

Application Form Guidance

Step 1

You can only invest in Puma Alpha EIS through a Financial Adviser who has assessed that an investment in Puma Alpha EIS is suitable for you.

- You should read the Investment Details and Investor Agreement, including the section entitled 'Custodian Terms', for the Puma Alpha EIS Fund before applying.
- Representatives such as those with Power of Attorney (POA) should complete the Application Form with details of the Applicant.

Before you submit this Application Form, please tick the following to confirm:

- You have completed Sections 1-6
- Your Financial Adviser has completed Sections 7-10.

In all cases, we will endeavour to confirm the identity of our customers using an electronic verification system. Therefore you do not need to send us identity documentation with your application. Sometimes these electronic verification checks are not successful, for example, electronic verification will not be possible if you reside overseas.

If the electronic verification check is not successful, you or your Financial Adviser will need to provide two pieces of identity documentation:

- An Identity Verification Certificate from a Financial Adviser or Intermediary listed on the FCA Register or, where you do not have a certificate you have supplied the following:
 - (a) A copy of your passport or driving licence certified by a bank or solicitor stating it is a "true copy of the original and a true likeness of" followed by your name; and
 - (b) An original or certified copy of a bank or building society statement or utility bill being no more than 3 months old showing your name and address.
- 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 (see above);
 - Signed section 6 on behalf of the Applicant.

Step 2

WHAT IS THE NEXT STAGE?

- You or your Financial Adviser should send this Application Form to the address shown below.
- You can pay the amount to be invested as follows:

By Cheque: Cheques should be made payable to "**Pershing Securities Ltd. Client Hub Account**". Cheques must be drawn on a UK clearing bank.

By Bank Transfer: 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.
- You have the right to cancel your investment within 14 days of receipt of acknowledgment. Please refer to the Investor Agreement for further information.

RETURN YOUR COMPLETED APPLICATION FORM TO:

Investor Services
Puma Investments
Cassini House
57 St James's Street
London SW1A 1LD



PUMA ALPHA EIS
Calculated Excellence

APPLICATION
FORM



Application Form for Puma Alpha EIS

Section 1 – Applicant's Personal Details

First name(s)		
Last name	Title (Mr/Mrs/Miss/Ms/Other)	
Date of Birth (DD/MM/YYYY)	National Insurance Number	
Permanent Address		
	Postcode	
Mailing Address (if different)		
	Postcode	
Country of Birth	Nationality	
Email		
Telephone Number(s)		

Is there a registered Power of Attorney in place for this application? Yes No If you answered 'No' please proceed to Section 2.
If you are acting as Attorney, please include a certified copy (which must be an original version) of the POA document and verification of identity documents for each Attorney. In all cases we 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	

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 a US resident, you must complete and return an IRS (Internal Revenue Service) W-9 form and include and 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.	

Section 3 – Applicant's Investment

Total Application Amount (It must be for a minimum of £15,000)	£
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Section 4 – Adviser Charge

You should only complete this Section 4 where it is agreed that Adviser Charges will be paid by you to the Financial Adviser named in Section 7. You may specify a fixed amount or a percentage. If you request to facilitate an initial Adviser Charge on a percentage basis, any Adviser Charge will be calculated as a percentage of the monies you use to invest into Puma Alpha EIS. Ongoing Adviser Charges will be calculated as a percentage of the value of your initial application amount. Ongoing Adviser Charges can be paid for a **maximum of four years**. Any Adviser charge will be deducted from the application amount.

Initial Adviser Charge	£	%
Ongoing Adviser Charge	£	%

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

Section 5 – Applicant’s Bank Account Details for Receipt of Payments from Puma Alpha EIS

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

Section 6 – Applicant’s Declaration

By signing this Application Form, You confirm that:

1. You have read and understood the Puma Alpha EIS Investment Details dated 19 December 2019, in particular the section headed "Risk Factors".
2. You have read 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 set out in the Investor Agreement dated 19 December 2019, the Custodian Terms and the representations and declarations given by you and your financial adviser or intermediary in this Application Form.
4. The information contained in this Application Form in relation to you is true and accurate as at the date of the Application Form.
5. You consent to Puma Investments' execution policy.
6. You consent to Puma Investments and the Custodian providing information by electronic means which both are obliged to send.
7. You wish to seek EIS Relief for your Investments. Please notify Puma Investments if this is not the case.
8. You shall notify Puma Investments if you are or become aware that any Investment made through the Puma Alpha EIS is in a company with which you are connected, within the meaning of sections 166, 167, 170 and 171 Income Tax Act 2007.
9. You shall notify Puma Investments if, within three years of the date of an issue of shares, you become connected with or receive value from, the relevant Qualifying Company.
10. You consent to Puma Investments facilitating the payment of the Adviser Charges plus VAT (if applicable) (set out in Section 4).

Signature of Applicant/Representative(s)	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.

Mailing Preferences

To reduce waste and help to cut costs, we will default to sending you notice by email (or by post, if no email address has been provided) when the investor documents and notices have been published to the following website: www.pumainvestments.com.

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

You can update your preference at any time by calling us on 020 7408 4100.

THESE SECTIONS ARE TO BE COMPLETED BY THE APPLICANT'S 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 – Client Categorisation

Please confirm the regulatory classification of the client:

Retail Client
 Elective Professional Client

Section 9 – IF PUMA INVESTMENTS IS TO FACILITATE THE PAYMENT OF THE ADVISER CHARGE PLEASE COMPLETE THE BANK DETAILS TO WHICH IT SHOULD BE PAID

Account Number		
Account Name	Sort code	
Bank Name		

Section 10 – Financial Adviser Declaration

Please confirm by ticking the boxes below that:

1. You have read and understood the Puma Alpha EIS Investment Details dated 19 December 2019.
2. You have reviewed a copy of the Intermediary Agreement relating to Puma Alpha EIS (which is available on the Puma Investments website) and agree to be bound by its terms and conditions.
3. You have assessed that an investment in Puma Alpha EIS meets the Applicant's objectives, that he or she has the expertise, experience and knowledge to understand the risks and that he or she is able to bear the associated risks involved in such an investment.
4. You have agreed with the Applicant that Puma Investments can facilitate the payment of Adviser Charge set out in Section 4.

Signature of Financial Adviser	Date	
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For further information please contact:



Cassini House
 57 St. James's Street
 London SW1A 1LD
 Adviser Enquiries: 020 7408 4070
 Investor Enquiries: 020 7408 4100

info@pumainvestments.co.uk
www.pumainvestments.co.uk/advisor-puma-alpha-eis

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