

The information you need to provide when submitting a retrospective National Security and Investment (NSI) Act validation

This document contains all the questions you'll be asked when completing a retrospective validation. It can help you collect all the information you need before submitting your validation.

You can also read [NSI Act guidance](#) if you need information about how to answer the questions.

Some questions may not be relevant to your situation. For example:

- if you're an acquirer who's submitting the validation, you will not need to provide information about your representative
- if you say there are no key dates related to the acquisition, you will not need to give further information about key dates

Once you've collected all the information, you'll need to enter it into the [Submit a National Security and Investment notification](#) service.

You will not be able to submit this information by post or email without prior permission from the Investment Security Unit (ISU).

To request permission, you can contact the ISU at investment.screening@beis.gov.uk.

1. Contact details and related notifications

1a. About you and the notifier

Which type of notifier are you?

- Acquirer
- Seller
- Qualifying entity
- Other

Are you the acquirer or a representative of the acquirer?

- Acquirer
- Representative of acquirer

About the acquirer

Name of acquirer

Business address of acquirer

Your full name

Your position

Your email

Your telephone

Are you authorised to accept all correspondence about this notification?

- Yes
- No:

Full name of authorised person

This is the person we will contact about this notification

Position

Email

Telephone

About the notifier and its authorised representative

Name of notifier

Full name of person within notifier we can contact if needed

Email of person within notifier we can contact if needed

Telephone of person within notifier we can contact if needed

Name of representative

Lead representatives

Full name of authorised individual from representative

This is the person we will contact about this notification

Email of authorised individual

Telephone of authorised individual

Relationship to notifier

Is this individual authorised to accept all correspondence and accept service?

- Yes
- No

Is there more than one acquirer involved in this acquisition?

- Yes
- No

Add acquirers

Provide information about other acquirers.

Name of acquirer

Full name of authorised individual from acquirer

Leave blank if not applicable

Expected or proposed percentage of ownership to be held in the qualifying entity following the acquisition

Enter percentage as a number

Business address of acquirer

Telephone of acquirer

Email of authorised individual

1b. Related notifications

To the best of your knowledge, has the acquirer submitted a notification to any overseas investment screening regimes within the last 12 months?

- Yes
- No

Please provide details of previous notification

Provide information about a notification the acquirer has submitted to an overseas investment screening regime.

Enter details including name, reference numbers and any other relevant information

You have 5,000 characters

2. Acquisition details

2a. Relevant sectors and 'trigger events'

To the best of your knowledge, explain why the UK government was not notified about this acquisition, as required under the National Security and Investment Act 2021

You have 5,000 characters

Which sectors are relevant to this notification?

Select 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
- Synthetic biology
- Military and dual-use
- Quantum technologies
- Satellite and space technology
- Transport

Additional information (optional)

Describe the qualifying entity's activities within these sectors. You have 5,000 characters

Select all 'trigger events' that apply to the acquisition

- The percentage of the share that the person holds in the entity meets the relevant control thresholds.**

Describe the acquisition and provide details on the shareholding rights acquired. Specify if percentage of shareholding rights increased

- from 25% or less to more than 25%
- from 50% or less to more than 50%, or
- from less than 75% to 75% or more

You have 5,000 characters

- **The percentage of the voting rights that the person holds in the entity meets the relevant control thresholds.**

Describe the acquisition and provide details on the voting rights acquired. Specify if percentage of voting rights increased

- from 25% or less to more than 25%
- from 50% or less to more than 50%, or
- from less than 75% to 75% or more

You have 5,000 characters

- **The acquisition of voting rights in the qualifying entity, whether alone or together with other voting rights held, will enable the acquirer to secure or prevent the passage of any class of resolution governing the affairs of the entity.**

Describe the acquisition and provide details on the voting rights acquired. Specify if percentage of voting rights increased.

You have 5,000 characters

2b. Key dates

When did the acquisition take place?

Enter an approximate date if you're not sure. For example, 1 11 2022

Date

Additional information

You have 5,000 characters

To the best of your knowledge, will the acquisition require approval from any UK regulators?

This includes any approvals that have already been given.

- Yes
- No

Add regulatory approvals

Name of regulator

Expected date of regulatory approval

Enter an approximate date if you're not sure. For example, 1 11 2022

Additional information (optional)

You have 5,000 characters

Are there any other key dates you consider relevant to this notification?

- Yes
- No

Add a key date

Provide information about key dates.

Key date

Enter an approximate date if you're not sure. For example, 1 11 2022

Why this date is relevant

You have 5,000 characters

3. Qualifying entity details

3a. About the qualifying entity

About the qualifying entity

Name of qualifying entity

Business address of qualifying entity

You have 250 characters

Website of qualifying entity

Leave blank if not applicable

Describe the qualifying entity's UK activities, products and services

You have 5,000 characters

Contact details of authorised individual in qualifying entity

Full name

Leave blank if not applicable

Email

Leave blank if not applicable

Telephone

Leave blank if not applicable

If incorporated in the UK

Companies House registration number

Leave blank if not applicable

Standard industrial classification (SIC) code

Leave blank if not applicable

If incorporated outside the UK

Country of incorporation

Leave blank if not applicable

Full registration details within country of incorporation

Leave blank if not applicable

Does the qualifying entity carry out activities in, or supply goods or services to, the UK?

- Yes

Briefly describe the activities carried out in the UK or goods supplied or services supplied to the UK

- No

To the best of your knowledge, is the qualifying entity authorised to receive or hold information that has a UK Government Security Classification?

- Yes
- No

Add UK Government Security Classifications

Classification level

- Official
- Secret
- Top Secret
- Other

Which government department, agency or public body does the information come from?

Description of information received or held

You have 5,000 characters

To the best of your knowledge, does the qualifying entity hold any licences to operate within its sector in the UK?

- Yes
- No

Add licences

Provide information about a licence.

Name of licence

Name of issuer or regulator

Date issued

Enter an approximate date if you're not sure. For example, 1 11 2022

To the best of your knowledge, does the qualifying entity hold or own any dual-use items?

- Yes
- No

Add dual-use items

Provide information about a dual-use item.

Name of item

Description of item

You have 5,000 characters

To the best of your knowledge, in the last 5 years has the qualifying entity had a supply relationship with the UK government in any of the following

areas?

The areas are:

- defence
- national security responsibilities
- law enforcement
- national infrastructure sector

This includes supply relationships with any UK government department, agency or public body.

- Yes
- No

Add supply relationships

Description of supply relationship

You have 5,000 characters

Area

- defence
- national security responsibilities
- law enforcement
- national infrastructure sector

UK government department, agency or public body

To the best of your knowledge, in the last 5 years has the qualifying entity entered into any research and development that has been partly or wholly funded by the UK government in the following areas?

The areas are:

- defence
- national security responsibilities
- law enforcement
- national infrastructure sector

This includes research and development funded by any UK government department, agency or public body.

Add funded research and development projects

Provide information about a research and development project

Name of research and development project

Area:

- defence
- national security responsibilities
- law enforcement
- national infrastructure sector

Description of the research and development undertaken

You have 5,000 characters

UK government department, agency or public body that funded the research and development

To the best of your knowledge, is the qualifying entity currently party to any contracts that require personnel to hold National Security Vetting (NSV) clearance?

Provide information about a required NSV security clearance.

- Yes
- No

Add National Security Vetting (NSV) clearances required by personnel

Level of NSV security clearance

For example, BPSS

Number of personnel with this level of clearance

3b. Ownership and structure of qualifying entity

Pre-acquisition structure chart of qualifying entity

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 include any other information that is relevant.

File must be 10MB or less in PDF, DOCX, XLSX or PPTX format

Expected post-acquisition structure chart of qualifying entity

Add a document which includes details of all shareholders who are expected to 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 include 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 the operation or decision making of the qualifying entity?

- Yes
 - No
-

Add non-UK governments or representatives that have a role in the operation or decision making of the qualifying entity

Provide information about a non-UK government or representative.

Name of non-UK government or representative

Describe its role and interests

You have 5,000 characters

4. Acquirer details

4a. About the acquirer

About the acquirer

Name of acquirer

Country of incorporation or nationality

Is the acquirer an entity or an individual?

Companies House registration number

Leave blank if not applicable

Standard industrial classification (SIC) code

Leave blank if not applicable

If incorporated outside the UK, full registration details within country of incorporation

Leave blank if not applicable

Describe the acquirer's products, services and activities

Enter 500 words or fewer

Additional information

Enter 400 words or fewer

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?

- Yes
- No

Additional information

Please provide any other additional information that is relevant (200 words)

Add a non-UK government or representative that has share ownership or voting rights in the acquirer

Provide information about a non-UK government or representative.

Name of non-UK government or representative

Name of person or entity acting on behalf of non-UK government

Percentage of share ownership or voting rights it holds

Any other information that you consider relevant (optional)

You have 5,000 characters

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?

- Yes
- No

Add non-UK governments or representatives that have a role in the operation or decision making of the acquirer

Provide information about a non-UK government or representative.

Name of non-UK government

Description of the role

You have 5,000 characters

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?

- Yes

Summary of contractual arrangements

You have 5,000 characters

- No

4b. 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.

File must be 10MB or less in PDF, DOCX, XLSX or PPTX format

Add members of the board of directors or equivalent within the acquirer

The information should be correct at the time of submitting this notification.

Full name

Date of birth

For example, 12 11 1987

Position held

Is this person classified as a Politically Exposed Person (PEP) or similar?

5. Additional information

Other relevant documentation and information

Other relevant documentation and information on the acquisition

You can add up to 4 documents that are relevant to the acquisition.

Files must be 10MB or less in PDF, DOCX, XLSX or PPTX format

Add any additional comments or information that you consider relevant to the acquisition (optional)

You have 5,000 characters
