

Application Form Guidance

Step 1: Complete the form

WHERE YOU ARE SUBSCRIBING FOR SHARES DIRECT

- You should complete Sections 1 to 5.
- You should leave Sections 6 to 10 blank.
- Where you are not an existing shareholder of Puma VCT 11 or Puma VCT 12 you must supply the following for anti-money laundering purposes:

EITHER

- An Identify Verification Certificate from a Financial Adviser or Intermediary;

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 (being no more than 3 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 complete Sections 1 to 5.
- You should return this Application Form to your Financial Adviser or Intermediary.
- Your Financial Adviser/Intermediary will complete Sections 6 to 10.

Note: Adviser charge will not be eligible for income tax relief



PUMA VCT 13
Calculated Excellence

APPLICATION FORM

Step 2: Return the form

PAYMENT OPTIONS:

- You should read the Prospectus for VCT 13 plc before applying.
 - You or your Financial Adviser or Intermediary should send this Application Form to the address shown below.
 - 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 13".
Cheques must be drawn from a UK clearing bank.
 - By Bank Transfer: Account Name: SLC Registrars Limited re: Puma VCT 13
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
42-50 Hersham Road
Walton-on-Thames
Surrey
KT12 1RZ

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).



2 Application Form for Puma VCT 13

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	
National Insurance Number			Nationality	
Permanent address				
			Postcode	
Mailing address (if different from above)				
			Postcode	
Email				
Telephone (home)				
Telephone (mobile)				

The printing and postage costs of sending out Puma VCT 13 shareholder documents and notices are paid for by Puma VCT 13 itself. Therefore, to reduce waste and help to cut costs, we will default to sending you notice by email (or by post, if no email address has been provided) when the shareholder documents and notices have been published to the following website: www.pumainvestments.com.

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

☐

You can update your preference at any time by calling us on 020 7408 4100.

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

Total Subscription Amount	£
<small>(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)</small>	
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 <input type="checkbox"/> NO <input type="checkbox"/>	

Section 4 – Applicant's Bank Account Details for Receipt of Payments from Puma VCT 13 plc (eg 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 VCT 13 plc Prospectus in particular the section headed "Risk Factors".
2. You have read and agree to be bound by the Terms and Conditions of Application set out in the Prospectus.
3. You have either supplied an Identity Verification Certificate from a Financial Adviser or Intermediary or, where you do not have a certificate, you have supplied the following:
 - (a) An original certified copy of your passport or driving licence certified by a bank or solicitor stating that it is a "true copy of the original and a true likeness of" followed by your name; and
 - (b) An original or an original certified copy of a bank or building society statement or utility bill being no more than 3 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

Please note that your personal details will not be passed to any other third parties without your consent and so will not be used for any marketing purposes other than as set out here. The personal information provided in this Application Form shall be stored on a database and shall be used by SLC Registrars and Puma Investments to process your application. By submitting this Application Form you shall be treated as indicating your consent to receiving promotional and other marketing material from Puma Investments, the Promoter and their affiliates.

Please tick this box if you do **not** wish to receive marketing materials from us. ☐

These 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
(including the name of any network to which you or your firm is connected)

Hargreaves Lansdown

Financial Adviser/
Intermediary Stamp
(if applicable)

FCA Number

115248

Address

1 College Square South

Anchor Road

Bristol

Postcode

BS1 5HL

Financial Adviser's Details

Administrator's Details (if different to Financial Adviser)

Name

Ella Sibthorpe

Name

Email

Email

Telephone

0117 900 9000

Telephone

Section 7 – Type of Subscription

Please indicate by ticking the appropriate box below the type of subscription into Puma VCT 13 plc:

The Applicant was advised to subscribe for shares in Puma VCT 13 plc

(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)

☐

The Applicant subscribed for shares in Puma VCT 13 plc on an execution-only basis

(Please go to Section 10.)

☒

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.

Adviser Charge (This is paid by SLC Registrars)

£

%

Is VAT payable? (If this box is ticked, we will assume the Adviser Charge above includes VAT and that SLC Registrars should facilitate payment of this)

☐

Section 9 – Please complete the bank details to which the Adviser Charge should be paid

Account Number			
Account Name		Sort code	
Bank Name			

Section 10 – Financial Adviser/Intermediary Declaration

By signing this Application Form, you confirm that:

1. You have read and understood the Puma VCT 13 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 Regulations 2007 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	
---	--	------	--