

GUINNESS

ASSET MANAGEMENT LTD

Guinness Best of AIM Application Form and Suitability Questionnaire

Application Procedures

In order to subscribe to the Guinness Best of AIM 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 enclosed **EITHER** a Confirmation or Verification of Identity from a Financial Intermediary
- OR** a Bank Statement and Utility Bill (see note 4)?

Have you arranged for payment of your Subscription by one of:
(please tick one)

Cheque

Please enclose a cheque from your personal bank account, made payable to "The Share Centre - Guinness Best of AIM".
We do not accept cheques from business accounts.

Bank Transfer

Prior to making a transfer, please request a Unique Customer Reference from Guinness. Funds sent without this Reference may need to be returned. Then arrange a transfer from your personal bank account to:

Account Name: TSC Customer Tfr a/c
Sort Code: 12-21-37
Account Number: 00100130
Reference: [your Unique Customer Reference]

Please return the completed application form to:

Guinness Best of AIM
c/o The Share Centre,
PO Box 2000,
Aylesbury,
Bucks,
HP21 8ZB

Any Questions?

Please feel free to contact us on:

T: 020 7222 3475

E: estateplanning@guinnessfunds.com

W: www.guinnessfunds.com

Notes

1. Complete the Application Form

Further application forms are available on request from Guinness Asset Management on 020 7222 3475 or can be downloaded at www.guinnessfunds.com.

2. Complete the Suitability Questionnaire (unless you have a Financial Adviser)

The Investment Manager is required to obtain sufficient information from you to enable it to assess that this Service is suitable for you. Unless a Financial Adviser has indicated in Section 3 of the Form that they have advised you on suitability, you will need to complete the Suitability Questionnaire.

3. Make your payment

Your cheque should be made payable to “The Share Centre - Guinness Best of AIM”. Your cheque should be drawn on an account in the name of the applicant at a UK clearing bank in order to comply with the Money Laundering Regulations 2017. Third party cheques, including those drawn from a business account, cannot be accepted. If you wish to pay by electronic transfer you should request a Unique Customer Reference from Guinness and put this reference on your transfer request. The account details for the transfer are on the previous page.

4. Enclose your Money Laundering verification

The Investment Manager is required to confirm both your identity and proof of address in order to comply with the Money Laundering Regulations 2017. Failure to provide the necessary evidence of identity may result in your application being delayed or rejected.

The simplest way to do this is for a Financial Intermediary (such as your Financial Adviser) to confirm that they have verified your identity.

Alternatively, you can provide an original utility bill (or letter from HMRC) and an original bank statement, which must both 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 to you with your Welcome Letter.

5. Dual nationality

If you have more than one nationality and/or you are a US citizen please indicate this in the relevant places in section 1. We may need to contact you for further information for compliance purposes.

1. Personal Details

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

Title: Mr. Mrs. Miss. Other

Surname:

Forename(s):

Address:

Postcode: **Time at Address:**
(yy/mm)

Previous Address:
(if less than 3 years at current address)

Postcode:

Date of Birth: **Telephone:**

Email:

National Insurance No: **Nationality(ies):**

Country of Birth: **Town of Birth:**

Tax Residence: UK Other If other, please specify

Are you a US citizen? Yes No

2. Subscription amount

£ (minimum £40,000)



3. Financial Intermediary

(to be completed by your Financial Advisor or other financial intermediary)

Contact Name:

Name of Firm:

Address:

Postcode: **FCA regulation No.**

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

Telephone:

Email:

Signature of Financial Intermediary:

Date:

4. Financial Intermediary Fees

(if applicable)

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

Initial Fee:

<input type="text" value="£"/>	OR	<input type="text" value="%"/>
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Please complete the box below if you would like us to pay an annual fee for three years on your behalf to your Financial Intermediary. Please show the fee inclusive of VAT, if applicable.

Annual Fee:

<input type="text" value="£"/>	OR	<input type="text" value="%"/>
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Alternatively, please advise any specific fee instructions in the box below:

Bank details for Financial Intermediary

Account Name:

Account Number: Sort Code:

5. Suitability Questionnaire

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

Please state how you first heard about the Guinness investment services (personal recommendation, mail, e-mail, advertisement, financial adviser, direct contact, Press etc.)

Your knowledge and experience

It is important that you have sufficient knowledge and experience to make an informed decision to invest in the Service without obtaining independent financial advice

My current or (if retired) former occupation:

Highest educational qualification (eg A-levels, School Certificate, BA etc) and any other professional qualifications (eg accountant, solicitor, etc):

Please indicate which of the following applies:

How many investments have you made in equities quoted on any stock exchange (or in equity funds) in the last 2 years without taking the advice of a stockbroker or financial adviser?

None 1-4 5-9 10 or more

What was the **aggregate** value of the above investments in equities or equity funds?

Below £20,000 £20,000 - £50,000 £50,000 - £100,000 Above £100,000

I consider myself an experienced investor and I regularly make my own investment decisions without taking advice

I understand that the value of my investment in the Service might fall and I could be exposed to significant loss

Your financial situation

It is important that you have sufficient cash to meet your short-term needs and only invest money that you can afford to leave for the medium term. Although you will be able to liquidate your Portfolio if you need to, you must be comfortable that you could withstand losses if you were forced to sell after a fall in value.

I have sufficient other assets and/or income that I can afford for my subscription to be tied up for (please tick the box that best describes you):

More than 5 years 2 - 5 years Less than 2 years

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

Below £20,000 £20,000 - £50,000 £50,000 - £100,000 Above £100,000

Please indicate your net investable assets (excluding your home):

Less than £200,000 £200,000 - £500,000 £500,000 - £1,000,000
Above £1,000,000

Please indicate the value of your home (STBT your main residence) after deduction of any mortgage:

Less than £300,000 £300,000 - £700,000 More than £700,000

You can add any comments related to the previous questions in the box below:

Your investment objectives

It is important that the Service fits your objectives and appetite for investment risk

I am a UK taxpayer and can make use of the potential tax advantages of the Service:

Please indicate your primary objective for making this investment in addition to the potential tax advantages of the Service (tick one option only):

My objective is to achieve capital growth in the long term. I am willing to accept substantial fluctuations in the capital value of the investments in order to achieve this.

My objective is to achieve a steady, modest return on my investment without risking significant capital loss.

My objective is to keep my capital safe and I do not want to take any risk with it.

6. Declaration

I wish to invest the amount shown in Section 2 in the Guinness Best of AIM Service on the terms of the Investor Agreement set out in the Investment Memorandum (which I have read). I understand that on acceptance of this Application Form by the Administrator that the Investor Agreement will be deemed to have been entered into by me as a binding agreement. I have read and agree to The Share Centre's terms of business which are available at <https://www.share.com/global/forms/partners/eis/eis-admin-tobs.pdf>

I confirm that:

a) I am applying on my own behalf.

b) I wish to pay the amount of the agreed Financial Adviser fees in Section 4 above and I am instructing Guinness Asset Management Limited to pay such 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 pay away the amount due from that reserve in order to pay such fees. I understand that I may cancel this fee 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.

c) I have read the Information Memorandum in full. I have paid particular attention to the terms of the Investor Agreement and I have carefully considered the 'Understanding the risks' section.

d) I have provided accurate and not misleading answers on this Application Form and I agree to assist Guinness Asset Management Limited by answering (so far as I can) any further questions in relation to my suitability and by notifying Guinness Asset Management Limited if there is a material change in my personal circumstances, financial position or appetite for risk.

e) I understand that I should take independent advice as to the tax consequences of a Subscription to the Service, and that no information regarding taxation and tax advantages in the Information Memorandum constitutes advice to me as to my tax position (or that of my estate) arising from making such a Subscription.

Signature of Investor:

Date:

Print Name:

Please return the completed application form to:

**Guinness Best of AIM,
c/o The Share Centre,
PO Box 2000,
Aylesbury,
Bucks,
HP21 8ZB**