

Guinness EIS

GUINNESS ENTERPRISE INVESTMENT SCHEME

Application Form for Advised Investors

Please return the completed application
form to:

Guinness Asset Management Limited c/o
Investment Operations Team,
Mainspring Fund Services,
27 Furnival Street,
London EC4A 1JQ

APPLICATION PROCEDURES

NOTES

In order to subscribe to Guinness 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 enclosed a Bank Statement and Utility Bill (see note 3).

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

Cheque

Please enclose a cheque from your personal account, made payable to 'GAM MNL Client Account'.

We do not accept cheques from business accounts or bank drafts.

Bank Transfer

Account name: Mainspring Nominees Limited

Sort Code 16-01-09

Account Number 00667898

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**Guinness Asset Management Limited
c/o Investment Operations Team,
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27 Furnival Street,
London EC4A 1JQ**

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 or if the application is received late.

2 Enclose your cheque

Your cheque should be made payable to 'GAM MNL Client Account'. Your cheque should be drawn from an account in the name of the Applicant at a UK Clearing Bank in order to comply with the Money Laundering Regulations 2007. Bank drafts and third party cheques, including those drawn from a business account, cannot be accepted. If sending a 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.

Please 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.

ANY QUESTIONS?

Please contact us:

 020 7222 3475*

 eis@guinnessfunds.com

 www.guinnessfunds.com

* Phone calls will be recorded.

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)

Current Address

Postcode Time at Address (yy/mm)

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

Postcode

Date of Birth (dd/mm/yy)

Email

Telephone

Nationality(ies)

Country of Birth National Insurance No.

Town of Birth Are you a US citizen? Yes No

Tax Residence UK Other (please specify)

Sort Code Account Number

2 · SUBSCRIPTION

£ (minimum £20,000)

3 · FINANCIAL ADVISOR

Advisor Name

Name of Firm

Address

Postcode Individual FCA No.

Telephone

Email

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

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 in Section 2 in the Guinness 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”). The terms of the Custody Agreement will become applicable to me upon execution of the application form; I consent to the Investment Manager entering into the Custody Agreement with the Custodian; and I acknowledge that my investments will be registered in the name of the Nominee but it will be held on trust by the Nominee and the Investor will remain beneficial owner of the investments. I have accessed the Custody Agreement via <https://systems.mainspringfs.com/documents/guinness/custody-agreement/15p> and have read and understood the terms and confirm my acceptance to the terms of the Custody Agreement.

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 risk factor section of the Information Memorandum. I have read and kept a copy of the Key Information Document relating to the Guinness EIS.
- 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 <https://www.guinnessfunds.com/wp-content/uploads/2019/10/Privacy-Policy-and-Cookie-Policy-October-2019.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”.

- g. This agreement may be accepted in electronic form (eg by an electronic or digital signature or other means of demonstrating assent) and each party’s acceptance shall be deemed binding between the parties. Each party acknowledges and agrees it shall not contest the validity or enforceability of this agreement because they were accepted and/or signed in electronic form. Each party further acknowledges and agrees that it shall not contest the validity or enforceability of a signed facsimile copy of this agreement on the basis that it lacks an original handwritten signature. Facsimile signatures shall be considered valid signatures as of the date of this agreement. Computer maintained records of a party when produced in hard copy form shall constitute business records and shall have the same validity as any other generally recognised business records.

Signature of Investor

Date

Print Name

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CONTACT US

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 eis@guinnessfunds.com

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