'ISA Terms'; and the Investment Details.
- All Applicants should then complete Part 1.
- If you are investing in the Puma AIM IHT Service through a Financial Adviser or Intermediary, your Financial Adviser or Intermediary (as applicable) should also complete Part 3.

## Step 2: Return the form

- If you are investing through a Financial Adviser, you should send the Application Form to your Financial Adviser who will complete Part 3.
- The Application Form should be accompanied by a cheque(s) or duly endorsed bankers' draft(s) drawn on a UK clearing bank made payable to "Pershing Securities Ltd. Client Hub Account".
- Alternatively, you may transfer funds via BACS/CHAPS, account details are available from Puma Investments on request.
- You will receive an acknowledgment of receipt of your application.
- We will then confirm whether or not we have accepted your application to invest in the Puma AIM IHT Service.

### RETURN YOUR COMPLETED APPLICATION FORM TO:

Puma Investments (Shore Capital)  
2nd Floor, Bond Street House  
14 Clifford Street  
London  
W1S 4JU

If you have any questions you should contact:

Puma Investments

☎ Adviser Enquiries: 020 7408 4070

☎ Investor Enquiries: 020 7408 4100

✉ [info@pumainvestments.co.uk](mailto:info@pumainvestments.co.uk)

[www.pumainvestments.co.uk](http://www.pumainvestments.co.uk)

Please note that no investment or tax advice can be given by Puma Investments.



PUMA AIM  
INHERITANCE  
TAX SERVICE

Calculated Excellence

APPLICATION  
FORM



# 02 Application Form for the Puma AIM IHT Service

## Part 1: Applicant's Details

### Section 1 – Applicant's Personal Details

Title (Mr/Mrs/Miss/Ms/Other)	
First name(s)	Last name
Date of Birth (DD/MM/YYYY)	National Insurance Number
Country of birth	
Permanent Address	
Postcode	
Mailing Address (for instance, Representative's address)	
Postcode	
Email	
Telephone (home)	Telephone (work)
Telephone (mobile)	
Name(s) of Representative (leave blank if not applicable)	

### Section 2 – Tax Residency

Please indicate all countries in which you are resident for the purposes of that country's income tax.

If you 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

### Section 3 – Applicant's Investment, Minimum of £15,000

There are three ways to access the Puma AIM IHT Service. Please indicate which method, or combination of methods, you would like to use. Tick as appropriate and fill in amount:

1. Open a new ISA	<input type="checkbox"/>	Amount	£	<input type="text"/>
2. Transfer an existing ISA	<input type="checkbox"/>	Amount	£	<input type="text"/>
3. Invest outside of an ISA	<input type="checkbox"/>	Amount	£	<input type="text"/>
<b>Application Total</b>		<b>Amount</b>	£	<input type="text"/>

If you would like us to contact you about investing in a Tax Year other than the current Tax Year, please indicate so here.

\*Please note that you may request the transfer of amounts invested outside a Puma AIM IHT ISA into a Puma AIM IHT ISA at any time. If you would like to set up a standing instruction to do this on a regular basis, please tick this box and we will contact you to arrange.

#### Section 4 – Applicant’s Bank Account Details for Receipt of Payments from the Puma AIM IHT Service

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

#### Section 5 – Adviser Charge to Financial Adviser (only complete this Section if the Applicant was advised to invest in the Service by a Financial Adviser)

Do you wish Puma Investments to facilitate the payment to your Financial Adviser of an Adviser Charge as indicated by your Financial Adviser in Section 13 on page 6?

Tick as appropriate: YES  NO

#### Section 6 – Applicant’s Declaration – To be completed by the Applicant named in Section 1

By signing this Application Form, **I HEREBY CONFIRM THAT:**

- I have read and understood the Investor Agreement (including the Custodian Terms and, where applicable, the ISA Terms) and the Puma AIM IHT Service Investment Details (in particular the section headed “Risk Factors”).
- I have read Puma Investments’ Privacy Statement and understand the purposes for which my personal data will be used to process my application.
- I agree to be bound by the Investor Agreement, the Investment Details, the Custodian Agreement and the representations and declarations given by me and, if applicable, my Financial Adviser or Intermediary in this Application Form.
- The information contained in this Application Form relating to me is true and accurate as at the date of signing this Application Form.  
I agree to notify Puma Investments promptly of any change in my circumstances which may affect this information.
- I authorise Puma Investments, Shore Capital Stockbrokers Limited (“**Shore Capital**”) and Pershing Securities Limited (the “**Custodian**”) to carry out their respective roles in providing the Puma AIM IHT Service to me on the basis set out in the Investor Agreement.
- I consent to Puma Investments’ and the Custodian’s execution policies (respectively) and for Puma Investments and the Custodian to execute orders outside of a regulated market or Multi-Lateral Trading Facility.
- I consent to Puma Investments and the Custodian providing information by electronic means which both are obliged to send.
- Unless separately agreed with Puma Investments, distributed income from Investments shall be reinvested in my Portfolio.
- Where I have received advice from a Financial Adviser as to the suitability of the Puma AIM IHT Service I confirm I will continue to receive such advice on an on-going basis until I notify Puma Investments otherwise.
- I have not received investment or tax advice from Puma Investments or the Custodian and I understand that such advice cannot be provided by Puma Investments or the Custodian.
- I consent to Puma Investments facilitating the payment to the Financial Adviser (named in Section 11) of the Adviser Charge (set out in Section 13) plus VAT (if applicable).

**Note: Statement 11 shall only apply where you have indicated in Section 5 above that Puma Investments is to facilitate payment to your Financial Adviser of an Adviser Charge.**

Signature of Applicant/Representative	Date
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#### Data Protection

Puma Investments is the data controller and will process your personal data including the sharing of it with specified third parties for the purposes described in the investor agreement

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.

## 04 Part 2: ISA Application Form

ONLY COMPLETE THIS PART 2 IF YOU WISH TO INVEST IN THE PUMA AIM IHT SERVICE THROUGH A PUMA AIM IHT ISA. THE PUMA AIM IHT ISA IS ADMINISTERED BY SHORE CAPITAL STOCKBROKERS LIMITED AS THE ISA MANAGER.

### Section 7 – Applicant's Investment

Do you wish to transfer an existing ISA to the Puma AIM IHT ISA? (Tick as appropriate)

No, I wish to set up a new ISA  (please complete Section 10)

Yes, I wish to transfer an existing ISA to a Puma AIM IHT ISA  (please complete all of this Part 2)

### Section 8 – Value of ISA to be Transferred, Minimum of £15,000

What is the estimated value of the ISA(s) you are transferring

£

### Section 9 – Transfer (if the Applicant needs multiple instruction forms, please photocopy this sheet and complete)

Instruction to existing ISA Manager:

Please transfer the Applicant's existing ISA to Shore Capital as instructed below.

#### EITHER:

Please sell the Applicant's entire holding

and provide the estimated value of that entire holding

£

#### OR:

Please sell the following amount from the Applicant's holding

£

Name of existing ISA Plan Manager

Address of existing  
ISA Plan Manager

Postcode

Account Number of existing ISA

Account Name

Applicant's Signature

Date

**Note to existing ISA Manager: Shore Capital confirms that it is willing to accept the transfer in the form of cash only.**

## Section 10 – Applicant’s ISA Declaration and Authority

**If I am applying to subscribe for a Puma AIM IHT ISA, by signing this ISA Declaration and Authority I apply to subscribe to a stocks and shares ISA for the current tax year.**

**I HEREBY CONFIRM AND DECLARE THAT:**

1. All subscriptions made, and to be made, belong to me.
2. I am 18 years of age or over.
3. I have not subscribed, and will not subscribe, more than the overall subscription limit in total to a cash ISA and a stocks and shares ISA in the same tax year.
4. I have not subscribed, and will not subscribe, to another stocks and shares ISA in the same tax year that I subscribe to this Puma AIM IHT ISA.

**If I am applying to subscribe for a PUMA AIM IHT ISA or I am investing by way of ISA Transfer.**

**I HEREBY CONFIRM AND DECLARE THAT:**

1. **Applicable for current tax year ISA transfers only** – I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of Income Tax (Earnings and 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 Puma Investments (which will inform Shore Capital) if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.
2. The information given by me in this Application Form is correct to the best of my knowledge and belief. I agree to notify Puma Investments promptly (which will notify Shore Capital) of any change in my circumstances which may affect this information.
3. I agree to be bound by the ISA Terms contained in the Investor Agreement.

**If I am applying to subscribe for a Puma AIM IHT ISA or I am investing by way of ISA Transfer.**

**I AUTHORISE SHORE CAPITAL:**

1. To hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash.
2. To make on my behalf any claims to relief from tax in respect of ISA investments.
3. Where I am transferring a cash ISA, it will be transferred into a stocks and shares ISA.

Applicant’s Signature

Date

## 06 Part 3: Financial Adviser and Intermediary

THESE SECTIONS ARE TO BE COMPLETED BY THE APPLICANT'S FINANCIAL ADVISER OR INTERMEDIARY.

### Section 11 – Financial Adviser/Intermediary Details

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

### Section 12 – Client Categorisation

Please confirm the regulatory classification of the client:

Retail Client	<input type="checkbox"/>
Professional Client	<input type="checkbox"/>

### Section 13 – Adviser Charge

You may specify a fixed amount or a percentage. If you request us to facilitate an initial Adviser Charge on a percentage basis, such Adviser Charge will be calculated as a percentage of the monies the Applicant uses to invest into the Puma AIM IHT Service.

If you request us to facilitate an Ongoing Adviser Charge on a percentage basis, the charge will be calculated as a percentage of the value of the Applicant's portfolio as at 31 December annually. You should make the Applicant aware that the level of Ongoing Adviser Charge may increase over time in the event that the value of the Applicant's portfolio grows.

Initial Adviser Charge	£		%
Ongoing Adviser Charge	£		%
Tick here if you have included VAT in the above to be facilitated by Puma Investments			<input type="checkbox"/>

### Section 14 – Please complete the bank details to which the Adviser Charge should be paid

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

## Section 15 – Financial Adviser/Intermediary Declaration

Where the Applicant has been advised to invest in the Puma Aim IHT Service, the Financial Adviser named in Section 11 confirms the following:

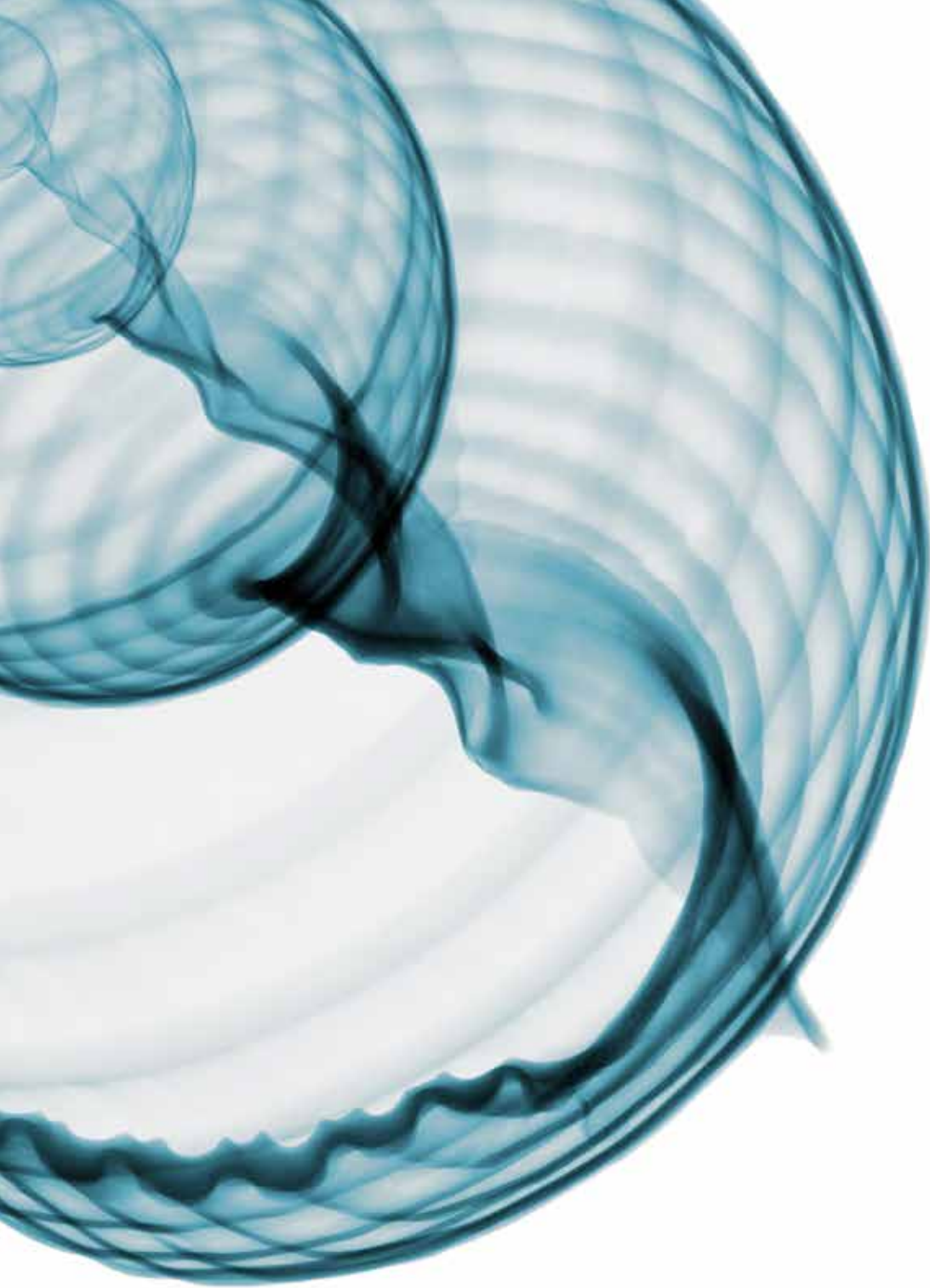
1. The Financial Adviser has read and understood the Puma AIM IHT Service Investment Details.
2. The Financial Adviser has reviewed a copy of the Terms of Business for Intermediaries, a copy of which is available on the Puma Investments website at [www.pumainvestments.co.uk](http://www.pumainvestments.co.uk) and agrees to be bound by its terms.
3. The Financial Adviser has verified the identity of the Applicant in accordance with the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 and confirms that documentary evidence has been obtained and identify checks have been undertaken to confirm that the Applicant name and address as shown on this Application are correct.
4. The Financial Adviser has categorised the Applicant for the purposes of FCA Rules as either a Retail Client or a Professional Client, as indicated in Section 12 above.
5. The Financial Adviser has assessed that an investment in Puma AIM Service meets the applicant's objectives, that he/she has the expertise, experience and knowledge to understand the risks and that he/she is able to bear the associated risks involved in such an investment.
6. The Financial Adviser has provided a Personal Recommendation to the Applicant that the Puma AIM Service and the Customer Mandate contained in the Investment Details are suitable.
7. If Puma Investments accepts the Applicant's application, the Financial Adviser will (as applicable) provide a suitability report to the Applicant, the contents of which shall comply with the requirements of chapter 9.4 of COBS.
8. In the event that the Financial Adviser ceases to act for the Applicant for any reason whatsoever, the Financial Adviser shall notify Puma Investments immediately and take such steps as are set out in the Intermediary Terms.

(Where the Financial Adviser has completed Section 13):

9. The Financial Adviser has agreed with the Applicant that Puma Investments can facilitate the payment to the Financial Adviser of the Adviser Charge(s) set out in Section 13, plus VAT (if applicable).
10. The Financial Adviser agrees that Puma Investments will not be liable to the Financial Adviser in respect of any Adviser Charges owed to the Financial Adviser, where the Applicant asks Puma Investments not to pay an Adviser Charge.

Signature of Financial Adviser/  
Intermediary (as applicable)

Date



For further information please contact:



Bond Street House  
14 Clifford Street London W1S 4JU

Adviser Enquiries: 020 7408 4070  
Shareholder Enquiries: 020 7408 4100

E: [info@pumainvestments.co.uk](mailto:info@pumainvestments.co.uk)  
[www.pumainvestments.co.uk](http://www.pumainvestments.co.uk)

Puma Investments is a trading name of Puma Investment Management Limited which is authorised and regulated by the Financial Conduct Authority. FCA Number 590919

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