NSI Voluntary Notification Information Gathering Form

The purpose of this form is to gather the information required to help in preparing and submitting a voluntary notification on the government platform under the NSI regime. The form consists of two parts: **Part I: To be filled in by Staff Member at your Institution** and **Part II: To be filled in by the acquirer’s contact person.**

Please return the fully completed form to *[email of your institution’s NSI team/representative]*

**Part I: To be filled in by Staff Member at your institution**

Information about yourself in relation to this activity that may need a voluntary notification under the NSI Act:

|  |  |
| --- | --- |
| I am the… | Choose the most appropriate description. |

Information about the research activities, IP or items that will be transferred:

|  |  |  |
| --- | --- | --- |
| Which sectors are relevant to this notification  *Tick* ***all*** *that apply* | Advanced Materials |  |
| Advanced Robotics |  |
| Artificial Intelligence |  |
| Civil Nuclear |  |
| Communications |  |
| Computing Hardware |  |
| Critical Suppliers to the Emergency Services Sector |  |
| Critical Suppliers to the Government |  |
| Cryptographic Authentication |  |
| Data Infrastructure |  |
| Defence |  |
| Energy |  |
| Engineering Biology |  |
| Military and Dual-Use |  |
| Do you have an export control code? Click or tap here to add code if applicable. |
| Quantum technologies |  |
| Satellite and space technology |  |
| Transport |  |
| Agriculture, forestry, and fishing |  |
| Mining and quarrying |  |
| Manufacturing |  |
| Water supply, sewerage, waste management and remediation activities |  |
| Construction |  |
| Wholesale and retail trade, repair of motor vehicles and motorcycles |  |
| Transportation and storage |  |
| Accommodation and food service activities |  |
| Information and communication |  |
| Financial and Insurance activities |  |
| Professional, scientific and technical activities |  |
| Administrative and support service activities |  |
| Public administration and defence; compulsory social security |  |
| Academic research and development in higher education |  |
| Human health and social work activities |  |
| Describe the qualifying entity’s activities within these sectors.  *(Max. 5,000 characters)* | Click or tap here to enter text. | |
| At what stage is the acquisition? | Choose the stage of the acquisition. | |
| What are you notifying about? | Choose the notification type. | |
| Will the acquisition provide the ability for the acquirer to use, control or direct the asset?  *This includes the acquirer further increasing any existing ability to use, control or direct the asset* | Choose Yes or No | |
| Describe the nature of the right or interest being acquired and the level of control it provides.  *(Max. 5,000 characters)* | Click or tap here to enter text. | |
| Dates | | |
| When is the acquisition expected to take place?  *Enter an approximate date if you are not sure. DD/MM/YYYY* | Click or tap here to enter text. | |
| Additional information related to above date | Click or tap here to enter text. | |
| To the best of your knowledge, will the acquisition require approval from any UK regulators? | Choose Yes or No | |
| Regulatory approvals (if applicable) | | |
| Name of regulator | Click or tap here to enter text. | |
| Expected date of regulatory approval  Enter an approximate date if you are not sure. | Click or tap here to enter text. | |
| Additional information  *(Max. 5,000 characters)* | Click or tap here to enter text. | |
| Are there any other key dates you consider relevant to this notification? | Choose Yes or No | |
| Key dates (if applicable) | | |
| Key date(s)  *Enter an approximate date if you are not sure.* | Click or tap here to enter text. | |
| Why this date is relevant?  *(Max. 5,000 characters)* | Click or tap here to enter text. | |

Qualifying asset details:

|  |  |
| --- | --- |
| About the qualifying asset | |
| Full name of asset | Click or tap here to enter text. |
| Which qualifying asset type does this notification relate to? | Choose type of qualifying asset |
| Address of qualifying asset  *Leave blank if N/A* | Click or tap here to enter text. |
| Describe the qualifying asset  *(Max. 5,000 characters)* | Click or tap here to enter text. |
| Additional information  *(Max. 1,800 characters)* | Click or tap here to enter text. |
| To the best of your knowledge, does the qualifying asset have a UK government Security Classification? | Choose Yes or No |
| UK Government Security Classification (if applicable) | |
| What is the qualifying asset's highest Security Classification level? | Choose the qualifying asset highest classification level. |
| Which government department, agency or public body does the information come from? | Click or tap here to enter text. |
| Description of why the qualifying asset has a UK government Security Classification  *(Max. 5,000 characters)* | Click or tap here to enter text. |
| To the best of your knowledge, does the owner of the qualifying asset hold any licences to operate the asset within its sector in the UK? | Choose Yes or No |
| Licence information (if applicable) | |
| Name of licence | Click or tap here to enter text. |
| Name of issuer or regulator | Click or tap here to enter text. |
| Date issued  *Enter an approximate date if you are not sure.* | Click or tap here to enter text. |
| To the best of your knowledge, is the qualifying asset considered to be a dual-use item | Choose Yes or No |
| Dual-use item details (if applicable) | |
| Name of asset that is considered a dual-use item | Click or tap here to enter text. |
| Description of dual-use item and its application  *(Max. 5,000 characters)* | Click or tap here to enter text. |
| To the best of your knowledge, is the qualifying asset used to gather or hold data on UK citizens | Choose Yes or No |
| Describe the data gathered or held  *(Max. 5,000 characters)* | Click or tap here to enter text. |
| Does the qualifying asset hold any UK or internationally recognised standards, accreditations or certifications relevant to the sectors covered by this notification? | Choose Yes or No |
| Internationally recognised standards, accreditations, or certifications (if applicable) | |
| Names of the standards, accreditations or certifications held | Click or tap here to enter text. |
| Additional information (optional)  *(Max. 5,000 characters)* | Click or tap here to enter text. |
| Ownership and structure of qualifying asset | |
| Pre-acquisition ownership | Add a document which describes the ownership of the qualifying asset before the acquisition. It can be also in the form of an organigram.  The document must include:   * The full names of those with rights or interests in the qualifying asset before the acquisition * Any other information that is relevant   File must be 10MB or less in PDF, DOCX, XLSX or PPTX format |
| Post-acquisition ownership | Add a document which describes the ownership of the qualifying asset after the acquisition.    The document must include:   * The full names of those with rights or interests in the qualifying asset after the acquisition * The changes in the rights or interests held in the qualifying asset as a result of the acquisition * Any other information that is relevant   .  File must be 10MB or less in PDF, DOCX, XLSX or PPTX format |
| To the best of your knowledge, does any non-UK government have a direct or indirect role in controlling how the qualifying asset is used? | Choose Yes or No |
| Non-UK government (if applicable) | |
| Name of non-UK government and description of its role and interests  *(Max. 5,000 characters)* | Click or tap here to enter text. |

Additional information

|  |  |
| --- | --- |
| Other relevant documentation and information on the acquisition | You can add any other documents that are relevant to the acquisition.  Files must be 10MB or less in PDF, DOCX, XLSX or PPTX format |
| Any additional comments or information that you consider relevant to the acquisition (optional)  *(Max. 5,000 characters)* | Click or tap here to enter text. |

**Part II: To be filled in by the acquirer’s contact person**

Acquirer Party Details:

|  |  |
| --- | --- |
| About the Acquirer | |
| Name of acquirer | Click or tap here to enter text. |
| Country of incorporation or nationality | Click or tap here to enter text. |
| Is the acquirer an entity or an individual? | Click or tap here to enter text. |
| Companies House registration number  *Leave blank it not applicable* | Click or tap here to enter text. |
| Standard industrial classification (SIC) code  *Leave blank it not applicable* | Click or tap here to enter text. |
| Registration details (if the entity incorporated outside the UK)  *Leave blank it not applicable* | Click or tap here to enter text. |
| Describe the acquirer's products, services and activities  *(Max. 500 words)* | Click or tap here to enter text. |
| Additional information  *(Max. 400 words)* | Click or tap here to enter text. |
| To the best of your knowledge, does any non-UK government, or representative of any non-UK government, have share ownership or voting rights in the acquirer? | Choose Yes or No |
| Additional information - Please provide any other additional information that is relevant *(Max. 200 words)* | Click or tap here to enter text. |
| Non-UK government or representative that has share ownership or voting rights in the acquirer | |
| Name of non-UK government or representative | Click or tap here to enter text. |
| Name of person or entity acting on behalf of non-UK government | Click or tap here to enter text. |
| Percentage of share ownership or voting rights it holds | Click or tap here to enter text. |
| Any other information that you consider relevant (optional)  *(Max. 5,000 characters)* | Click or tap here to enter text. |
| To the best of your knowledge, does any non-UK government have a direct or indirect role in the operation or decision making of the acquirer? | Choose Yes or No |
| Non-UK governments or representatives that have a direct or indirect role in the operation or decision making of the acquirer | |
| Name of non-UK government | Click or tap here to enter text. |
| Description of its role  *(Max. 5,000 characters)* | Click or tap here to enter text. |
| To the best of your knowledge, when the acquisition completes, will there be any contractual arrangements in place regarding share ownership or voting rights between the acquirer and any other party? | Choose Yes or No |
| Summary of contractual arrangements  *(Max. 5,000 characters)* | Click or tap here to enter text. |
| Ownership and structure of acquirer | |
| Structure chart of acquirer | Add a document which includes details of all shareholders who have share ownership or voting rights of 5% or over.  It must include each relevant shareholder's:   * full name * percentage of ownership * details of voting rights * nationality (or country of incorporation if it is an entity)   The document must also specify whether or not any individual or entity is acquiring indirect control over the qualifying entity.  If indirect control is being acquired, specify the chain of entities which holds an interest or right in the acquirer, up to the last entity which holds the interest or right.  The document must also include any other information that is relevant. It can be in the form of an organigram.  File must be 10MB or less in PDF, DOCX, XLSX or PPTX format |
| Add all members of the board of directors or equivalent within the acquirer | |
| Full name | Click or tap here to enter text. |
| Date of birth | Click or tap here to enter text. |
| Position held | Click or tap here to enter text. |
| Is this person classified as a Politically Exposed Person (PEP) or similar? | Choose Yes or No |

A close-up of a message

Description automatically generated

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