

# Client Onboarding: what to expect

We're delighted that you're considering investing with us, and we're committed to making your onboarding experience as smooth as possible. This guide outlines the client onboarding process from us receiving your application to your shares being allotted and answers frequently asked questions, to help you to know what to expect. Our Client Onboarding team is always available to assist, so feel free to reach out to them via phone or email if you have any questions.

## THE PROCESS

- 1** Application to invest is received by Puma Investments.  
If a cheque has been sent with the application, we aim to bank this on the same day, and this can take up to 5 business days to clear.
- 2** Puma will process the application form and issue a letter of confirmation to the financial adviser and investor(s).  
If there is any outstanding information, a request will be sent to the Financial Adviser.
- 3** Anti-Money Laundering(AML) checks on all applicants are completed and if successful, a letter is issued to both the Financial Adviser and investor(s) with the bank details and payment reference to be used when sending application funds (for bank transfers only).  
Bank details for payment cannot be provided prior to AML checks being completed due to stringent controls in place to help us meet legal and regulatory requirements and protect investors against fraud and operational delays.
- 4** Application funds are received by Puma Investments. Once cleared, confirmation of receipt of funds is issued to both the Financial Adviser and investor(s).
- 5** An allotment of shares takes place and the investor(s) investment reference number is generated.
- 6** An allotment confirmation letter is issued to the Financial Adviser and investor within 3 business days.  
Initial adviser charges are paid (if applicable) and a fee statement is issued to the Financial Adviser.

Please note: The timings above are targets only and subject to change.

# FAQs

---

## Where do I submit my application?

The application can be submitted via post to Puma Investments, Attn: Client Onboarding, Cassini House, 57 St James's Street, London, SW1A 1LD or emailed to [clintonboarding@pumainvestments.co.uk](mailto:clintonboarding@pumainvestments.co.uk).

## Do you accept electronic signatures?

We accept DocuSign, AdobeSign and Signable, providing we have been sent a copy of the summary and the email address used matches the one listed on the application form. Please note, this is not an exhaustive list, and there may be other electronic signing methods that we can accept, but this would need to be approved by Puma prior to the application being signed.

## When will my shares be allotted?

Puma Heritage EPS allotments occur weekly on a Tuesday (excluding the first Tuesday of each month). We must be in receipt of a valid application two business days prior to the allotment occurring to be included in the allotment.

## Who will you send confirmation letters and updates to?

All correspondence is sent directly to the underlying investor (or Power of Attorney, if applicable) and copies of all correspondence are uploaded to the Puma Adviser portal, for Financial Advisers to access. We aim to send any relevant confirmations and updates within two business days of each step above.

## I have requested that an initial adviser fee is paid directly to my adviser, when will this happen?

Any applicable initial adviser charges will be paid within five business days of the allotment occurring and the initial adviser charge statement will be uploaded to the Puma Adviser portal after the payment has been made.

Please note: The timings above are targets only and subject to change.



An application becomes valid once:

- A fully completed application form has been received
- Anti Money Laundering checks on all applicants have passed
- Application funds have been received and cleared
- All mandatory information has been provided

Please ensure **every section in the application is completed in full**, to avoid potential delays. Commonly missed information includes occupation, nationality, client(s) signature(s) and adviser bank details.

## Get in touch

We're here to help

### CLIENT ONBOARDING TEAM

If you have any other questions please contact us on

**020 7408 4077** or email us at

[clintonboarding@pumainvestments.co.uk](mailto:clintonboarding@pumainvestments.co.uk)