

# GUINNESS

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ASSET MANAGEMENT LTD

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Guinness AIM EIS  
Application Form for  
Non-Advised Clients

# GUINNESS

ASSET MANAGEMENT LTD

## Guinness AIM EIS Application Form and Suitability Questionnaire

### Application Procedures

In order to subscribe to Guinness AIM EIS certain documentation and confirmations are required. The following notes should assist:

Have you completed the Application Form and signed the Declaration in Section 4.....

Have you enclosed 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 account, made payable to "The Share Centre - Guinness AIM EIS". We do not accept cheques from business accounts or bankers drafts.

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. Funds sent without this Reference may need to be returned to source. Payments need to come from your personal account.

Please return the completed application form to:

Guinness AIM EIS c/o The Share Centre,  
PO Box 2000,  
Aylesbury,  
Buckinghamshire,  
HP21 8ZB

### Any Questions?

Please feel free to contact us on:

T: 020 7222 3475

E: eis@guinnessfunds.com

W: www.guinnessfunds.com

# Notes

## 1. Complete the Application Form in full

Further application forms are available on request from Guinness Asset Management on 020 7222 3475 or at [www.guinnessfunds.com](http://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 or if the application is received late.

## 2. Complete the Suitability Questionnaire

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. Please complete the Suitability Questionnaire to confirm that you are eligible to invest in the Guinness AIM EIS service.

## 3. Enclose your cheque

Your cheque should be made payable to “The Share Centre - Guinness AIM EIS”. 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. Bankers drafts and third party cheques, including those drawn from a business account, cannot be accepted.

## 4. 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.

Provide an original utility bill (or letter from HMRC) 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.

## 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

Guinness AIM EIS -  
Closing April 2019

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

Title: Mr.  Mrs.  Miss.  Other

Surname:

Forename(s):

Current Address:

Postcode:  Time at address (yy/mm)

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

Postcode:

Date of Birth: (dd mm yyyy)  Telephone:

E-mail:

National Insurance No:  Nationality (ies):

Country of Birth:

Tax residence: UK  Other  If other, please specify

Are you a US citizen? Yes  No  Town of Birth:

Tax Reference:  Tax District:

# 2

# Subscription



£  (min. £20,000)

# 3

## Suitability Questionnaire

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

Please indicate if any of the following applies:

YES

- b) You have invested in a similar investment service since 6 April 2014, 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;
- c) You are a member of a network or syndicate of business angels and have been so for at least the last six months;
- d) 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
- e) 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.
- f) Please confirm that you are able to invest in the Guinness AIM EIS 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)
- g) 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 Key Risks section of the Information Memorandum.

h) Please confirm your occupation

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

Less than  £20,000    £20,000 to  £50,000    £50,000 to  £100,000    Over  £100,000

j) 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

k) 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 previous question in the box below:

- |  | YES                      | NO                       |
|--|--------------------------|--------------------------|
| h) In the last 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 next 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.

## 4 Declaration

I wish to invest the amount shown above in the Guinness AIM EIS 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 Administrator 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 Administrator's terms of business which are available at <https://www.share.com/globalassets/assets/downloads/eis-cust-tobs.pdf>

I confirm that:

- a) I wish to seek EIS Relief;
- b) I am applying on my own behalf;
- c) 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 Key Risks section of the Information Memorandum. I have read and kept a copy of the Key Information Document relating to the Guinness AIM EIS.
- d) 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.
- e) 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.
- f) 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.

Guinness Asset Management will use the information you provide on this form to contact you with updates and marketing on EIS and related products. Please tick this box to confirm you are happy to hear from us by post or email.

**Signature of Investor**

**Date**

**Print Name**

Please return the completed application form to:

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