AUGUST 2025

Transfer Form

PUMA AIM IHT SERVICE
TO 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 Transfer Form

Suitability

This application form is for investors in the Puma AIM IHT Service, where the intention is to transfer the cash proceeds from your divestment into the Puma Heritage Estate Planning Service (the "Service"). You can only invest in the Service through a Financial Adviser who has assessed that an investment 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.

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.

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(I) 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 Doctor, Accountant, Solicitor or Financial Adviser.



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 7096 8452**
email **clientonboarding@pumainvestments.co.uk**
or visit **www.pumainvestments.co.uk**

2 Complete the form

Section 1

PERSONAL DETAILS, APPLICANT'S INVESTMENT AND 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

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.

Payment

AIM stocks are largely small and illiquid. They are characterised by significant spreads and low trading volumes. The sale of AIM shares may be difficult, slow and only achievable at lower than indicated market price.

Following acceptance of your transfer application, Puma Investments will arrange for the divestment cash from your Puma AIM IHT investment to be transferred to the new Service account.

Once this has taken place, you will receive confirmation that: your funds have been received, the final amount to be invested (as this may have been subject to rounding) and confirmation that your application is ready to be allotted.

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, 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. Please note as you are an existing investor, this preference will override the correspondence preference of your existing investment(s).

Please select one option only.

☐ 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 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. Please select one option only.

☐ 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

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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)	
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.

Mandatory Section:

It is our duty to request the following information in relation to your subscription as part of anti-money laundering legislation. If retired, please state this alongside your previous occupation/industry.

Occupation/industry:

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)

SECTION 1 (C) – TRANSFER INSTRUCTION

Please select one option below:

☐ **Full transfer**
Please sell my/our entire holding in the Puma AIM IHT Service and transfer cash proceeds to invest in Puma Heritage EPS.

☐ **Partial transfer** (Either as a cash value or the value of the holding as a percentage)
Please sell the following amount from my/our holding in the Puma AIM IHT Service and transfer cash proceeds to invest in Puma Heritage EPS. (If the percentage requested results in a fraction of a share, it will be rounded to the nearest share.

£

%

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 2(C)? Tick as appropriate in relation to any initial adviser charges AND/OR ongoing adviser charges you may have agreed with your Financial Adviser.

☐ Yes ☐ No

SECTION 1 (E) – OPTIONAL LIFE PROTECTION

Do you wish for the benefit of Optional Life Protection to form part of the Service? Tick as appropriate. (Please read the Investor Agreement for guidance on eligibility and restrictions. Once read, and if you select "Yes" to this question, please complete the Optional Life Protection Form.)

☐ Yes ☐ No

For Joint Applicants, do you wish for the benefit of the Joint Life Second Death Cover to form part of the Service? Tick as appropriate. (Please read the Investor Agreement for guidance on eligibility and restrictions. Once read, and if you select "Yes" to this question, please complete the Optional Life Protection Form.)

☐ Yes ☐ No

SECTION 1 (F) – REGULAR WITHDRAWALS

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

☐ No (please proceed to Section 1(H))

☐ Yes Please specify a fixed amount: £

Reason for regular withdrawals:

Please note, instructions given here will override any existing arrangement you may have.
If you would like your existing arrangement to remain, leave Section 1(G) 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 1 (G) – APPLICANT'S 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 1 (H) – 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 (I) – APPLICANT'S DECLARATION

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

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

1. I 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")).
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 my Financial Adviser in this Application Form.
4. I consent to the Manager entering into the Custodian Agreement with the Custodian, on my behalf, acting as my agent.
5. I acknowledge that my Investments will be registered in the name of the Custodian's Nominee but will be held on trust by the Nominee and I will remain beneficial owner of the Investments.
6. 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 the Manager promptly of any change in my circumstances which may affect this information.
7. I authorise the Manager and/or the Custodian to carry out their respective roles in providing the Puma Heritage Estate Planning Service to me on the basis set out in the Investor Agreement.
8. I consent to the Manager's and the Custodian's execution policies (respectively).
9. I consent to the Manager and the Custodian providing by electronic means information that both are obliged to send.
10. Unless separately agreed with the Manager, distributed income from Investments shall be reinvested in my Portfolio.
11. I 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 I notify the Manager otherwise.
12. I have not received investment, insurance or tax advice from the Manager or the Custodian and I understand that such advice cannot be provided by the Manager or the Custodian.
13. I am suitably knowledgeable about the risks associated with Non-Readily Realisable Investments.
14. I consent to the Manager facilitating the payment to the Financial Adviser (named in Section 2(A)) of the Adviser Charge (set out in Section 2(C)).
15. I understand that the availability of tax reliefs depend on a number of things including my personal circumstances, thresholds imposed by tax law and minimum holding periods, and that reliefs may be subject to change.
16. 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 14 shall only apply where you have indicated in Section 1(D) that the Manager 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	

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

SECTION 2 (A) – FINANCIAL ADVISER'S 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 only be completed if the Applicant has ticked "Yes" in Section 1(D).
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. 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'S 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'S DECLARATION

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 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.
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) above.
5. I have assessed that an investment in the Puma Heritage Estate Planning 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 Heritage Estate Planning Service and the Customer Mandate contained in the Investment Overview are suitable.
7. If the Manager 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 Estate Planning Service and the Customer Mandate are suitable for the Applicant.
8. 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.

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 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 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 (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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