

# Kuber

The Alternative Investment Platform

# Probate Application



2019

# From filling out this Probate Application, to creating a portfolio, we make everything simplicity itself.

## Guide to completing the application form

Please print carefully in black ink and BLOCK CAPITALS

### Returning your Probate Application

**By Post (Recorded Delivery recommended) Please return your completed form and the identity documentation described in this section to: Kuber Ventures Limited, Audley House, 12-12a Margaret Street, London, W1W 8RH**

#### By Email

Please return a scanned copy of your completed form and the identity documentation described in this section to: [cs@kuberventures.com](mailto:cs@kuberventures.com)

## Original holder details

Investor ID	<input type="text"/>
Title	<input type="text"/>
Forenames	<input type="text"/>
Middle name	<input type="text"/>
Surname	<input type="text"/>
Date of birth	<input type="text"/>
Telephone	<input type="text"/>
Address	<input type="text"/>

## Customer Due Diligence Requirements:

By completing and signing the Adviser Confirmation on page 5 of this Share Transfer Application, your FCA – authorised Adviser confirms your identity. In addition to this, we require CDD documentation as stipulated below:

CDD documentation as follows:

- Please enclose a certified copy of 2 pieces of identity – one from list A below and one from list B below.
- Copies must be certified as a true copy of the original document with confirmation that the photograph is a likeness. Documents may be certified by a professional authorised to sign such documents e.g. solicitor with a current UK practising certificate, a qualified accountant or an FCA authorised individual. Please ensure the certifier dates and prints their name along with their signature and confirms their profession.
- List A - Photo identity (must be current, valid and have at least 6 months left to run)
  - A current passport, photo card driving licence or gun licence
- List B - Confirmation of address
  - Utility bill, bank, building society or credit card statement (Mastercard or Visa only) or local authority tax bill. These items must be dated within the last 3 months.
  - A current photo card driving licence confirming address (if not being used as proof of identity).
- Please note that mobile telephone bills or items printed from the internet are not valid forms of identity.

# 01 | Personal details – Transferee

Title	<input type="text"/>	Address	
Forenames	<input type="text"/>		
Middle name	<input type="text"/>		Required if at current address for less than 3 years, please provide date.
Surname	<input type="text"/>	Previous address	
Date of birth	<input type="text"/>	Email	<input type="text"/>
Telephone	<input type="text"/>	Country of birth	<input type="text"/>
Unique tax reference	<input type="text"/>	National Insurance number	<input type="text"/>
Nationality	<input type="text"/>	Other Tax Identification numbers	<input type="text"/>
UK Tax Resident	<input type="checkbox"/>	Please list any other tax residences	<input type="text"/>
US Tax payer	<input type="checkbox"/>		
If yes US Tax identification Number	<input type="text"/>		

Names and partnership registration number (if applicable) of any partnerships which you are a member of:

Names of any relative(s) also making or have already made an application to the Scheme: (Includes spouse, parents, grandparents, children and grandchildren.)

If there is a registered Power of Attorney (POA)

- POA document and verification of identity documents for each POA
- Unless notified otherwise, all correspondence will be sent to POA
- POA Name:
- POA date of birth: (DD MM YYYY)

  


If you'd like us to send correspondence to the POA, please give us their address (if different from the above).

## 02 | Bank Account Details

Please provide details of the bank account to which you would like any distributions credited.

Account holder	<input type="text"/>
Account number	<input type="text"/>
Sort code	<input type="text"/> / <input type="text"/> / <input type="text"/>
Bank name	<input type="text"/>

## 03 | Adviser Details and Confirmation (if relevant)

Contact	<input type="text"/>	Email	<input type="text"/>
Firm name	<input type="text"/>	Address	<input type="text"/>
Telephone	<input type="text"/>		
Firm FCA number	<input type="text"/>		

If you would like us to facilitate the payment of an agreed fee to your adviser please specify the required remuneration by completing the appropriate box/boxes:

Agreed initial remuneration*	£	%
Agreed ongoing remuneration of the funds under management*	£	%

\* % of total investment outlined in the section above.

By signing this form, you hereby appoint your adviser as an authorised third party. Kuber will therefore act upon any reasonable instruction received from the nominated third party in respect of your investments.

Please tick box if you do not wish Kuber Ventures to take this instruction from this third party.

Please tick box if you do not want copies of your correspondence sent to your adviser.

# 04 | Correspondence

Please indicate where you would like any correspondence sent to. **(please tick one box only).**

Yourself   
 Adviser   
 Accountant  (Please complete details below)

Please provide Accountant details if you wish them to receive correspondence.

Firm name   
 Contact   
 Telephone   
 Email   
 Address

# 05 | Data Protection

By providing personal information as part of your application and by signing this Application Form, you hereby confirm that you consent to the use of your personal information.

All data which you provide to the Administrator, Portfolio Managers, Promoter and your Authorised Financial Adviser (as appropriate) will be held by the relevant party subject to the Data Protection Act 2018.

The relevant parties will pass your personal data to each other and to other parties insofar as is necessary in order for them to provide their services as set out in this agreement and to the FCA and any regulatory authority which regulates them and in accordance with all other applicable laws.

Please indicate if your personal information may be used by the following organisations to send you details of new and existing products (including by email). Your permission may be withdrawn at any time by notifying the relevant organisation in writing that it may no longer be used in this way.

Kuber Ventures Limited   
 Your chosen Portfolio Managers

# 06 | Shares to be transferred

Please see appendix 1 and tick the shares to be transferred to the new holder, as detailed in this form

# 07 | Declaration/Terms & Conditions

I confirm that:

1. I have read the Guide to Investing for EIS, SEIS and BPR (as appropriate), the Platform Guide and all Scheme documents listed in the Fund Factsheet in relation to the Schemes in which I will be invested. By signing this declaration, I agree to the terms of and to be bound as a party to:
  - (a) the Platform Agreement,
  - (b) the Investment Management Agreement or, where indicated in the Fund Fact Sheet for a Scheme, the Manager's own Investor Agreement; and
  - (c) the Administration and Custody Agreement which I authorise either the Manager (under the terms of the Investment Management Agreement), or Kuber (under the terms of the Platform Agreement) to enter into on my behalf.
2. I instruct the Portfolio Managers to pay any proceeds, dividends, distributions or other payments that may from time to time be payable to me to the Administrator to hold on my behalf under the terms of the Administration and Custody Agreement.
3. I instruct the Portfolio Managers to provide all reports, statements and other information regarding the Schemes in which I invest to Kuber who will receive them on my behalf and will make them available to me via the Platform.
4. I acknowledge that neither Kuber Ventures Limited, the Portfolio Managers, Sturgeon Ventures LLP, Woodside Corporate Services Ltd nor Charles Russell Speechlys LLP are providing investment, legal, financial, tax or other advice and that any tax information provided is in the context of an investment into the Portfolio.
5. I have read this Application Form and I confirm that I have provided information on my personal and financial circumstances which is true and accurate at the date of this Form.
6. I will notify the Portfolio Managers via Kuber Ventures if the information on my personal and financial circumstances as provided in this Form changes.
7. I have advised the Portfolio Managers if I am a person who is subject to professional rules preventing me from making investments in particular Investee Companies.
8. I consent to the order execution policy contained within the Investor Agreement in the Kuber Platform Guide and provide my express consent that, on occasions when the Portfolio Managers pass an order to another party for execution, the counter party may execute the trade outside a regulated market or multilateral trading facility and may not publish any unexecuted client limit orders.
9. Where applicable, I confirm that the adviser in section 4 is appointed as an authorised 3rd party and I consent to the remuneration detailed in section 4 being paid to my financial adviser.
10. I instruct Kuber Ventures Limited to transfer the ownership of the shares indicated to the Transferee above and agree for my shares to be held by WCS Nominees Limited on my behalf.

Transferee  
Signature

Date

 /  / 

## Adviser Confirmation (please sign below)

We confirm to the Managers that the Investor is a customer of our firm and we have assessed this investment to be suitable for the Applicant

We consent to the Managers relying on this assessment certificate

Signature  
of Adviser

Print name

We have confirmed the identity of the investor and verified the details given in section 1. The evidence that we hold meets the standard required by The Money Laundering Regulations 2017 and set out within the guidance for the UK financial sector issued by JMLSG; or

We have enclosed evidence to support the details given in Section 1. (ie one item of documentation from List A and one item from List B, as specified overleaf)

FCA Number

Date

 /  /

# Please once again ensure you have completed the relevant sections as necessary:

Section 1 – Personal Details

Section 2 – Bank Account details

Section 3 – Adviser details and confirmation

Section 4 – Correspondence

Section 5 – Data Protection

Section 6 – Shares to be transferred (Appendix 1)

Section 7 – Declaration

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[www.kuberventures.com](http://www.kuberventures.com)

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