
Guinness Sustainable Infrastructure Service
Application Form

GUINNESS

ASSET MANAGEMENT LTD

APPLICATION PROCEDURES

In order to subscribe to the Guinness Sustainable Infrastructure Service certain documentation and confirmations are required. The following notes should assist:

Have you completed the Application Form and signed the Declaration in Section 6

Have you **EITHER** enclosed a Confirmation of Verification of Identity from your adviser

OR have you enclosed a Bank Statement and Utility Bill (see note 3 below)

Have you arranged for payment of your Subscription by one of:

Cheque
(please tick one)

Please enclose a cheque from your personal account, made payable to **“The Share Centre - Guinness SIS”**. We do not accept cheques from business accounts.

Bank transfer

Account Name: TSC Customer Tfr a/c
Sort code: 12-21-37
Account number: 00100130

Prior to making a transfer, please request a **Unique Customer Reference** from Guinness which must be used when making the transfer. Payments need to come from your personal account.

Please return the completed Application Form to:

**Guinness SIS c/o The Share Centre
PO Box 2000
Aylesbury
Buckinghamshire
HP21 8ZB**

Notes

1. Complete the Application Form in full

Further application forms are available on request from Guinness Asset Management on 020 7222 3475 or www.guinnessfunds.com. The Investment Manager reserves the right to reject an Application Form if it has reasonable cause to do so, for example, if relevant information is not included.

The Investment Manager is required by the FCA to obtain sufficient information from Investors to enable it to ensure that this Service is suitable for them. If your financial adviser has not completed Section 3, then please ensure that you complete the Suitability Questionnaire to confirm that you are eligible to invest in the Service.

2. Enclose your cheque

Your cheque should be made payable to “The Share Centre - Guinness SIS”. Your cheque should be drawn on an account in the name of the Applicant at a UK Clearing Bank in order to comply with Money Laundering Regulations 2007. Third party cheques cannot be accepted. If sending a banker’s draft or Building Society cheque, please ask them to print your name on the reverse as confirmation that the funds came from your own account.

3. Enclose your Money Laundering verification

Guinness Asset Management is required to confirm both your identity and proof of address in order to comply with the Money Laundering Regulations 2007. Failure to provide the necessary evidence of identity may result in your Application Form being treated as invalid or result in a delay.

The simplest way to do this is for your adviser to provide a confirmation that they have verified your identity.

Alternatively, you can provide an original utility bill and an original bank statement, which must be less than six months old and which confirm your name and address. The bank statement must be for the account from which funds are drawn. These will be returned promptly to you with your Welcome Letter.

Guinness Sustainable Infrastructure Service Application Form for Individuals

Before completing this Application Form you should read the Investor Agreement and the Application Procedure.

1 Personal Details

Title	Mr.	<input type="checkbox"/>	Mrs	<input type="checkbox"/>	Ms	<input type="checkbox"/>	Other	<input type="text"/>
Surname	<input type="text"/>							
Forename(s)	<input type="text"/>							
Current address	<input type="text"/>							
	<input type="text"/>							
	<input type="text"/>							
Post Code	<input type="text"/>				Time at address (mm yy)	<input type="text"/>		
Previous Address: (if less than 3 years at current address)	<input type="text"/>							
	<input type="text"/>							
	<input type="text"/>							
Post Code:	<input type="text"/>							
Date of Birth (dd mm yyyy)	<input type="text"/>							
E-mail	<input type="text"/>							
Telephone	<input type="text"/>							
Nationality	<input type="text"/>							
Country of Birth	<input type="text"/>							
National Insurance no	<input type="text"/>							
Tax residence	UK	<input type="checkbox"/>	Other	<input type="checkbox"/>	If other, please specify	<input type="text"/>		
Unique tax reference	<input type="text"/>							
Tax district	<input type="text"/>							

2 Subscription

£

(min £25,000)



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Financial Adviser

Contact Name

Name of Firm

Address:

Post Code:

Telephone

Please tick this box if you have advised the Investor as to the suitability of this investment

E-mail

Signature of Adviser

Date

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Financial Adviser Fees (if applicable)

Please complete the box below if you would like us to pay an initial fee on your behalf to your financial adviser whose details are set out in section 3. Please show the fee inclusive of VAT, if applicable

Initial Fee £ or %

Please complete the box below if you would like us to pay an annual fee for three years on your behalf to your financial adviser. Please show the fee inclusive of VAT, if applicable

Annual Fee £ or %

Alternatively, please advise any specific fee instructions in the box below

Bank Details for Financial Adviser

Account Name

Account Number Sort Code

Ongoing financial adviser fees will be deposited with the Custodian and paid annually based on confirmation from the adviser that they continue to act for the Investor. Please note that after three years the Investments may have to be realised to meet the financial adviser fee.

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Suitability Questionnaire

You do not need to complete this Suitability Questionnaire if your Financial Intermediary has indicated in Section 3 that he has advised you as to the suitability of this Service and has signed the form.

- a) Please state how you first heard about the Guinness Sustainable Infrastructure Service (mail, e-mail, advertisement, financial adviser, direct contact, press etc.)

- b) Please indicate if any of the following applies:

- | | YES | NO |
|--|--------------------------|--------------------------|
| • you have invested in a similar investment service since 6 April 2012, and when you did so you completed a suitability questionnaire for the same overall purpose as this Questionnaire and can provide us with written evidence of this; | <input type="checkbox"/> | <input type="checkbox"/> |
| • you are a member of a network or syndicate of business angels and have been so for at least the last six months; | <input type="checkbox"/> | <input type="checkbox"/> |
| • you are working, or have worked in the last two years, in a professional capacity in the private equity sector, or in the provision of finance for small and medium enterprises; or | <input type="checkbox"/> | <input type="checkbox"/> |
| • you are currently, or have been in the two years prior to the date below, a director of a company with an annual turnover of at least £1 million. | <input type="checkbox"/> | <input type="checkbox"/> |
| • Please confirm that you are able to invest in the Guinness Sustainable Infrastructure Service over the medium to long term (approximately 4 years i.e. you will not need income or access to the capital invested during this period) | <input type="checkbox"/> | <input type="checkbox"/> |

- c) Please tick this box to confirm that you understand the investment objectives of the Service and that these are consistent with your personal financial objectives including the risk factors detailed in the risk factor section of the Information Memorandum.

- d) Please confirm your occupation

- e) Please indicate your approximate annual net disposable income (after all regular financial commitments):

Less than £10,000 £10,000 to £50,000 £50,000 to £100,000 Over £100,000

- f) Please indicate your approximate net investable assets (excluding your home):

Less than £200,000 £200,000 to £500,000 £500,000 to £1,000,000 Over £1,000,000

- g) Please tick the relevant boxes in this grid to give us an idea of your level of experience with respect to certain types of investment. Please note that this is an area in which we may be obliged to seek further information.

	Inheritance planning, EIS, VCT	Stockmarket including AIM	Private equity direct investments	Collective Investment Schemes
No experience	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Some indirect experience	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Some direct experience	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Significant experience	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Expertise	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

You can add any comments related to the above grid in the box below:



- | | YES | NO |
|---|--------------------------|--------------------------|
| h) In the <u>last</u> 12 months, have you invested more than 10% of your net assets in non-readily realisable securities? | <input type="checkbox"/> | <input type="checkbox"/> |
| i) In the <u>next</u> 12 months, do you expect to invest more than 10% of your net assets in non-readily realisable securities? | <input type="checkbox"/> | <input type="checkbox"/> |

Net assets for these purposes do not include the property which is your primary residence or any benefits (in the form of pensions or otherwise) which are payable on the termination of your service or on your death or retirement to which you may be entitled.

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Declaration

I wish to invest the amount shown above in the Guinness Sustainable Infrastructure Service on the terms set out in the Investor Agreement attached to the Investment Memorandum (which Investor Agreement I have received and read) (the "Investor Agreement"). I recognise that on acceptance of this Application Form by the Custodian that the Investor Agreement will be deemed to have been entered into as a binding agreement between me and the Investment Manager (all as defined therein). I have read, and agree to the Custodian's terms of business which are available at www.share.com/global/forms/EIS-tobs-0413.pdf.

I confirm that:

1. I wish/do not wish* to seek BPR Relief; (* delete as appropriate)
2. I am applying on my own behalf;
3. I am confirming to Guinness Asset Management Limited the amount of the agreed adviser fees in Section 4 above and I am instructing Guinness Asset Management Limited to pay the adviser fees from my Subscription and to hold sufficient monies in reserve from my Subscription to my order and, unless I give instructions to the contrary, to recover the amount due from that reserve in order to pay such adviser fees. I understand that I may cancel this arrangement at any time by giving notice to Guinness Asset Management Limited whereupon the amount held in reserve shall be repaid to me if I so direct.
4. I have read the Information Memorandum in full. I have paid particular attention to the terms of the Investor Agreement, and I have considered the risk factors in the risk factor section of the Information Memorandum.
5. I believe I have provided accurate and not misleading answers to the above questions. I agree to assist Guinness Asset Management by answering (if I am able) further oral or written questions in relation to my suitability.
6. I believe that, given the answers I have provided here and the amount I wish to invest (among other surrounding factors) that this Service is suitable for me, but confirm that I shall have no claim against Guinness Asset Management if it shall reach a conclusion by bona fide means that this Service is not suitable for me.
7. I confirm that I understand I should take independent advice as to the tax consequences of a Subscription to the Service, and that no representations regarding taxation and tax advantages in the Information Memorandum constitute advice to me as to my personal tax position arising from making such a Subscription.

Signature of Investor

Date

Print Name

Please return the completed Application Form to:

**Guinness SIS c/o The Share Centre
PO Box 2000
Aylesbury
Buckinghamshire
HP21 8ZB**