

GUINNESS

ASSET MANAGEMENT LTD



Guinness AIM EIS
Application Form for
Advised Clients

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Guinness AIM EIS Application Form for Advised Clients

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 5.....

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

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

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. 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. 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.

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 (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.

4. 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 Financial Advisor

I confirm that I have advised the investor as to the suitability of this investment.

Contact Name:

Name of Firm:

Address:

Postcode: Individual FCA No.:

Telephone:

E-mail:

Signature of Advisor: Date:

4 Financial Advisor 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 %

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

Bank Details for Financial Advisor

Account Name:

Account Number: Sort Code:

5 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 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.
- d) 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 AIMEIS.
- e) 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.
- f) I have read and understood Guinness Asset Management privacy policy which can be referenced here <http://www.guinnessfunds.com/wp-content/uploads/2018/05/GAM-Privacy-Policy-and-Cookie-Policy.pdf>. As per section 21 of the Terms and Conditions "the Investment Manager may pass personal data to other parties insofar as is necessary in order for it to provide the Service".

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**



