

# Application Form

PUMA AIM ISA  
INHERITANCE TAX  
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 AIM ISA Inheritance Tax Service Investor Agreement.

## 1 Before completing the Application Form

### Documents you must read

Before you can apply for the Puma AIM ISA Inheritance Tax Service, you must read the following documents:

- Investor Agreement, including the sections entitled Custodian Terms and ISA Terms; and
- Investment Overview.

### Applications under a Power of Attorney (POA)

Representatives such as those with POA, should complete the Application Form with details of the Applicant.

If you are acting as Attorney, you have:

- Enclosed either the original, a wet-ink certified copy or a scanned certified copy of the POA document. Certification requirements:
  1. A statement that this is a true copy of the original;
  2. The certifier's details (such as name, address, occupation and professional body membership number); and
  3. The certifier's signature and the signature date.
- Signed Section 1 (G) on behalf of the Applicant.

### Verification of identity

In all cases, we will endeavour to confirm the identity of Applicants 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 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 your Application Form. They will need to be certified as true copies of the originals by a Financial Adviser, solicitor, accountant, barrister, notary or FCA SMF (Senior Management Function).



## 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 4077** email **[clientonboarding@pumainvestments.co.uk](mailto:clientonboarding@pumainvestments.co.uk)** or visit **[www.pumainvestments.co.uk](http://www.pumainvestments.co.uk)**

## 2 Complete the form

### Section 1

#### APPLICANT'S DETAILS INCLUDING APPLICANT'S DECLARATION

You should complete Section 1 in full.

### Section 2

#### ISA APPLICATION FORM

You should complete section 2 in full.

### Section 3

#### FINANCIAL ADVISER SECTION

Your Financial Adviser should complete Section 3 in full.

## 3 Return the form and arrange payment

You or your Financial Adviser should return the completed Application Form:

### By email

[clientonboarding@pumainvestments.co.uk](mailto: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.

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: APPLICANT'S DETAILS

## SECTION 1 (A) – APPLICANT'S PERSONAL DETAILS

Title (Mr/Mrs/Miss/Ms/Other)	
First name(s)	
Middle name(s)	
Last name	
Date of birth	
Country of birth	
Nationality	
National Insurance Number	
Permanent address	Postcode
Mailing address (if different from above)	Postcode
Email	
Telephone (home)	Telephone (mobile)

**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 under Applicant's Personal Details.

☐ Electronic communication      ☐ Hard-copy communication

You can update your communication preference at any time by calling 020 7408 4100 or emailing [clientrelations@pumainvestments.co.uk](mailto: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 Investor Agreement. 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      ☐ Opt out of all

You can update your marketing preferences at any time by calling 020 7408 4100 or emailing [clientrelations@pumainvestments.co.uk](mailto:clientrelations@pumainvestments.co.uk)

## Power of Attorney

Is there a registered Power of Attorney (POA) in place for this application?

☐ Yes ☐ No (please proceed to Section 1 (B))

If you are acting as Attorney, please include either the original, a wet-ink certified copy or a scanned certified copy of the full POA document. Certification must include 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), the certifier's signature, and the signature date. In all cases the Manager will need to verify the identity of all Attorneys and will run electronic searches to do so.

Attorney title (Mr/Mrs/Miss/Ms/Other)		
First name(s)		
Last name		
Date of birth		
Address		
	Postcode	
Email		
Telephone (home)	Telephone (mobile)	

Should investment correspondence be directed to the Attorney? Please note, selecting "Yes" will override the mailing address under Applicant's Personal Details.

☐ Yes ☐ No

## SECTION 1 (B) – TAX RESIDENCY

Please indicate all countries in which you are a tax resident.

Country of tax residency	
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If you are solely a UK tax resident, you should leave the following space blank and continue to Section 1(C). If you are a tax resident of another country, this will be the number assigned to you by that country's tax authority.

Tax Identification Number(s) (TIN)	
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## SECTION 1 (C) – APPLICANT’S SUBSCRIPTION

There are two ways to access the Puma AIM ISA Inheritance Tax Service. Please indicate which method, or combination of methods, you would like to use. Tick as appropriate and fill in the amount. The minimum investment amount is £20,000.

1. Open a new ISA or top up existing Puma AIM ISA (please also complete Section 2)	£
2. Transfer an existing ISA (please also complete Section 2)	£
Please indicate if you would like Puma Investments, to liquidate holdings in your Puma AIM Inheritance Tax Service to fund a subscription into a Puma AIM ISA Inheritance Tax Portfolio.	£
<b>Application total</b>	£

It is our duty to request the following information in relation to your subscription as part of anti-money legislation:

**Occupation/industry:**

**Source of funds:** please tell us how you acquired the money that you intend to invest, selecting all that apply.

- ☐ Salary or wages
 ☐ Inheritance
- ☐ Property sale
 ☐ Investment proceeds
- ☐ Other asset sale (please specify):

☐ Gift (please specify who provided the gift and why):

☐ Other (please specify):

## SECTION 1 (D) – 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 3 (C)? Tick as appropriate.

☐ Yes
 ☐ No

## SECTION 1 (E) – APPLICANT'S BANK ACCOUNT DETAILS

**Mandatory Section:**

This data is an anti-money laundering requirement for the Puma AIM ISA Inheritance Tax Service Custodian.

Account name		
Account number	Sort code	
Bank or Building Society name		

## SECTION 1 (F) – APPLICANT'S PERSONAL CIRCUMSTANCES

If relevant, please provide any information regarding your personal circumstances 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 your circumstances change.

## SECTION 1 (G) – APPLICANT’S DECLARATION

To be completed by the Applicant named in Section 1 (A).

Representative (if applicable) should sign on behalf of the Applicant.

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

1. I have read and understood the Investor Agreement (including the Custodian Terms and the Puma AIM ISA Inheritance Tax Service Investment Overview (in particular the section headed “Risk factors”).
2. I have read Puma Investments’ Privacy Statement (available at [www.pumainvestments.co.uk](http://www.pumainvestments.co.uk)) and the relevant clause within the Investor Agreement and understand the purposes for which my personal data will be used.
3. I agree to be bound by the Investor Agreement, the Investment Overview, the Custodian Terms and the representations and declarations given by me and, if applicable, my Financial Adviser in this Application Form.
4. 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.
5. 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 ISA Inheritance Tax Service to me on the basis set out in the Investor Agreement.
6. I consent to Puma Investments’ and the Custodian’s execution policies (respectively) and for Puma Investments and the Custodian to execute orders outside a regulated market or Multi-Lateral Trading Facility.
7. I consent to Puma Investments and the Custodian providing information by electronic means that both are obliged to send.
8. Unless separately agreed with Puma Investments, distributed income from Investments shall be reinvested in my Portfolio.
9. Where I have received advice from a Financial Adviser as to the suitability of the Puma AIM ISA Inheritance Tax Service, I confirm I will continue to receive such advice on an ongoing basis until I notify Puma Investments otherwise.
10. 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.
11. I consent to Puma Investments facilitating the payment to the Financial Adviser (named in Section 3 (A)) of the Adviser Charge (set out in Section 3 (C)).

Note: Statement 11 shall apply only where you have indicated in Section 1 (D) above that Puma Investments is to facilitate payment to your Financial Adviser of an Adviser Charge.

Signed by Applicant / Representative

Date

Name



## SECTION 2: ISA APPLICATION FORM

The Puma AIM ISA Inheritance Tax Service is administered by Shore Capital Stockbrokers Limited as the ISA Manager.

### SECTION 2 (A) – APPLICANT'S INVESTMENT

Do you wish to transfer an existing ISA to the Puma AIM ISA Inheritance Tax Service? Tick as appropriate.

- ☐ No, I wish to make a new ISA contribution. Complete Section 2 (D).
- ☐ Yes, I wish to transfer an existing ISA to the Puma AIM ISA Inheritance Tax Service. Complete Section 2 (B) to 2 (D).

### SECTION 2 (B) – EXISTING ISA ACCOUNT VALUE

Total value of the ISA which funds are to be transferred from

£

### SECTION 2 (C) – TRANSFER INSTRUCTIONS

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, full transfer

- ☐ Please sell the Applicant's entire holding and transfer cash proceeds, value in Section 2 (B)
- ☐ Please transfer Applicant's entire cash holding value in Section 2 (B)

#### Or, partial transfer

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> Please sell the following amount from the Applicant's holding and transfer cash proceeds | £ | % |
| <input type="checkbox"/> Please transfer the following cash amount from the Applicant's holding                   | £ | % |

Name of existing ISA plan manager

Address

Postcode

Account number of existing ISA

Account name

Signed by Applicant

Date

Name

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

## SECTION 2 (D) (I) - APPLICANT'S ISA DECLARATION AND AUTHORITY FOR ISA SUBSCRIPTIONS

### I HEREBY CONFIRM AND DECLARE THAT:

I apply to subscribe for a Stocks and Shares ISA for the tax year 20\_\_ / \_\_ \_\_

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, a stocks and shares ISA, an innovative finance ISA, and a Lifetime 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 ISA IHT Service.
5. I am resident in the UK 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 UK, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform Puma Investments 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.
6. I will inform Puma Investments if I cease to meet the criteria stated above.
7. I confirm that the information supplied in this application is accurate, correct and up to date.
8. I agree to be bound by the ISA Terms contained in the Investor Agreement.

### I AUTHORISE SHORE CAPITAL AND PERSHING SECURITIES LIMITED:

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.

Signed by Applicant

Date

Name

## SECTION 2 (D) (II) - APPLICANT'S ISA DECLARATION AND AUTHORITY FOR ISA TRANSFERS

### I HEREBY CONFIRM AND DECLARE THAT:

#### I am investing by way of ISA Transfer.

1. All subscriptions made, and to be made, belong to me.
2. I am 18 years of age or over.
3. I am resident in the UK 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 UK, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform Puma Investments 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.
4. I will inform Puma Investments if I cease to meet the criteria stated above.
5. I confirm that the information supplied in this application is accurate, correct and up to date.
6. I agree to be bound by the ISA Terms contained in the Investor Agreement.

I agree to be bound by the ISA Terms contained in the Investor Agreement.

### I AUTHORISE SHORE CAPITAL AND PERSHING SECURITIES LIMITED:

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.

Signed by Applicant

Date

Name

SECTION 3: TO BE COMPLETED BY THE FINANCIAL ADVISER

SECTION 3 (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 3 (B) – CLIENT CATEGORISATION

Please confirm the regulatory classification of the Applicant.

☐ Retail Client      ☐ Professional Client

### SECTION 3 (C) – ADVISER CHARGE

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

You may specify a fixed amount or a percentage. If you request us 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 AIM ISA Inheritance Tax 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. 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	£	%

### SECTION 3 (D) – 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 3 (C).

Account name	
Account number	Sort code
Bank or Building Society name	

### SECTION 3 (E) – FINANCIAL ADVISER DECLARATION

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

1. I have read and understood the Puma AIM ISA Inheritance Tax Service Investment Overview.
2. I have reviewed a copy of the Puma AIM ISA Inheritance Tax 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](http://www.pumainvestments.co.uk) and agree to be bound by its terms.
3. 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 Puma Investments, if requested upon giving reasonable notice, copies of such documentary evidence that I hold for the Applicant.
4. I have categorised the Applicant for the purposes of the FCA Rules as either a Retail Client or a Professional Client, as indicated in Section 3 (B).
5. I have assessed that an investment in the Puma AIM ISA Inheritance Tax Service 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.
6. I have provided a personal recommendation to the Applicant that the Puma AIM ISA Inheritance Tax Service and the Customer Mandate contained in the Investment Overview are suitable.
7. If the Manager 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 Chapter 9.4 of COBS.
8. In the event that I cease to act for the Applicant for any reason whatsoever, I shall notify Puma Investments immediately and take such steps as are set out in the Intermediary Terms.

Where I have completed Section 3 (C):

9. 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 3 (C).
10. 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).

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Signature of Financial Adviser

Date

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Name

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## Additional information

# Get in touch

We're here to help

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## 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 about completing this application form, please contact us on **020 7408 4077** or email us at **clientonboarding@pumainvestments.co.uk**

## ADVISERS

Our expert national Business Development Team are 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 7408 4070** or email us at **businessdevelopment@pumainvestments.co.uk**

For further information, please visit  
**[www.pumainvestments.co.uk](http://www.pumainvestments.co.uk)**

The information contained in this form is correct as at February 2024, 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, which is authorised and regulated by the Financial Conduct Authority. FCA Number 590919. 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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