

# Application form - Private Investors

## Foresight Solar & Technology VCT PLC (the Company): FWT Shares

### Foresight Williams Technology shares of 1p each in the Company ("FWT Shares")

This Application Form should be completed in full and sent by post or hand delivered to:

**"Foresight Williams Technology Shares Offer"**  
**Woodside Corporate Services Limited**  
**4th Floor, 50 Mark Lane**  
**London EC3R 7QR**

so as to arrive as soon as possible but in any case no later than 12.00 noon on 3 April 2020 in respect of Applications for the 2019/20 tax year and 12.00 noon on 18 December 2020 in respect of Applications for the 2020/21 tax year.

Cheques should be enclosed with the Application Form made payable to WCSL FWT Shares Client Acc.

Before completing this Application Form you should read the Securities Note, the Registration Document and the Summary, each dated 20 December 2019 (together the "Prospectus"), in particular the risk factors on pages 4 to 5 of the Securities Note and 3 to 6 of the Registration Document, the details of the Offer on pages 44 to 46 of the Securities Note, the Terms and Conditions of Application on pages 63 to 66 of the Securities Note and the Application Procedures on pages 67 to 69 of the Securities Note. Definitions used in the Prospectus apply herein.

#### CHEQUES

Make payable to " WCSL FWT Shares Client Acc". (Note: Cheques drawn on corporate accounts cannot be accepted)

#### BANK

Sort code: 80-20-00  
Account no: 10375564  
Bank: Bank of Scotland

#### TRANSFERS

BIC/IBAN: GB39 BOFS 8020 0010 3755 64

**NB: Please use your surname, initials and postcode (if space permits) as the payment reference.**

The Offer will open on 20 December 2019 and will be closed at 12.00 noon on 18 December 2020 (or earlier if the Offer is fully subscribed or otherwise at the Board's discretion). Please note that the number of FWT Shares to be allotted to a successful Applicant will be determined by applying the Pricing formula set out on page 45 of the Securities Note. The applicable net asset value for the Pricing formula will be the latest net asset value published by the Company on the day of allotment, adjusted for dividends declared and for which the record date for payment has passed at the time of allotment.

**The Promoter (on behalf of the Company) will decide, in its absolute discretion, to accept or reject the Application and you will be notified of the decision.**

**If you do not receive an acknowledgement of your Application within ten days of sending it to Woodside Corporate Services Limited, please contact the Promoter on 020 3667 8181.**

Please note all fields marked with an asterisk are mandatory where applicable

#### SECTION 1: PERSONAL DETAILS (Mandatory)

Title*: _____	Date Of Birth*: _____
Forenames*: _____	National Insurance No*: _____
Surname*: _____	Email: _____
Address*: _____ _____ _____	Tel No (Day): _____
Postcode*: _____	Tel No (Evening): _____
If 3 years or less then please provide previous address*: _____ _____ _____	<input type="checkbox"/> Please tick this box if you are an existing shareholder in any of the Foresight VCTs.
<input type="checkbox"/> Please tick this box if you are resident for tax purposes in any jurisdiction other than the UK	<b>Correspondence preference</b> Please indicate how you would like to receive correspondence from the Company. Please tick one box only <input type="checkbox"/> by email (please ensure you have given your email address above) <input type="checkbox"/> by post
	<input type="checkbox"/> Please tick this box if you would like to receive statutory information from the company even if your shares are to be held in a nominee account.

Where applicable, please provide confirmation of the non-UK jurisdictions in which you are resident for tax purposes, along with your corresponding tax payer identification number (TIN) or equivalent:

Country: _____	TIN/Equivalent: _____
Country: _____	TIN/Equivalent: _____

**NOTE: Foresight Group may, if necessary, disclose information to HMRC and the IRS in order to satisfy its FATCA and/or CRS obligations.**



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## Foresight Solar & Technology VCT PLC (the Company): FWT Shares

### Dividend Payments (Mandatory)

Dividend payments will be made directly into your bank account. It is therefore a requirement that you fill out the bank account details below:

Account Name\*:

Bank/Building Society\*:

Sort code\*:

Account Number\*:

Postcode\*:

### Designated Contact

If you would like to add a Designated Contact to your account who can obtain information about your holding on your behalf (other than your financial adviser), please complete their details below.

Full Name:

Date Of Birth:

Relationship

Email:

Residential Address:

Tel No (Day):

Tel No (Evening):

Postcode:

### DESIGNATED CONTACT SIGNATURE:

Please note, completion of this section allows a Designated Contact to obtain information only about your shareholding. No changes can be made to the account nor monies withdrawn by the Designated Contact.

## SECTION 2: SUBSCRIPTION (Mandatory)

I offer to subscribe for the following amount in FWT Shares in the Company on the terms and conditions of application as set out in the Prospectus and subject to the Memorandum and Articles of Association of the Company. Applications must be for a minimum of £3,000 and thereafter in multiples of £1,000.

Total\*:

Tax year 2019/20\*:

Tax year 2020/2021\*:

£:

£:

£:

I enclose a cheque or banker's draft drawn on a UK clearing bank, made payable to 'WCSL FWT Shares Client Acc.'

**OR**

I have made the above payment by electronic bank transfer which I have referenced using my surname and initials

**AND**

Please tick this box to confirm that your subscription payment has been made from an account in your name\*.

**OR**

Please tick this box to confirm that your subscription has been made from an account other than your own\*  
Please show your relationship to the holder of the account from which the payment was made.

\*

(Please note Foresight may request additional information in this instance)

### Please tick one of the below

#### ADVISED INVESTMENT

This is an advised investment with or without an initial adviser charge

(please fill out section 3, sign section 4 and ask your adviser to fill out sections 5,6,8 and 9)

#### NON-ADVISED INVESTMENT

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

(please do not fill out section 3, simply sign section 4 and ask your intermediary to fill out sections 5 - 9)

#### DIRECT INVESTMENT

This is a direct investment with no adviser or intermediary involved

(please sign section 4 and leave all other sections blank)

## SECTION 3: ADVISER CHARGES

AMOUNT\* OF THE AGREED INITIAL UP-FRONT ADVISER FEE

\* maximum 4.5% of the total subscription stated in Section 2

£:

or

%:

Please note: You should be entitled to claim income tax relief on your gross investment. The Company will not facilitate on-going Adviser Charges.

# Application form and - **Authorised Intermediary Certificate**

Foresight Solar & Technology VCT PLC (the Company): FWT Shares

## SECTION 4: SIGNATURE (Mandatory)

### SIGNATURE OF APPLICANT\*

Print name\*:

Date\*:

### BY SIGNING THIS APPLICATION FORM I HEREBY IRREVOCABLY DECLARE THAT:

(i) I have read and understood the application procedure contained herein and agree to be bound by the Terms and Conditions of Application contained in pages 63-66 of the Securities Note;

(ii) if I have completed Section 3, I am declaring and validating to the Company, the Promoter and the Receiving Agent the amount of the facilitation charge(s) specified therein and am agreeing to the making of a facilitation payment of that amount;

(iii) if my authorised financial intermediary has classified me as an elective Professional Client for the purposes of this Application, I am aware of the risks involved in such classification and of the rights I am giving up and I wish to be treated as a Professional Client in respect of my Application; and

(iv) to the best of my knowledge and belief, the particulars I have given are correct.

The Company and Foresight Group respect your privacy and are committed to protecting your personal information. If you would like to find out more about how the Company and Foresight use and look after your personal information, please refer to their privacy notice, which can be found at [www.foresightgroup.eu/privacy-cookies/](http://www.foresightgroup.eu/privacy-cookies/)

The Receiving Agent respects your privacy and is committed to protecting your personal information. If you would like to find out more about how the Receiving Agent uses and looks after your personal information, please refer to its privacy notices, which are available on request from the Receiving Agent.

## SECTION 5: TO BE COMPLETED BY THE INVESTOR'S FINANCIAL INTERMEDIARY

(to be completed for every investor except for those ticking the "Direct Investment" box in section 2 above)

Firm Name\*:

Email\*:  
*for communication*

Investment Adviser/Partner\*:

Adviser's Email\*:  
*If different*

Main point of contact for communication purpose\*:

Tel No (Day)\*:

Tel No (Evening)\*:

Fax:

Address\*:

Firm FCA Registration No\*:

Partner/Adviser FCA Registration No\*:

Adviser/partner reference (if applicable)\*:

Postcode\*:

SIGNATURE:

Date:

## SECTION 6: INTERMEDIARY REMUNERATION (you must elect one of the two options)

Please tick either Option 1 or Option 2 and ensure that this is consistent with section 3 of the Application Form\*

**OPTION 1:** Tick this box if you have provided advice to your client and any agreed up-front adviser charges which comply with COBS 6.1A

*If you have ticked Option 1 go directly to Section 9*

**OPTION 2:** Tick this box if you are entitled to receive commission (please read note below)

*If you have ticked option 2 please write in the reason here and complete section 8 below*

**Note: Post the Retail Distribution Review (RDR) and MiFID II, only certain advisers with investors who are categorised as "professional" under FCA Rules or certain execution-only intermediaries remain entitled to receive commission. Post the FCA Policy Statement 13/1, platforms may no longer receive commission whether they follow an advised or an execution only model.**



# Application form and - **Authorised Intermediary Certificate**

**Foresight Solar & Technology VCT PLC (the Company): FWT Shares**

## SECTION 7: COMMISSION WAIVER DETAILS (only complete if commission selected in section 6)

Initial commission waived\* will be invested in Foresight Solar & Technology VCT plc - FWT Shares plc for your client. Please insert the amount of commission you wish to be waived in the box.

**% for your client**

\*Maximum 3% of the total subscription stated in Section 2

## SECTION 8: INTERMEDIARY'S BANK DETAILS

Please provide details of your bank or building society account for adviser charges or commission (as applicable)

Account Name\*:

Bank/Building Society\*:

Sort code\*:

Account Number\*:

## SECTION 9: AUTHORISED INTERMEDIARY CERTIFICATE to be completed by the investor's financial intermediary

We, the authorised intermediary identified in Section 5 above, confirm that we have applied customer due diligence measures on a risk-sensitive basis in respect of the applicant to the standard required by the Money Laundering Regulations within the guidance for the UK financial sector issued by the Joint Money Laundering Steering Group and that in the event that the Company, the Promoter and/or the Receiving Agent require additional information in order to accept the subscription, we will provide it to them within 2 business days of receiving their request or, if we don't have the information required, arrange for the information to be provided to them.

We, the authorised financial intermediary identified in Section 5 above, further confirm that, where we have provided advice to the applicant in connection with an investment in the Company, such investment is considered to be a suitable investment for the applicant in their current circumstances.

Name\*:

### BY SUBMITTING THIS APPLICATION FORM:

- We confirm that our details included in this Application Form are true and accurate;
- We make the above confirmation regarding the customer due diligence and, where relevant the above confirmation regarding suitability of the investment;
- Where we have acted as a financial adviser to the applicant, we confirm our acceptance of the Foresight Group's Terms and Conditions for Financial Advisers (which can be accessed at [www.foresightgroup.eu/retail-investors/vct](http://www.foresightgroup.eu/retail-investors/vct)); and
- We undertake to forthwith notify the Company and/or the Promoter if any changes to our details provided above and/or if the applicant ceases to be our client in respect of his or her investment in the Company.

**The Company and Foresight respect your privacy and are committed to protecting your personal information. If you would like to find out more about how the Company and Foresight use and look after your personal information, please refer to their privacy notice, which can be found at [www.foresightgroup.eu/privacy-cookies/](http://www.foresightgroup.eu/privacy-cookies/)**

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## SPECIAL INSTRUCTIONS

## NOTES

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