

# 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@cabinetoffice.gov.uk](mailto:investment.screening@cabinetoffice.gov.uk).

## 1. Contact details and related notifications

### About you and the notifier

#### Which type of notifier are you?

If you're a representative of a notifier, select the party you're representing.

- Acquirer
- Seller
- Qualifying entity

#### Are you the notifier or a representative of the notifier?

- Notifier
- Representative of notifier

## About the notifier

Name of notifier

Business address of notifier

(You have 200 characters)

Your full name

Your position

Your email

Your telephone

Are you authorised to accept all correspondence about this notification?

- Yes  
 No

If 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 an acquirer**

**Name of acquirer**

**Full name of authorised individual from acquirer**

Leave blank if not applicable.

**Email of authorised individual**

**Name of authorised representative of acquiring party**

Leave blank if not applicable.

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

**Business address of acquirer**

(You have 200 characters)

Telephone of acquirer

## 1. Contact details and related notifications

### 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

If Yes:

#### **Please provide details of previous notification**

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

(You have 5,000 characters)

## 2. Acquisition details

### 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 government
- Cryptographic authentication
- Data infrastructure
- Defence
- Energy
- Military and dual-use
- Quantum technologies
- Satellite and space technology
- Suppliers to the emergency services
- Synthetic biology
- Transport

**Additional information**

Describe the qualifying entity's activities within these sectors.

(You have 5,000 characters)

**Select the 'trigger events' that apply to the acquisition**

Select all that apply.

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

**Additional Information**

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

- 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 5000 characters)

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

**Additional Information**

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

- 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.**

**Additional Information**

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

- 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)



## 2. Acquisition details

### Key dates

#### When did the acquisition take place?

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

Day	Month	Year
<input type="text"/>	<input type="text"/>	<input type="text"/>

#### 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 a regulatory approval

Name of regulator

#### Expected date of regulatory approval

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

Day	Month	Year
<input type="text"/>	<input type="text"/>	<input type="text"/>

**Additional information**

Leave blank if not applicable.

(You have 5,000 characters)

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

- Yes
- No

**Add a key date**

**Key date**

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

Day	Month	Year
<input type="text"/>	<input type="text"/>	<input type="text"/>

**Why this date is relevant**

(You have 5,000 characters)

### 3. Qualifying entity details

#### 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 2,500 characters)

**Contact details of authorised individual in qualifying entity**

**Full name**

**Email**

**Telephone**

## 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.

### Unique business reference

Leave blank if not applicable.

### Full registration details within country of incorporation

Leave blank if not applicable.

(You have 5000 characters)

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

- Yes
- No

If Yes:

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

(You have 2500 characters)

**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 a UK Government Security Classification**

#### **Classification level**

- OFFICIAL
- SECRET
- TOP SECRET
- Other

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

- Attorney General's Office
- Cabinet Office
- Department for Business and Trade
- Department for Culture, Media & Sport
- Department for Education
- Department for Energy Security and Net Zero
- Department for Environment Food & Rural Affairs
- Department for Health & Social Care
- Department for Levelling Up, Housing and Communities
- Department for Science, Innovation and Technology
- Department for Transport
- Department for Work and Pensions
- Foreign, Commonwealth and Development Office
- HM Treasury
- Home Office
- Ministry of Defence
- Ministry of Justice
- Northern Ireland Office
- Office of the Advocate General for Scotland
- Office of the Leader of the House of Commons
- Office of the Leader of the House of Lords

- Office of the Secretary of State for Scotland
- Office of the Secretary of State for Wales
- UK Export Finance
- Other

**Name of other government department, agency or public body**

Leave blank unless you've selected 'Other'.

**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 a licence**

**Name of licence**

**Name of issuer or regulator**

**Date issued or declined**

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

Day	Month	Year
<input type="text"/>	<input type="text"/>	<input type="text"/>

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

- Yes
- No

**Add 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 a supply relationship

### 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.

- Yes
- No



## Add a funded 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?**

- Yes
- No

## Add a National Security Vetting (NSV) clearance required by personnel

### Level of NSV security clearance

For example, BPSS.

### Number of personnel with this level of clearance

## 3. Qualifying entity details

### Ownership and structure

#### Pre-acquisition structure chart of qualifying entity

Add a document that 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 that 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 a non-UK government that has a direct or indirect role in the operation or decision making of the qualifying entity**

**Name of non-UK government**

**Describe its role and interests**

(You have 5,000 characters)

## 4. Acquiring party details

### About the acquirer

**Name of acquirer**

**Country of incorporation or nationality**

**Is the acquirer and entity or an individual?**

- Entity
- Individual

If Individual is selected, please skip to: Acquirer's products, services and activities.

## Registration details for the acquiring entity

Companies House registration number

SIC reference

Registration details if the entity incorporated outside the UK

- Yes  
 No

If Yes:

Unique business reference

Leave blank if not applicable.

Full registration details within country of incorporation

Leave blank if not applicable.

(You have 1000 characters)

## Acquirer details

Description of the acquiring party products or activities or services

e.g. what services/products does the acquiring party provide or carries out.

(You have 3000 characters)

**Additional information**

Leave blank if not applicable.

(You have 2500 characters)

**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

**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 or representative**

**Percentage of share ownership or voting rights it holds**

**Any other information that you consider relevant**

Leave blank if not applicable.

(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 a non-UK government or representative that has a direct or indirect role in the operation or decision making of the acquirer?**

**Name of non-UK government or representative**

**Description of the role**

(You have 5,000 characters)

**To the best of your knowledge, are there be any contractual arrangements in place regarding share ownership or voting rights between the acquirer and any other party?**

- Yes
- No

If Yes:

**Description of contractual arrangements**

(You have 5,000 characters)

## 4. Acquiring party details

### Ownership and structure of acquirer

#### Structure chart of acquirer

Add a document that 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 a member of the board of directors or equivalent within the acquirer

**Full name**

**Date of birth**

For example, 12 11 1987.

Day      Month      Year

**Position held**

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

- Yes  
 No

## 5. Declaration and other relevant information

### Signed declaration and other relevant documentation

#### 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

#### Upload a copy of the signed declaration

You must add Declaration A if you are the notifying party in an acquisition, submitting the notification without an authorised representative acting on your behalf.

You must add Declaration A and Declaration B if you are acting as the authorised representative of the notifying party, submitting the notification on their behalf. Declaration A will be signed by the nominated person within the notifying party and Declaration B will be signed by you, as the authorised representative of the notifying party.

[Download a copy of the declaration form.](#)

#### Add the signed declaration

File must be 10MB or less in PDF format

#### Add any additional comments or information that you consider relevant to the acquisition

Leave blank if not applicable.

(You have 5,000 characters)