

Octopus AIM VCTs

**Apply Online**

[apply.octopusinvestments.com](http://apply.octopusinvestments.com)

# Octopus AIM VCTs application form



**octopus**investments  
A brighter way

## How to complete this application form

Please complete this form in **block capitals** using **black ink**. Ensure you answer all the questions marked with an '\*'. Leave blank any boxes that don't apply to you. Once completed, please send this form – along with your investment – to: **Octopus Investments Limited, PO Box 10847, Chelmsford CM99 2BU**. Alternatively you might find it easier to complete your application online. To do so visit **[apply.octopusinvestments.com](https://apply.octopusinvestments.com)**.

Before completing this application form, you should read the prospectus dated November 2019, which includes the Terms and Conditions of the Offer. The Offer will close exactly a year after the prospectus open date unless the fundraising reaches capacity at an earlier date.

Please note that HM Revenue & Customs (HMRC) places restrictions on buying and selling shares in the same VCT within a six-month period. This means that if you have sold, or will sell, existing shares in Octopus AIM VCT or Octopus AIM VCT 2 within the six months before or after this investment, you will not be able to claim any upfront tax relief.

### Section 1 – About the investor

\* **Title** (Mr/Mrs/Miss/Ms/Other)

\* **First name**

\* **Last name**

\* **Are you an existing Octopus client?**

☐ Yes ☐ No

\* **Country of birth**

\* **Country(ies) of citizenship**

\* **Nationality**

\* **Date of birth** DD MM YYYY

\* **National Insurance number**

\* **Telephone numbers**

Country code

Telephone number

Primary:

Secondary:

\* **Email address**

\* **Address**

\* **Country**

\* **Postcode**

\* **Information from Octopus**

Once your investment is up and running we'll keep you regularly updated on its progress (for example annual and interim reports). But there's always something happening at Octopus which as an investor you may be interested in finding out about. Is it OK if we sometimes tell you more about Octopus Group\* and what else we do? You can unsubscribe at any time. ☐ Yes ☐ No

The printing and postage costs of sending out the Octopus AIM VCTs annual and interim reports are paid for by the VCTs themselves. Therefore, to reduce waste and help to cut costs, we will send these to you electronically via the email address provided above.

\*To find out more about the businesses that make up the Octopus Group, take a look at **[www.octopusinvestments.com/privacy-policy](https://www.octopusinvestments.com/privacy-policy)**.

## Section 2 – About the investment

### \* How much are you investing?

You can choose to invest in the current tax year (2019/20), the next tax year (2020/21), or both. Please indicate the amount(s) in the relevant box(es). The minimum investment is £5,000 and the maximum investment still qualifying for tax relief is £200,000 in any one tax year.

2019/20 £

2020/21 £

If your investment is for the 2020/21 tax year, we will hold your investment in cash until the shares are allotted.

**Your investment will be split in a 60/40 ratio across Octopus AIM VCT and Octopus AIM VCT 2.** However, if you wish to allocate all of your investment to just one of the VCTs, please tick the relevant box below.

☐ 100% invested in **Octopus AIM VCT**

☐ 100% invested in **Octopus AIM VCT 2**

In the event of your preferred allocation not being available, Octopus will allocate your investment fully into the other VCT in this offer. Please tick here ☐ if you don't want this to be the case.

### \* Payment Options

#### ☐ Bank transfer

Please transfer your funds to the following account after first sending in your completed application form, making sure that you **reference the payment with your surname and initials**:

Account name:	Octopus AIM VCT – Applications		
Sort code:	40-03-28	Bank:	HSBC
Account number:	12684632	Branch:	Holborn

**Payments need to come from your personal account.**  
(We do not accept payments from business accounts or third parties, including your spouse.)

#### ☐ Cheque/banker's draft

Please enclose a cheque from your personal account, made payable to 'Octopus AIM VCT – Applications'. We do not accept cheques from business accounts, third parties (including your spouse) or post-dated cheques. Banker's drafts and building society cheques must specifically mention the investor's name.

## Section 3 – Dividend reinvestment or payment

### \* Dividend reinvestment or payment? (You must select one of these options)

Any dividends paid by the VCT can be reinvested as additional VCT shares, or received as cash payments into your bank account. Please select your preferred option. If you select the dividend payment option, please complete the bank details section as well.

#### ☐ Reinvest dividends

By completing this section, you confirm that you've read and understood the Terms and Conditions of the Dividend Reinvestment Scheme as set out in annex 1 of the prospectus.

**Please note that reinvested dividends will count towards your £200,000 annual VCT allowance – the amount on which you can claim tax relief.**

#### ☐ Pay out dividends

Please provide details of the bank account you would like future dividends to be paid into (the bank account must be in your name).

Sort code

Account number

Account holder name

**If you are an existing Octopus AIM VCT or Octopus AIM VCT 2 shareholder, your instruction to reinvest or pay out dividends here overrides any previous dividend instructions you have given us relating to existing Octopus AIM VCT portfolios.**

**If you are a direct investor, please go straight to Section 5.3.**

However, we always recommend you talk to a qualified financial adviser before making any investment decision.

## Section 4 – Adviser/intermediary (to be completed by your adviser/intermediary)

### Company

Hargreaves Lansdown

**Title** (Mr/Mrs/Miss/Ms/Other)

**First name**

**Last name**

**Telephone**

**\* Email address**

vct.product@hl.co.uk

**\* Address**

One College Square South, Anchor Road

Bristol

**\* Country**

United Kingdom

**Postcode**

B S 1 5 H L

**\* Company FCA number**

1 1 5 2 4 8

**\* Adviser FCA number**

**\* Are you part of a network/service provider?**

☒ No ☐ Yes - please give us the network/service provider name

**\* Network/service provider FCA number**

## Section 5 – Adviser/intermediary payment

**\* What type of investment is this?** (Complete one section only)

All Octopus fees and charges are outlined in both the prospectus and the brochure. The VCTs can also facilitate payments to your financial adviser/intermediary. Please complete either Section 5.1, 5.2, 5.3 or 5.4. Failure to complete this section correctly could result in delays to your investment. If you have any questions, please call us on **0800 316 2295**.

**If fields are left blank in the completed section, a 0% charge or commission will apply.** Commission and charges should not exceed our standard terms (given in the Octopus AIM VCTs brochure and prospectus), otherwise this form may be rejected.

5.1 ☐ **This is an advised investment with an initial adviser charge and/or an ongoing adviser charge**

Please indicate the level of initial charges and/or ongoing charges you have agreed with your adviser. If you have agreed with your adviser that you are not paying the maximum available adviser charge, the remaining amount will be rebated to you as additional shares, as outlined in the prospectus.

To my adviser:

Initial:       % (maximum available charge of 2.5%)

Ongoing:       % (maximum available charge of 0.5%)

Please go straight to **Section 7** – Tax residency status.

5.2 ☐ **This is an advised investment with an initial adviser charge and no ongoing adviser charge**

Please indicate the level of initial adviser charge you have agreed with your adviser. If you have agreed that you are not paying the maximum available adviser charge, the remaining amount will be rebated to you as additional shares, as outlined in the prospectus.

To my adviser:

Initial:       % (maximum available charge of 4.5%)

Please go straight to **Section 7** – Tax residency status.

Please complete **Section 6** - Source of wealth.

5.4 ☒ This is a non-advised investment through an intermediary and you have not received financial advice

Initial commission:					0	%	Ongoing commission:					0.5	%
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If your execution-only intermediary chooses not to take the full upfront commission, the difference will instead be used to purchase additional VCT shares for you.

Please complete **Section 6** – Source of wealth.

### Special instructions

## Section 6 – Source of wealth

Only to be completed if this is a direct or non-advised investment through an intermediary, i.e. you have ticked either 5.3 or 5.4.

**What's the source of your wealth?** - Please tell us how you acquired the money you plan to invest, select all that apply.

☐ Earned income   ☐ Ownership in a company   ☐ Inheritance   ☐ Gifts   ☐ Sale of property   ☐ Investment proceeds   ☐ Other

**If other, please specify:**

(In some cases, further information and documentary evidence may be required.)

## Section 7 – Tax residency status

\* 7.1 We are legally required to collect information about the tax residency and classifications of each investor. This information may be shared with HM Revenue & Customs, and may be transferred to the government of another territory in accordance with relevant agreements. For further information, please visit [octopusinvestments.com/reportingforms](https://octopusinvestments.com/reportingforms).

Are you a tax resident, or do you complete tax returns in any country other than the UK?

☐ No - tick this box and please go straight to **Section 8.**

If your country of birth or country of citizenship is outside of the UK, please send us a certified copy of a valid UK ID, such as a UK driving licence or passport, or a certified letter from HMRC, to confirm your UK tax residency status.

☐ Yes – tick this box and please complete the table below.

7.2 Please list the country(ies), other than the UK, in which you are resident for tax purposes. Please provide the Taxpayer Identification Number (TIN) or functional equivalent for each country, or tick the relevant box if the country does not provide a TIN.

Country

**Taxpayer Identification Number (TIN)**

**TIN not available**

Country

**Taxpayer Identification Number (TIN)**

**TIN not available**

Country

**Taxpayer Identification Number (TIN)**

**TIN not available**

1. My decision to invest has been made on the basis of the information in the Octopus AIM VCTs prospectus and Key Information Documents (KIDs).
2. I have read and understood the Octopus policies regarding best execution, conflicts of interest and gift and benefits, all available at **octopusinvestments.com**.
3. I have provided accurate information, to the best of my knowledge.
4. I consent to Octopus providing information to my adviser until notified otherwise.
5. I consent to Octopus facilitating my adviser's fees and charges as set out in **Section 5**.



**Before sending us your application, please review the short checklist below to help us process your application as quickly as possible:**

- ☐ You have arranged for a payment as per **Section 2**.
- ☐ You've signed and dated where indicated in **Section 8**.
- ☐ Once completed, please send your application form to:

**Octopus Investments Limited**  
**PO Box 10847**  
**Chelmsford**  
**CM99 2BU**



## What happens next?

- 1 We'll let you know when we've received your funds and application form, and whether we need any further information from you.
- 2 After that, we will allot your VCT shares at the next available date. These dates are usually listed on our website. This process can take several months, but we always aim for shares to be allotted in the same tax year as the application was made.
- 3 We'll write to let you know when your shares have been allotted and enclose your share and income tax certificates along with a guide that explains how to claim your income tax relief. Usually this will happen within 21 working days.
- 4 After that, as a shareholder, you'll receive annual and half-yearly reports containing the full financial statements for your VCT which include updates from the Chairman and Octopus, the fund manager. We'll also write out to you giving you the option to vote on resolutions and proposals (e.g. new fundraises) from the VCT's Board.



## Got a question?

We don't offer financial or tax advice, which is why we always recommend talking to a qualified financial adviser before making any investment decisions. However, if you have any other questions, please call us on **0800 316 2295**. We're always happy to hear from you.





0800 316 2295  
investorsupport@octopusinvestments.com  
**octopusinvestments.com**



**Send completed  
form to:**  
Octopus Investments  
PO Box 10847  
Chelmsford CM99 2BU