AUGUST 2025

Application Form

PUMA AIM
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 Inheritance Tax Service Investor Agreement.

1 Before completing the Application Form

Documents you must read

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

- Investor Agreement, including the section entitled Custodian 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 full POA document or court order. 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 (H) 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

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

2 Complete the form

Section 1

APPLICANT'S DETAILS INCLUDING APPLICANT'S DECLARATION

All Applicants should complete Section 1 in full.

Section 2

FINANCIAL ADVISER SECTION

Your Financial Adviser should complete Section 2 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

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

Pershing's bank details can be found on our website.

To comply with Money Laundering Regulations, our appointed custodian, Pershing, requires our anti-money laundering checks to be completed before investors can instruct payment. Only once these checks are complete can Puma create an account and issue a unique reference number for the investor.

Please complete the online form to receive your client's unique payment reference number, which must be quoted when instructing the payment. This helps protect investors against fraud and operational delays.

Third-party payments & payments from joint bank accounts

Third-party payments are not accepted. All payments must be drawn on an account in the name of the Applicant, and payments from a joint account (i.e. held jointly with a spouse) will require anti-money laundering checks to be conducted on both account holders. If you intend to send monies from a joint bank account, please confirm the second account holders full name, address and date of birth in the notes section.

SECTION 1: APPLICANT'S DETAILS

SECTION 1 (A) – APPLICANT'S PERSONAL DETAILS

Applicant 1

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)

Applicant 2 (if applicable)

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, 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.

☐ 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

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

You can update your marketing preferences at any time by calling 020 7408 4100 or emailing 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

Designated Contact

Please complete this section if you would like to add a Designated Contact (other than your financial adviser or Power of Attorney) to your account who can request to obtain information about your holding on your behalf.

Full name	
First name(s)	
Relationship to investor(s):	
Permanent address	
	Postcode
Date of birth	
Email	
Telephone (home)	Telephone (mobile)

Please note, Designated Contacts can obtain information only about your holding and are unable to make any changes to your account, or request for any funds to be transferred or withdrawn.

SECTION 1 (B) – TAX RESIDENCY

Applicant 1

Are you tax resident in the UK?	☐ Yes	☐ No
Are you tax resident in a country other than the UK?	☐ Yes	☐ No (please proceed to 1(C)

If you answered “Yes” above, please provide details for all countries in which you are a tax resident.

Country	Tax Identification Number (TIN)

Applicant 2

Are you tax resident in the UK?	☐ Yes	☐ No
Are you tax resident in a country other than the UK?	☐ Yes	☐ No (please proceed to 1(C)

If you answered “Yes” above, please provide details for all countries in which you are a tax resident.

Country	Tax Identification Number (TIN)

If Applicant 1 and/or Applicant 2 is/are a tax resident in the US, please contact us prior to submitting your application form.

SECTION 1 (C) – APPLICANT'S SUBSCRIPTION

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

Please indicate the amount you would like to invest in the Puma AIM Inheritance Tax Service or top up existing Puma AIM Inheritance Tax Service investment	£
Transfer cash from another provider into the Puma AIM IHT Service £ (please complete section 1(D))	£
Application total	£

Mandatory Section:

It is our duty to request the following information in relation to your subscription as part of anti-money laundering legislation and to review this, and any subsequent transaction, to identify unexpected and potentially irregular requests.

Occupation/industry:
If retired, please state this alongside your previous 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 (please specify):

☐ Other asset sale (please specify):

☐ Reinvested proceeds from other Puma Investment (please specify):

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

☐ Other (please specify):

SECTION 1 (D) – TRANSFER INSTRUCTIONS

If the Applicant needs multiple instruction forms, please photocopy this page and complete.

Instruction to existing Investment manager

Please transfer the cash proceeds from the applicant's existing investment to Pershing Securities Limited as instructed below.

Either, full transfer

☐ Please sell the Applicant's entire holding and transfer cash proceeds

☐ Please transfer Applicant's entire cash holding

Or, partial transfer

☐ Please sell the following amount from the Applicant's holding and transfer cash proceeds. Unless instructed otherwise, the Applicant's holdings will be sold down proportionally across their current holding.	£
	%
☐ Please transfer the following cash amount from the Applicant's holding	£
	%

Name of existing investment manager	
Address	Postcode
Account number of existing investment	
Account name	

Signed by Applicant Date

Name

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 in relation to any initial adviser chargers AND/OR ongoing adviser charges you may have agreed with your financial adviser.

☐ Yes ☐ No

SECTION 1 (F) – APPLICANT'S BANK ACCOUNT DETAILS

Mandatory Section:

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

Account name			
Account number		Sort code	
Bank or Building Society name			

SECTION 1 (G) – 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 (H) – APPLICANT'S DECLARATION

To be completed by the Applicant(s) named in Section 1 (A).
Representative(s) (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, where applicable, the ISA Terms) and the Puma AIM 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) 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 and Pershing Securities Limited (the "Custodian") to carry out their respective roles in providing the Puma AIM 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 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 2 (A)) of the Adviser Charge (set out in Section 2 (C)).
12. I acknowledge that Puma Investments may be required to disclose information about my account, tax residency, TIN and personal details to HMRC, in line with the requirements of US FATCA and the CRS and agree that if my country of tax residence changes in the future, I will advise Puma Investments within 30 days of such change being effective.

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

Signed by Applicant 1/Representative	Date
Name	
Signed by Applicant 2/Representative (if applicable)	Date
Name	

SECTION 2: 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) – CLIENT CATEGORISATION

Please confirm the regulatory classification of the Applicant.

☐ Retail Client ☐ Professional Client

SECTION 2 (C) – 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 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 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. Ongoing adviser charges will commence from the calendar quarter following the date your shares are allotted. **Please provide the total amount/percentage inclusive of VAT below.**

Initial Adviser Charge	£	%
Ongoing Adviser Charge	£	%

Contact for fee statements

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 (D) – ADVISER BANK DETAILS

Mandatory section:
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 (E) – FINANCIAL ADVISER DECLARATION

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

1. I have read and understood the Puma AIM Inheritance Tax Service Investment Overview.
2. I have reviewed a copy of the Puma AIM 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 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 2 (B).
5. I have assessed that an investment in the Puma AIM 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 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 2 (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 2 (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).

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 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 hereto 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**

The information contained in this form is correct as at August 2025, 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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