

Application Form for Trusts

PUMA HERITAGE
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 Estate Planning Service Investor Agreement.

1 Before completing the Application Form

Suitability

You can only invest in the Puma Heritage Estate Planning Service (the “Service”) through a Financial Adviser who has assessed that an investment in the Service is suitable for you, 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 can apply for the Puma Heritage Estate Planning Service you must read the following documents:

- Investor Agreement, including the section entitled ‘Custodian Terms’; and
- Investment Overview.

Verification of identity

In order to process your application, please can you provide.

Certification requirements:

- A statement that this is a true copy of the original;
- The certifier’s details (such as name, address, occupation and professional body membership number); and

- The certifier’s signature and the signature date (which must not be more than one year out of date). The certification signature and date must **be present on each page of the document.**

In all cases, we will endeavour to confirm the identity of all Trustees and Beneficiaries using an electronic verification system. Therefore, you do not need to send us identity documentation with your application. If the electronic verification checks 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 your identity – such as driving licence or passport (documents must be valid and in date); and
2. Certified evidence of your address such as 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 your 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

INVESTORS

We recommend you 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 7408 4100** or email us at

investorsupport@pumainvestments.co.uk

ADVISERS

Call us on **020 7408 4070**

email **advisersupport@pumainvestments.co.uk**

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

2 Complete the form

Sections 1-8

TRUST DETAILS, TRUSTEES, INVESTMENT AND DECLARATION

All Trustees should complete Sections 1-8 in full.

Section 9

OPTIONAL LIFE PROTECTION

All Applicants who wish to have the optional benefit of Life Protection should complete Section 9 in full.

For more information please read pages 34 and 35 of the Investment Overview, and the entire Investor Agreement.

Section 10

FINANCIAL ADVISER DETAILS

Your Financial Adviser should complete Section 10 in full.

3 Return the form and arrange payment

The Trustees or the Trust's Financial Adviser should return the completed Application Form and Trust Deed:

By email

investmentoperations@pumainvestments.co.uk

By post

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

You will receive an acknowledgment of receipt of your application from Puma Investments.

You can pay the amount to be invested 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 "**Pershing Securities Ltd. Client Hub Account.**"

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 – TRUST INFORMATION

Trust name	
Settlor name	
Date of birth	
Registered address	
	Postcode
Type of Trust	

First Beneficiary

First name(s)	
Middle name(s)	
Last name	
Date of birth	
Address	
	Postcode

Second Beneficiary

First name(s)	
Middle name(s)	
Last name	
Date of birth	
Address	
	Postcode

If there are more than two Beneficiaries please provide the names and address in Section 8.

SECTION 2 - TRUSTEE DETAILS

First Trustee

First name(s)	
Middle name(s)	
Last name	
Address	
	Postcode
Date of birth	Nationality
Country of tax residency	

Second Trustee

First name(s)	
Middle name(s)	
Last name	
Address	
	Postcode
Date of birth	Nationality
Country of tax residency	

Third Trustee

First name(s)	
Middle name(s)	
Last name	
Address	
	Postcode
Date of birth	Nationality
Country of tax residency	

Trustee personal circumstances

If relevant, please provide any information regarding the personal circumstances of the Trustee(s) which may enable Puma Investments to better serve you in regard to this investment. Circumstances may include vision or hearing impairment, poor health (both physical and mental), bereavement, neurodiversity, limited digital literacy, low financial resilience or capability. Please notify Puma Investments if the circumstances change.

Please confirm which Trustee will act as the primary point of contact for communications.

Trustee name

Mailing address

(if different from above)

Postcode

Contact email

Contact telephone number

Communication preferences

To reduce waste and help cut costs, we recommend investors receive communications by email. If you do not actively select electronic or hard copy post communications, we will send you hard copies of documents by post. If you have selected electronic communication, please ensure an email address is included in the section above.

Electronic communication Hard copy communication

You can update your communication preference at any time by calling 020 7408 4100 or emailing investorsupport@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 Investor Agreement.

We would like to keep you informed of other similar Puma Investments product offerings and services which 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 Opt out of all

You can update your marketing preferences at any time by calling 020 7408 4100 or emailing investorsupport@pumainvestments.co.uk

SECTION 3 – TRUST TAX RESIDENCY

Please indicate all countries in which the Trust is a tax resident. If the Trust is resident in the US, you must complete and return an applicable IRS (Internal Revenue Service) form.

Country of tax residency	
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Tax Identification Number (TIN)

If the Trust is solely 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.

Tax Identification Number(s) (TIN)	
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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 Act (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	
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If you are unable to provide a GIIN, please give your reasons:

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 activities 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.

	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 the above information for each additional Beneficiary and/or each additional Trustee in Section 8. If any other person controls the Trust, please provide these details in Section 8. 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 8 and provide the GIIN of the NFE or its Sponsoring Entity as applicable.

SECTION 6 (A) – TRUST’S SUBSCRIPTION

Please indicate the amount you would like to invest. There is no maximum limit on the size of the Trust’s subscription. The minimum investment amount is £25,000.	£
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SECTION 6 (B) – 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 10 (B)? Tick as appropriate.

Yes No

SECTION 6 (C) – OPTIONAL LIFE PROTECTION

Do you wish for the benefit of the Life Protection to form part of the Service? Tick as appropriate. (Please read the Investor Agreement for guidance on eligibility and restrictions).

Yes No

If you have ticked Yes, please complete Section 9.

SECTION 6 (D) – REGULAR WITHDRAWALS

Would you like to take a regular withdrawal from your portfolio?

- No. Please proceed to Section 7.
- Yes. Please specify a fixed amount: £

Please note, instructions given here will override any existing arrangement you may have. If you would like your existing arrangement to remain, leave Section 6 (E) blank.

How often would you like the above amount paid?

- Monthly Quarterly Semi-annually Annually

Annual payments are made every April, semi-annual payments are made every April and October, and quarterly payments are made every January, April, July and October.

SECTION 6 (E) – TRUST BANK ACCOUNT DETAILS

For receipt of regular withdrawals from the Puma Heritage Estate Planning Service.

Account name		
Account number		Sort code
Bank or Building Society name		

SECTION 7 – DECLARATION

Please note: This Declaration must be signed by at least three Trustees or, if there are fewer than three, all Trustees. By signing this Declaration, **THE TRUSTEES HEREBY 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 received, read and understood the Investor Agreement (including the Custodian Terms and the Puma Heritage Estate Planning Service Investment Overview (in particular the section headed "Risk factors").
3. The Trustees have read Puma Investments' Privacy Statement (available at www.pumainvestments.co.uk) and the relevant clause within the Investor Agreement and understand the purposes for which their personal data will be used.
4. The Trustees agree to be bound by the Investor Agreement, the Investment Overview, the Custodian Agreement and the representations and declarations given by the Trustees and the financial adviser in this Application Form.
5. The Trustees consent to the Manager entering into the Custodian Agreement with the Custodian, on their behalf, acting as their agent.
6. The Trustees acknowledge that their Investments will be registered in the name of the Custodian's Nominee but will be held on trust by the Nominee and we will remain beneficial owner of the Investments.
7. The information contained in this Application Form relating to the Trustees is true and accurate as at the date of signing this Application Form. The Trustees agree to notify the Manager promptly of any change in their circumstances which may affect this information.
8. The Trustees authorise the Manager and/or the Custodian to carry out their respective roles in providing the Puma Heritage Estate Planning Service to them on the basis set out in the Investor Agreement.
9. The Trustees consent to the Manager's and the Custodian's execution policies (respectively).
10. The Trustees consent to the Manager and the Custodian providing by electronic means information which both are obliged to send.
11. Unless separately agreed with the Manager, distributed income from Investments shall be reinvested in the Trustees' Portfolio.
12. The Trustees have received advice from a financial adviser as to the suitability of the Puma Heritage Estate Planning Service and will continue to receive such advice on an ongoing basis until they notify the Manager otherwise.
13. The Trustees have not received investment, insurance or tax advice from the Manager or the Custodian and they understand that such advice cannot be provided by the Manager or the Custodian.
14. The Trustees are suitably knowledgeable about the risks associated with Non-Readily Realisable Investments.
15. The Trustees consent to the Manager facilitating the payment to the financial adviser (named in Section 10) of the Adviser Charge (set out in Section 10 (B)) plus VAT (if applicable).

Signed by First Trustee

Date

Name

Signed by Second Trustee

Date

Name

Signed by Third Trustee

Date

Name

SECTION 9 (A) – OPTIONAL LIFE PROTECTION

These sections are to be completed by the Settlor or Life Tenant if the Applicant has answered 'Yes' in Section 6 (B). If the Trust has been set up by more than one Settlor or has more than one Life Tenant, please request additional Optional Life Protection questionnaires from the Investment Operations team at **020 7408 4100** or **investmentoperations@pumainvestments.co.uk**

Applicant's details

Please enter the details of the person applying for Life Protection below.

First name(s)	
Middle name(s)	
Last name	
Date of birth	

Please carefully read the Investment Overview and Investor Agreement (in particular the definitions of the Health Conditions (in Part F of the Investor Agreement)) before completing the following declarations.

All tick boxes in this section must be ticked by you for the application to be accepted. If you are unsure whether you meet the eligibility criteria of this health declaration, please refer to underwriters prior to proceeding further.

If you are completing this declaration as an attorney, please ensure you are fully appraised of the health of the donor you are representing prior to completing this declaration. If you are unsure if the donor has been diagnosed with one of the conditions below, please seek clarification from the donor's general practitioner prior to completing.

For individuals aged up to 84 years and 10 months

- I am either the Settlor or Life Tenant of the Trust.

- I confirm that as at the date this Application Form is completed, signed and dated, I am an individual aged between and including 18 years and 84 years and 10 months.

- I warrant that I have completed this Application Form to the best of my knowledge and belief, and accept any incorrect disclosure would affect my insurability under the cover provided.

- During the last five years up to the date of this declaration, I have not been diagnosed with, or received active treatment¹ for, any of the following Health Conditions, as defined in Part F of the Investor Agreement:
 - Cancer
 - Heart Disease
 - Stroke
 - Dementia and/or Alzheimer's
 - Chronic Lung Condition.

- I have not been diagnosed with a terminal illness where a UK registered doctor deems such illness cannot be cured or has progressed beyond further medical treatment, and is expected to result in death within 24 months from the date of diagnosis.

For individuals aged 84 years and 11 months to 87 years

- I am either the Settlor or Life Tenant of the Trust.

- I confirm that as at the date this Application Form is completed, signed and dated, I am an individual aged between and including 84 years and 11 months and 87 years.

- I warrant that I have completed this Application Form to the best of my knowledge and belief, and accept any incorrect disclosure would affect my insurability under the cover provided.

- During the last five years up to the date of this declaration, I have not been diagnosed with, or received active treatment¹ for, any of the following Health Conditions, as defined in Part F of the Investor Agreement:
 - Cancer
 - Heart Disease
 - Stroke
 - Dementia and/or Alzheimer's
 - Chronic Lung Condition.

- I have not been diagnosed with a terminal illness where a UK registered doctor deems such illness cannot be cured or has progressed beyond further medical treatment, and is expected to result in death within 24 months from the date of diagnosis.

- I do not require assistance with any activities of daily living (ADL), where ADL is defined as bathing/showering, personal hygiene/grooming, dressing, toilet hygiene, functional mobility and self-feeding.

¹Treatment directed immediately to the cure, or ongoing management, of the disease or injury.

SECTION 9 (B) – CORONAVIRUS CONFIRMATION

By signing this Application Form I acknowledge that the Life Protection policy for Puma Heritage Estate Planning Service does not cover, in addition to anything set out in the Investor Agreement that I have read and signed, any claim in any way caused by or resulting from:

- a) Coronavirus disease (Covid-19);
 - b) Severe acute respiratory syndrome coronavirus 2 (SARS-CoV-2);
 - c) Any mutation or variation of SARS-CoV-2;
 - d) Any fear or threat of a), b) or c) above.
-

SECTION 9 (C) – TRUST OF LIFE PROTECTION

By signing Section 9 I acknowledge that the benefit of the Life Protection and all sums payable thereunder are held by the Manager as trustee on the terms of a declaration of trust (the “Life Protection Trust”) which is flexible in form and which will permit the Manager to distribute any sums received in accordance with the Life Protection at its discretion.

I acknowledge that this is a trust for the benefit of members of my family, my dependants and those who stand to inherit my estate and that I personally may not benefit under the Life Protection Trust in any way. I understand that if necessary I may nominate further persons to be Beneficiaries under the Life Protection Trust by making a written nomination to the Manager during my lifetime.

I would like to make known to the Manager my wishes in respect of the distribution of any proceeds payable in the event of my death.

I understand that this expression of wishes is not binding on the Manager and the Manager will have the freedom to decide who among the class of Beneficiaries is to receive the proceeds in accordance with the terms of the Life Protection Trust.

Please provide details of those Beneficiaries whom you would like the Manager to consider as potential recipients of the payments under the Life Protection only. If you hold investments through the Puma Heritage Estate Planning Service at the time of your death they will form part of your estate (albeit they are intended to qualify for IHT relief if held for two years) and will pass in accordance with your Will (if you have one) or the rules relating to intestate estates (if you do not).

The Manager will contact those individuals to whom it decides to make a distribution to arrange payment if and when applicable and those individuals will need to provide proof of identity at that time.

If you wish to name more than two individuals, please include the details of each additional individual in the format set out on pages 15, on pages 18 and 19 of this Form.

SECTION 9 (D) – EXPRESSION OF WISHES

It is my primary wish that any sums payable in accordance with the Life Protection should be used to ensure that any Inheritance Tax which might be due as a result of my death within two years of my investment in the Puma Heritage Estate Planning Service can be paid without recourse to my estate. To that end it is my wish that you distribute the proceeds to those individuals set out below. Should my wishes change at any time I recognise that it is my responsibility to notify you of those changes in writing.

However, I should like you to make contact with my personal representatives following my death and, if it becomes clear to you that a distribution of the proceeds to those named below would be inconsistent with my primary wish as a result of changes made by me to my Will or my testamentary arrangements after the date of this Application Form, it is my wish that you distribute the sums payable under the Life Protection in such manner as is required to give effect to my primary wish.

If there are more than two Beneficiaries, please add the details of each additional individual, in the format set out here, in the 'Additional information' section on pages 18 and 19.

Beneficiary 1

Title	
First name(s)	
Middle name(s)	
Surname	
Date of birth	
Address	
	Postcode
Share % (if applicable)	

Beneficiary 2

Title	
First name(s)	
Middle name(s)	
Surname	
Date of birth	
Address	
	Postcode
Share % (if applicable)	

Signed by Settlor/Life Tenant Date

Name

SECTIONS 10 (A) TO 10 (D) TO BE COMPLETED BY THE FINANCIAL ADVISER

SECTION 10 (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	
Email		Email	
Telephone		Telephone	

SECTION 10 (B) – ADVISER CHARGE

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 invest into the Puma Heritage Estate Planning Service.

Ongoing Adviser Charges will be calculated as a percentage of the value of the Applicant's portfolio 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 Applicant's portfolio grows.

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.

SECTION 10 (C) – ADVISER BANK DETAILS

Please provide the bank details into which the Adviser Charge should be paid. This section must be completed if a charge was indicated under Section 6 (B).

Account name	
Account number	Sort code
Bank or Building Society name	

SECTION 10 (D) – FINANCIAL ADVISER DECLARATION

Please note: For the purposes of this declaration, “Relevant Parties” shall refer to the Trust itself; all Trustees, Settlers, Protectors and Controllers of a Trust, or any other connected party that exercises control over the Trust (whether corporate entities or individuals); and Parties holding beneficial interest in the Trust; including Beneficial Owners/Beneficiaries (whether corporate entities or individuals).

By signing this Application Form, I HEREBY CONFIRM THAT:

1. I have read and understood the Puma Heritage Estate Planning Service Investment Overview.
2. I have reviewed a copy of the Puma Heritage Estate Planning Service Terms of Business for Intermediaries (the “Intermediary Terms”), a copy of which is available on the Puma Investments website at www.pumainvestments.co.uk and agree to be bound by its terms.
3. I have verified the identity of the Relevant Parties 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 Relevant Parties’ names and addresses as shown on this Application are correct. I agree to provide to Puma Investments, if requested upon giving reasonable notice, copies of such documentary evidence which I hold for the Applicant.
4. I have assessed that an investment in the Puma Heritage Estate Planning Service meets the Relevant Parties’ objectives, that they have the expertise, experience and knowledge to understand the risks and that they are able to bear the associated risks involved in such an investment.
5. I have provided a personal recommendation to the Relevant Parties that the Puma Heritage Estate Planning Service and the Customer Mandate contained in the Investment Overview are suitable.
6. If the Manager accepts the Trustees’ application, I will continue to ensure for so long as I act for the Trustees, that at all times the Puma Heritage Estate Planning Service and the Customer Mandate are suitable for the Client.
7. If the Manager accepts the Trustees’ application, I will (as applicable) provide a suitability report to the Trustees, the contents of which shall comply with the requirements of chapter 9.4 of COBS.

Where I have completed Section 10 (B):

8. I have agreed with the Applicant that the Manager can facilitate the payment to my firm of the Adviser Charge(s) set out in Section 10 (B), plus VAT (if applicable).
9. I agree that the Manager 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 Manager not to pay an Adviser Charge to my firm).

Signature of Financial Adviser

Date

Get in touch

We're here to help

INVESTORS

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 please contact us on **020 7408 4100** or email us at

investorsupport@pumainvestments.co.uk

ADVISERS

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

Please contact us on **020 7408 4070** or email us at **advisersupport@pumainvestments.co.uk**

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

The information contained in this form is correct as at April 2023, and is to be read in conjunction with the Investment Overview and Investor 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.

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