

DECEMBER 2025

Application Form

PUMA HERITAGE CORPORATE
ESTATE PLANNING SERVICE



PUMA
INVESTMENTS

Completing your application in three simple steps

Please note that the words and expressions used in this form have the same meanings given to them in the document titled Puma Heritage Corporate Estate Planning Service Investment Overview.

1 Before completing the Application Form

Suitability

Puma Heritage Corporate Estate Planning Service (the “Service”) offers the opportunity to become a Member of Oasis Lending LLP (the “LLP”) which involves a high degree of risk and may not be suitable for all companies interested in becoming Members.

Please note that the LLP can only accept applications once a Financial Adviser has assessed that a capital contribution into the LLP is suitable, that you have the expertise, experience and knowledge to understand the risks, and that you are able to bear the associated risks involved in such an investment.

Documents you must read

Before you, the applicant company (the “Applicant”) can apply, you must read the following documents:

- Investment Overview
- Oasis Lending LLP Agreement
- Deed of Adherence

Verification of identity

In all cases, we will endeavour to confirm the identity of the Applicant, its shareholders and directors using an electronic verification system. Therefore, you do not need to send us identity documentation with your application. If the electronic verification checks on any individual shareholders or directors of the company are not successful, we will ask you to provide two pieces of identity documentation:

1. Certified copy of one government-issued, photo ID document to evidence an individual's identity – such as driving licence or passport (documents must be valid and in date); and
2. Certified evidence of an individual's address such as a utility bill or bank statement (documents must be dated within the last three months).

The name and address detailed on the verification documents must be the same as the name and address provided on this Application Form. They will need to be certified as true copies of the originals by a doctor, accountant, solicitor or Financial Adviser.



We are here to help

Please speak to a Financial Adviser in the first instance, as we cannot offer investment or tax advice.

If you have any questions regarding completing the Application Form, please:

call us on **020 7096 8452**

email **clientonboarding@pumainvestments.co.uk**

or visit **www.pumainvestments.co.uk**

2 Complete the form

Section 1

The Applicant should complete Section 1 in full.

Section 2

Your Financial Adviser should complete Section 2 in full.

3 Return the form and arrange payment

The Applicant or its Financial Adviser should return the completed Application Form to Puma Investments. Once reviewed, Puma Investments will return a partially completed Deed of Adherence to the Oasis Lending LLP agreement, which the Applicant will need to review, sign and return.

By email

clientonboarding@pumainvestments.co.uk

By post

Puma Investments
Attn: Client Onboarding
Cassini House
57 St James's Street
London SW1A 1LD

You will receive an acknowledgment of receipt of your application from Puma Investments. The Management Committee of the LLP shall decide whether to accept your application, at its discretion.

You can pay the amount to be contributed to the LLP as follows:

By cheque

You should send a cheque(s) or duly endorsed banker's draft(s) drawn on a UK clearing bank made payable to "Oasis Lending LLP".

By bank transfer

Account details are available from Puma Investments following acceptance of your application. You will be provided with a unique reference number, which should be quoted when instructing the payment.

SECTION 1 (A) – APPLICANT DETAILS

Applicant's full company name	
Company registration number	
Country of incorporation	
Company registered address	Postcode
Company correspondence address (if different)	Postcode
Email	
Telephone	

Company's bank account details for future payments

Bank	
Account name	
Account number	
Sort code	

Foreign account reporting

In adherence to the mandates of the U.S. Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standard (CRS), Puma, as a financial institution, must comply with a number of compliance requirements around due diligence and reporting. A component of these responsibilities is the acquisition and maintenance of current tax residency data for our investors. Additionally, we are required to ascertain the FATCA/CRS classification status of our Entity account holders. This process ensures that Puma operates in full compliance with international tax regulations, thereby safeguarding both our clients and our institution.

Puma Investments is unable to provide any advice relating to your company's classification and recommend you speak with a tax advisor.

Tax residency

Please state the country(ies) in which your company is resident for tax purposes and the relevant tax identification number.

Company's country(ies) of tax residence	
Tax Identification Number (TIN)	

FATCA entity classifications

Please provide the company's status by completing the relevant section (i or ii) below. The definition for each entity classification can be found below.

i. Financial Institution

- Registered Deemed-Compliant FFI – Reporting Model 1 FFI¹
- Participating FFI – Reporting Model 2 FFI²

If you are classified as either of the above, please provide your Global Intermediary Identification Number ("GIIN"):

ii. Non-Financial Entities

- Active Non-Financial Entity³
- Passive Non-Financial Entity⁴

¹ This is a foreign financial institution (FFI) that has registered with the IRS and is located in a jurisdiction that has an intergovernmental agreement (IGA) with the U.S. to report information about U.S. account holders under Model 1. These FFIs report this information to their local tax authority, which then shares it with the IRS.

² This FFI has agreed to comply with the terms of an FFI agreement with the IRS and is located in a jurisdiction that has an IGA under Model 2. It is responsible for reporting specified information about U.S. accounts directly to the IRS.

³ Is a foreign entity that is primarily engaged in a business other than financial services, and meets certain criteria that prevent it from being considered a Passive NFFE. This includes entities that derive less than 50% of their income from passive investments and are not primarily engaged in investment activities.

⁴ Is an entity that is not engaged in an active business and typically earns income from passive investments like dividends, interest, rents, and royalties. Such entities are subject to reporting if they have substantial U.S. owners.

CRS entity classifications

Please provide the company's status by completing the relevant section (i or ii) below. The definition for each entity classification can be found below.

i. Financial Institution

Financial Institution – Investment Entity¹

ii. Non-Financial Entities

Active Non-Financial Entity²

Active Non-Financial Entity – Publicly Traded³

Active Non-Financial Entity – Other⁴

Passive Non-Financial Entity⁵

¹ Under CRS, an Investment Entity is an entity that primarily conducts as a business one or more of the following activities: trading in money market instruments, foreign exchange, exchange, interest rate and index instruments, transferable securities, or commodity futures trading; individual and collective portfolio management; or otherwise investing, administering, or managing funds or money on behalf of other persons.

² Is an entity that is active in its business operations and is not primarily engaged in investing, reinvesting, or trading in financial assets if the entity is managed by another entity that is not a Financial Institution.

³ A corporation whose shares are regularly traded on one or more established securities markets, or a corporation related to such publicly traded companies.

⁴ An entity not covered by other specific definitions, typically engaged in a trade or business where the primary source of income is not derived from the financial assets it holds (for example, a start-up NFE or a non-profit NFE).

⁵ An entity that is not an Active NFE. The income of a Passive NFE generally comes from passive sources such as dividends, interest, rents, royalties, or capital gains. Financial Institutions are required to report information on the controlling persons of Passive NFEs.

SECTION 1 (B) – SHAREHOLDER DETAILS

Please provide details for all shareholders that own, directly or indirectly, 25% or more of the shares in the Applicant or hold, directly or indirectly, 25% or more of the voting rights in the Applicant.

Shareholder 1

Title (Mr/Mrs/Miss/Ms/Other)	
First name(s)	
Middle name(s)	
Last name	
Date of birth	
Nationality	
National Insurance Number	
Ownership in company	%
Company director	<input type="checkbox"/> Yes <input type="checkbox"/> No
Permanent address	Postcode
Email	
Telephone	
Is this shareholder tax resident in the UK?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is this shareholder tax resident in a country other than the UK?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If you answered "Yes" above, please provide details for all countries of tax residency	
Country	Tax Identification Number (TIN)

Shareholder 2

Title (Mr/Mrs/Miss/Ms/Other)	
First name(s)	
Middle name(s)	
Last name	
Date of birth	
Nationality	
National Insurance Number	
Ownership in company	%
Company director	<input type="checkbox"/> Yes <input type="checkbox"/> No
Permanent address	Postcode
Email	
Telephone	
Is this shareholder tax resident in the UK?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is this shareholder tax resident in a country other than the UK?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If you answered "Yes" above, please provide details for all countries of tax residency	
Country	Tax Identification Number (TIN)



Shareholder 3

Title (Mr/Mrs/Miss/Ms/Other)	
First name(s)	
Middle name(s)	
Last name	
Date of birth	
Nationality	
National Insurance Number	
Ownership in company	%
Company director	<input type="checkbox"/> Yes <input type="checkbox"/> No
Permanent address	Postcode
Email	
Telephone	
Is this shareholder tax resident in the UK?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is this shareholder tax resident in a country other than the UK?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If you answered "Yes" above, please provide details for all countries of tax residency	
Country	Tax Identification Number (TIN)

Shareholder 4

Title (Mr/Mrs/Miss/Ms/Other)	
First name(s)	
Middle name(s)	
Last name	
Date of birth	
Nationality	
National Insurance Number	
Ownership in company	%
Company director	<input type="checkbox"/> Yes <input type="checkbox"/> No
Permanent address	Postcode
Email	
Telephone	
Is this shareholder tax resident in the UK?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Is this shareholder tax resident in a country other than the UK?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If you answered "Yes" above, please provide details for all countries of tax residency	
Country	Tax Identification Number (TIN)

For additional shareholders of the Applicant, please include their details in the additional information section at the end of this Application Form.

Power of Attorney

If there is a registered Power of Attorney ("POA") acting on behalf of any of the above shareholders, please contact Puma Investments' Client Onboarding Team for confirmation of our requirements.

SECTION 1 (C) – DIRECTOR DETAILS

Please only complete this section with details of any additional directors who have not been indicated in Section 1 (B).

Director 1

Full name	
Date of birth	
Nationality	
National Insurance Number	
Permanent address	Postcode
Email	
Telephone	
Country(ies) of tax residency (please list all)	
Tax Identification Number (please provide if tax resident in a country other than the UK)	

Director 2

Full name	
Date of birth	
Nationality	
National Insurance Number	
Permanent address	Postcode
Email	
Telephone	
Country(ies) of tax residency (please list all)	
Tax Identification Number (please provide if tax resident in a country other than the UK)	

For additional directors of the Applicant, please include their details in the additional information section at the end of this Application Form.

Power of Attorney

If there is a registered Power of Attorney (“POA”) acting on behalf of any of the above directors, please contact Puma Investments’ Client Onboarding Team for confirmation of our requirements.

Communication preferences

To reduce waste and help cut costs, we recommend Members receive communications by email. If you do not actively select electronic or hard-copy post communications, and you list an email address under the Applicant's personal details, we will send you communications by email. If you have selected electronic communication, please ensure an email address is included under Applicant's Personal Details. Please note if the Applicant is an existing investor, this preference will override the correspondence preference of the existing investment(s).

Electronic communication Hard-copy communication

You can update your communication preference at any time by calling 020 7096 8453 or emailing clientrelations@pumainvestments.co.uk

Data protection

Puma Investments is the data controller and will process your personal data. We will not share your details with any third parties other than for the purposes described in the Investment Overview. We would like to keep you informed of other similar Puma Investments product offerings and services that we think will be of interest to you. Please indicate if you do not want to receive these offers by any of the below channels.

Opt out of post Opt out of email Opt out of phone

You can update your marketing preferences at any time by calling 020 7096 8453 or emailing clientrelations@pumainvestments.co.uk

SECTION 1 (D) – APPLICANT CAPITAL CONTRIBUTION

Please indicate the amount of capital the Applicant would like to contribute to the LLP. There is no maximum limit on the size of capital contribution. The minimum capital contribution is £200,000.

£

It is our duty to request the following information in relation to your capital contribution as part of anti-money legislation.

Nature of business of the Applicant:

Source of funds: Please confirm that the funds that the Applicant intends to contribute into the LLP have been funded from surplus cash from the company referred to in Section 1 (A).

Yes No

If no, please specify:

Upon request, you must be able to provide accounts to demonstrate this to be the case.

SECTION 1 (E) – ADVISER CHARGE

Do you wish Puma Investments to facilitate payment to your Financial Adviser of an Adviser Charge, as indicated by your Financial Adviser in Section 2 (C)? Tick as appropriate.

Yes No

SECTION 1 (F) – APPLICANT DECLARATION

To be completed by the Applicant named in Section 1.
Representative(s) (if applicable) should sign on behalf of the Applicant.

By signing this Application Form, **THE APPLICANT CONFIRMS THAT:**

1. It received this Application Form and the Investment Overview from its Financial Adviser as named in this Application Form, who is appropriately authorised by the FCA. It has taken advice from the Financial Adviser as to the suitability of it becoming a Member of the LLP and will continue to receive such advice on an ongoing basis until it notifies the LLP and/or Puma Investments.
2. It has received, read and understood the Oasis Lending LLP Agreement, the Deed of Adherence and the Puma Heritage Corporate Estate Planning Service Investment Overview (in particular the section headed “Risk factors”).
3. It has read Puma Investments’ Privacy Statement (available at www.pumainvestments.co.uk) and understands the purposes for which its personal data will be used.
4. It agrees to be bound by the LLP Agreement and the Investment Overview, and the representations and declarations given by it and its Financial Adviser in this Application Form, and that it has the authority to become a Member of the LLP.
5. The information contained in this Application Form relating to the Applicant is true and accurate as at the date of signing this Application Form. It agrees to notify Puma Investments promptly of any change in its circumstances which may affect this information.
6. It consents to the LLP and/or Puma Investments providing by electronic means information that both are obliged to send.
7. It has not received investment, insurance or tax advice from Puma Investments or the LLP and it understands that such advice cannot be provided by Puma Investments or the LLP.
8. It has been suitably advised on the risks associated with becoming a Member of the LLP and understands that contributions made are not readily realisable.
9. It consents to Puma Investments and/or the LLP facilitating the payment to the Financial Adviser (named in Section 2 (A)) of the Adviser Charge (set out in Section 2 (C)).
10. It acknowledges that Puma Investments may be required to disclose information about its account, tax residency, TIN and personal details to HMRC, in line with the requirements of US FATCA and the CRS and agree that if its country of tax residence changes in the future, it will advise Puma Investments within 30 days of such change being effective.

Note: Statement 9 shall apply only where the Applicant has indicated in Section 1 (E) that the LLP is to facilitate payment to the named Financial Adviser of an Adviser Charge.

**Signed by authorised signatory
of the Applicant:**

Date

Position

SECTIONS 2 (A) TO (D) TO BE COMPLETED BY THE FINANCIAL ADVISER

SECTION 2 (A) – FINANCIAL ADVISER DETAILS

Company

Company stamp (if applicable)

(Please include the name of any network to which you or your firm are connected.)

FCA firm reference number			
Network code (if applicable)			
Address		Postcode	
Financial Adviser’s details		Administrator’s details (if different from Financial Adviser)	
Name		Name	
FCA Individual Reference No.		Email	
Email		Telephone	
Telephone			

SECTION 2 (B) – ADVISER CHARGE

This section should be completed only if the Applicant has ticked “Yes” in Section 1 (E).

You may specify a fixed amount or a percentage. If you request to facilitate an initial Adviser Charge on a percentage basis, the Adviser Charge will be calculated as a percentage of the monies the Applicant uses to contribute capital to the LLP.

Ongoing Adviser Charges either will be expressed as a fixed amount (payable quarterly), or will be calculated as a percentage of the value of the Member’s interests in the LLP (being a proportion of the LLP’s net asset value) as at each calendar quarter (31 March, 30 June, 30 September, 31 December). You should make the Applicant aware that the level of Ongoing Adviser Charges may increase over time in the event that the value of the membership interests in the LLP grows. The charging of VAT on an Adviser Charge is the sole responsibility of the authorised Financial Adviser. Please provide the total amount/percentage inclusive of VAT below.

Initial Adviser Charge	£	%
Ongoing Adviser Charge	£	%



Contact for fee statements

This section should be completed only if the Applicant has ticked “Yes” in Section 1 (E).

Name:	
Email:	

Please complete this section if you would like adviser charge statements to be emailed to a specific person/department, (other than the financial adviser).

SECTION 2 (C) – ADVISER BANK DETAILS

Please provide the bank details to which any Adviser Charge should be paid. This section must be completed if a charge was indicated under Section 2 (C).

Account name		
Account number		Sort code
Bank or Building Society name		

SECTION 2 (D) – FINANCIAL ADVISER DECLARATION

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

1. I have read and understood the Puma Heritage Corporate Estate Planning Service Investment Overview.
2. I have verified the identity of the Applicant in accordance with the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 (as amended) and confirm that documentary evidence has been obtained and identity checks have been undertaken to confirm that the Applicant's name and address as shown on this Application Form are correct. I agree to provide to Puma Investments, if requested upon giving reasonable notice, copies of such documentary evidence that I hold for the Applicant.
3. I have categorised the Applicant for the purposes of the FCA Rules as a professional client, as indicated in Section 2 (B) above.
4. I have assessed that the Applicant becoming a Member of the LLP and contributing capital into the LLP meets the Applicant's objectives, that the Applicant has the expertise, experience and knowledge to understand the risks and is able to bear the associated risks involved in such an investment.
5. I have provided a personal recommendation to the Applicant that the Puma Heritage Corporate Estate Planning Service is suitable.
6. If the LLP accepts the Applicant's application, I will continue to ensure for so long as I act for the Applicant, that at all times the Puma Heritage Corporate Estate Planning Service is suitable for the Applicant.
7. If the LLP accepts the Applicant's application, I will (as applicable) provide a suitability report to the Applicant, the contents of which shall comply with the requirements of the FCA Rules.

Where I have completed Section 2 (C):

8. I have agreed with the Applicant that the LLP and/or Puma Investments can facilitate the payment to my firm of the Adviser Charge(s) set out in Section 2 (C).
9. I agree that the LLP and/or Puma Investments will not be liable to my firm in respect of any Adviser Charges owed to my firm by the Applicant (including, without limitation, where the Applicant asks the LLP and/or Puma Investments not to pay an Adviser Charge to my firm).

Signature of Financial Adviser

Date

φ

Get in touch

We're here to help

PROSPECTIVE MEMBERS

We recommend you speak to a Financial Adviser in the first instance, as we cannot offer investment or tax advice.

If you have any other questions about completing this application form, please contact us on **020 7096 8452** or email us at **clientonboarding@pumainvestments.co.uk**

ADVISERS

Our expert national Business Development Team is here to help, and would be happy to discuss any of our Services or offers in more detail with you, either by phone or by visiting your offices.

Contact us on **020 7096 8451** or email us at **businessdevelopment@pumainvestments.co.uk**

For further information, please visit **www.pumainvestments.co.uk**

The information contained in this form is correct as at December 2025, and is to be read in conjunction with the Investment Overview and Oasis Lending LLP Agreement.

Cassini House
57 St James's Street
London SW1A 1LD

Puma Investments is a trading name of Puma Investment Management Limited (FCA No 590919), which is authorised and regulated by the Financial Conduct Authority. Registered office address: Cassini House, 57 St James's Street, London SW1A 1LD. Registered as a private limited company in England and Wales No 08210180.

PI002225-1225
FRM-2524