



PUMA ALPHA VCT
The 14th Puma VCT

APPLICATION FORM

1 Application form guidance

Step 1: Complete the form

WHERE YOU ARE SUBSCRIBING FOR SHARES DIRECT

- You should read the Prospectus for Puma Alpha VCT plc before applying.
- Once complete, you should send this Application Form to the address shown below.
- You should complete Sections 1 to 5.
- You should leave Sections 6 to 13 blank.
- You must supply the following for anti-money laundering purposes:
 - An original certified copy of your passport or driving licence;
- and
 - An original or an original certified copy of a bank or building society statement or utility bill (being no more than three months' old).

For details on how to certify a document see Section 5 of the Application Form.

WHERE YOU ARE SUBSCRIBING FOR SHARES THROUGH A FINANCIAL ADVISER OR INTERMEDIARY

- You should read the Prospectus for Puma Alpha VCT plc before applying.
- Once complete, you or your financial adviser or intermediary should send this Application Form to the address shown below.
- You should complete Sections 1 to 5.
- You should return this Application Form to your financial adviser or intermediary who will complete Sections 6 to 13.
- You or your financial adviser must supply the following for anti-money laundering purposes:
 - either
 - A Confirmation of Verification of Identity Certificate from your financial adviser or intermediary; (please see Part 2 of this application)
 - or
 - An original certified copy of your passport or driving licence;
 - and
 - An original or an original certified copy of a bank or building society statement or utility bill (being no more than three months' old).

Note: Any adviser charge will not be eligible for income tax relief

Step 2: Return the form

PAYMENT OPTIONS:

- You can pay the amount to be invested as follows:
 - By cheque: You should send a cheque(s) or duly endorsed bankers' draft(s) drawn on a UK clearing bank made payable to "SLC Registrars Ltd re: Puma Alpha VCT". Cheques must be drawn from a UK clearing bank.
 - By Bank Transfer: Account Name: SLC Registrars Limited re: Puma Alpha VCT
HSBC Bank, 34, High Street, Walton on Thames, Surrey KT12 1DD Sort Code: 40-05-30
Account Number: 03687937
IBAN: GB61MIDL40053003687937

Please quote your name or your client's name as a reference.

You will receive an acknowledgement of receipt of your application.

RETURN YOUR COMPLETED APPLICATION FORM TO:

SLC Registrars
Elder House
St Georges Business Park
Weybridge
Surrey KT13 0TS

If you have any questions you should contact:

PUMA INVESTMENTS

- 📞 Adviser Enquiries: 020 7408 4070
- 📞 Investor Enquiries: 020 7408 4100
- ✉️ info@pumainvestments.co.uk
www.pumainvestments.co.uk

Please note that no investment or tax advice can be given by Puma Investments.

Puma Investments is a trading name of Puma Investment Management Limited which is authorised and regulated by the Financial Conduct Authority (FRN 590919).

Application Form for Puma Alpha VCT

Section 1 – Applicant’s personal details

Title (Mr/Mrs/Miss/Ms/Other)	
First name(s)	
Last name	
Date of birth (DD/MM/YYYY)	
Country of birth	
Nationality	
National Insurance Number	
Permanent address (held on Share Register)	
Postcode	
Mailing address (if different from above) (held by Company)	
Postcode	
Email	
Telephone (home)	
Telephone (mobile)	

The printing and postage costs of sending out Puma Alpha VCT plc shareholder documents and notices are paid for by Puma Alpha VCT plc itself. Therefore, to reduce waste and help to cut costs, we will default to sending you notice by post when the shareholder documents and notices have been published to the following website: www.pumainvestments.co.uk.

Please tick the box if you would prefer to receive all shareholder documents and notices by post instead.

Once your shares have been allotted, you can update your communication preferences at any time by registering for the ShareView service provided by SLC Registrars. The relevant webpage can be found at:

www.shareview.co.uk/4/Info/Portfolio/Default/en/Home/Portfolio/Pages/Portfolio.aspx

You will need your Shareholder Reference Number which can be found either on your share certificate or by identifying yourself to SLC Registrars by phone (Tel: 01903 706150) or email (slc@davidvenus.com).

Section 2 – Tax residency

Please indicate all countries in which the Applicant is resident for the purposes of that country’s income tax.

If the Applicant is a US citizen, Green Card holder, or US resident, you must complete and return an IRS (Internal Revenue Service) W-9 form and include any additional tax residencies in the table below.

Country of tax residency	
Tax Identification Numbers (TIN) <small>If you are a UK tax resident you should leave this space blank. If you are a tax resident of another country this will be the number assigned to you by that country’s tax authority.</small>	

Section 3 – Applicant’s subscription

Please indicate the amount you would like to invest in the relevant box below. There is no maximum limit on the size of your subscription. It must be for a minimum of £5,000 and must be in multiples of £1,000 thereafter.

Subscription amount for
Tax Year **2019/20**

£

Do you wish the Registrar to make payment to your financial adviser of an adviser charge, as indicated by your financial adviser in Section 8 below?

Tick as appropriate: YES NO

Section 4 – Applicant’s bank account details for receipt of payments from Puma Alpha VCT plc (e.g. dividends)

Account name

Account number

Sort code

Bank or building society name

UK address

Postcode

Section 5 – Applicant’s declaration

By signing this Application Form, You confirm that:

1. You have read and understood the Puma Alpha VCT plc Prospectus in particular the section headed “Risk Factors”.
2. You have read the data protection schedule at the end of Part 1 of this application form and the Investment Manager’s Privacy Statement and understand the purposes for which your personal data will be used to process your application.
3. You have read and agree to be bound by the Terms and Conditions of Application set out in the Prospectus.
4. You have either supplied a Confirmation of Verification of Identity Certificate from a financial adviser or intermediary found in Part 2 of this Application Form **or**, where you have not supplied a certificate, you have supplied the following:
 - (a) An original certified copy of your passport or driving licence; and
 - (b) An original or an original certified copy of a bank or building society statement or utility bill being no more than three months’ old showing your name and address.

Where you have ticked yes in Section 3 above: I consent to SLC Registrars making payment to the financial adviser (named in Section 6) of the adviser charge (set out in Section 8) plus VAT (if applicable).

Signature of investor

Date

Data Protection

We would like to keep you informed of other Puma Investments products and services which we think will be of interest to you. By ticking this box you are agreeing to this.

We will not share your details with any third parties for marketing purposes and you can opt-out at any time.

The following sections are to be completed by the applicant's financial adviser or intermediary. Leave blank where no financial adviser/intermediary.

Section 6 – Financial adviser/Intermediary details

Company <small>(including the name of any network to which you or your firm is connected)</small>		Financial adviser/ Intermediary stamp <small>(if applicable)</small>
FCA number		
Address		
Postcode		
Financial adviser's details		
Name		
Email		
Telephone		
Administrator's details <small>(if different to financial adviser)</small>		
Name		
Email		
Telephone		

Section 7 – Type of subscription

Please indicate by ticking the appropriate box below the type of subscription into Puma Alpha VCT plc:

<input type="checkbox"/>	The Applicant was advised to subscribe for shares in Puma Alpha VCT plc <small>(Please go to Section 8 if SLC Registrars is to make payment of an adviser charge. If SLC Registrars is not to make payment of an adviser charge, please go to Section 10)</small>
<input type="checkbox"/>	The Applicant subscribed for shares in Puma Alpha VCT plc on an execution-only basis <small>(Please go to Section 10.)</small>

Section 8 – Adviser charge

Please only complete this section if you have ticked "yes" in Section 3.

You may specify a fixed amount or a percentage. If you request to make an adviser charge payment on a percentage basis, any adviser charge will be calculated as a percentage of the monies the Applicant uses to subscribe for shares.

Note: The adviser charge will not attract income tax relief and is a one-off initial fee.

Adviser charge <small>(This is paid by SLC Registrars on your behalf)</small>	£		%
<input type="checkbox"/>	Is VAT payable? <small>(If this box is ticked, we will assume the adviser charge above includes VAT and that SLC Registrars should facilitate payment of this)</small>		

Section 9 – Please complete the bank details to which the adviser charge should be paid

Account name	
Account number	
Sort code	
Bank or building society name	

Section 10 – Financial adviser/intermediary declaration

By signing this Application Form, you confirm that:

1. You have read and understood the Puma Alpha VCT plc Prospectus.
2. You have read and agree to be bound by the Terms and Conditions of Application.
3. You 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 and confirm that documentary evidence has been obtained and identify checks have been undertaken to confirm that the applicant's name and address as shown on this application are correct. You agree to provide to Puma Investments, if requested upon giving reasonable notice, copies of such documentary evidence you hold for the applicant.

(Where you have completed Section 8):

4. You have agreed with the applicant that SLC Registrars can make payment to you of the adviser charge set out in Section 8, plus VAT (if applicable).

Signed for and on behalf
of the financial adviser/
intermediary

Date

Data protection schedule

The information that the Investor provides on this Application Form or subsequently in other communications or correspondence with the Investment Manager in any form will be held and used in compliance with that data protection legislation which is binding on the Investment Manager. For the purposes of the data protection legislation the Investment Manager will be the data controller.

The Investment Manager may hold and process the Investor's data for

- a. the administration of the Fund or investment products for which the Investor is currently applying or may apply for in future;
- b. for the operation of an investment (including e.g. for registration and distribution purposes);
- c. for the purposes of statistical analysis;
- d. for independent audit purposes for the marketing of goods or services (by the Investment Manager and any of its Associates); and / or
- e. for regulatory and legal reasons such as but not limited to anti money laundering and antiterrorism financing checks and procedures. The Investment Manager may transfer the Investor's data to its Associates for any of the above purposes.

The legal basis for the Investment Manager processing the Investor's personal information in the ways described in this schedule will typically be because the processing is necessary: (i) to fulfil its obligations under this Agreement; (ii) for its legitimate business interests; (iii) for compliance with a legal obligation to which it is subject; or (iv) because the Investor has provided the Investment Manager with their consent.

The Investment Manager may transfer the Investor's personal information to a third party in countries outside the United Kingdom for further processing in accordance with the purposes set out in this data protection schedule.

In particular, the Investor's personal information may be transferred throughout the Investment Manager's Associates and to outsourced service providers located abroad. In these circumstances the Investment Manager will, as required by applicable law, ensure that the Investor's privacy rights are adequately protected by appropriate technical, organisation, contractual or other lawful means.

The Investment Manager will retain the Investor's personal information as long as is reasonably necessary for the purposes listed in this schedule or as required by local applicable law. Usually, the Investment Manager will retain its file and information in relation to the Investor and the matter in relation to which the Investor has engaged the Investment Manager after the termination of the engagement for such period as may be required by law or for 6 years (whichever is longer). All papers and files, including important original documents such as trust deeds, corporate documents and contractual agreements will be stored in the Investment Manager's archive storage facilities. Please contact the Investment Manager directly for further details of applicable retention periods.

Where a financial adviser or other authorised professional person acts on the Investor's behalf, the Investment Manager shall be entitled to disclose information concerning the Investor's investment to that financial adviser or other professional person unless the Investor instructs the Investment Manager in writing not to do so. Save as noted above, the Investment Manager will not without good and reasonable cause provide to any other third party any information relating to the Investor, unless the Investor has given his/her written consent or unless the Investment Manager is required to do so by law or by a regulatory authority. Such good and reasonable cause would include the disclosure of information where the Investment Manager is acquiring or selling Investments in which case the Investment Manager may provide information (including information concerning the Investor) to the prospective investee company or purchaser.

If the Investor wishes the Investment Manager to remove his/her data from its records the Investment Manager will do so within a reasonable time upon receipt of an instruction in writing, as far as is reasonably practical and within the Investment Manager's control, subject to any legal or taxation or accounting or regulatory constraints which require the Investment Manager to retain data for a period of time. The Investor is entitled to request details of information the Investment Manager holds about him/her and to require the Investment Manager to correct any inaccuracies in such personal data. In addition, the Investor has other rights under applicable data protection legislation that it may exercise against the Investment Manager along with the right to withdraw any consent to the data processing, the right to lodge a complaint with the applicable data protection supervisory authority (being the Information Commissioner's Office or any superseding or replacement body). If the Investor would like more information about how to exercise their other rights, they should contact the Investment Manager directly.

Except as provided for in this schedule the Investment Manager will not permit so far as it is within its control any third party to use data held by it about the Investor for commercial purposes.

Further information regarding data protection at Puma Investments can be found by reading the Privacy Statement available at www.pumainvestments.co.uk/privacy-statement

Confirmation of Verification of Identity Certificate

The following sections are to be completed by the applicant's financial adviser or intermediary. This certificate should only be completed if the application has been made through a financial adviser or intermediary.

Section 11 – Details of individual

Title (Mr/Mrs/Miss/Ms/Other)

First name(s)

Last name

Date of birth (DD/MM/YYYY)

Current Address
(and previous address if individual has changed address in the last three months)

Postcode

Section 12 – Details of introducing firm (or sole trader)

Full Name of regulated firm (or sole trader)

FCA reference number

Section 13 – Confirmation

I/We confirm that:

- (a) the information in Section 11 above was obtained by me/us in relation to the customer;
- (b) the evidence I/we have obtained to verify the identity of the customer:
- meets the standard evidence set out within the guidance for the UK Financial Sector issued by JMLSG ; or
- exceeds the standard evidence (written details of the further verification evidence taken are attached to this confirmation);
- (c) upon request copies of the documentation used for identity verification will be made available to Puma Investments.

Signed

Full name

Job title (regulated individual)

Date

EXPLANATORY NOTES FOR THE ANTI-MONEY LAUNDERING INTRODUCTION CERTIFICATE

- In the case of a Power of Attorney, for example where a third party is involved, the identity of that person must also be verified, and a confirmation provided.
- This form cannot be used to verify the identity of any customer that falls into one of the following categories:
 - those who are exempt from verification as being an existing client of the introducing firm prior to the introduction of the requirement for such verification;
 - those who have been subject to Simplified Due Diligence under the Money Laundering Regulations; or
 - those whose identity has been verified using the source of funds as evidence.
- This confirmation must carry an original signature or an electronic equivalent.



PUMA INVESTMENTS

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

Adviser Enquiries: 020 7408 4070
Shareholder Enquiries: 020 7408 4100

info@pumainvestments.co.uk
www.pumainvestments.co.uk

Puma Investments is a trading name of Puma Investment Management Limited which is authorised and regulated by the Financial Conduct Authority.
FCA Number 590919.