

# Octopus AIM VCTs application form



**octopus**investments  
A brighter way

## How to complete this application form

Please make sure you answer all the questions marked with an '\*'. Leave boxes blank where they don't apply to you. Please remember to send us your payment. Once completed please send to: **Octopus Investments Limited, PO Box 10847, Chelmsford CM99 2BU.**

Before completing this Offer Application Form, you should read the prospectus dated 16 June 2017, which includes the Terms and Conditions of the Offer. The Offer will close at 12 noon on 15 June 2018 unless closed earlier.

Please note that HM Revenue & Customs (HMRC) places restrictions on buying and selling VCT 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(s)			
* Last name			
* Are you an existing Octopus client?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
* Country of birth			
* Country(ies) of citizenship			
* Nationality			
* Dual nationality or non British national unique identifier code (N/A for British nationals)	If you hold dual nationality or are not a British national, please contact our Client Relations team on <b>0800 316 2295</b> to find out which unique identifier code you will need to provide for us to process your application.		
* Date of birth DD MM YYYY	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		
* National Insurance number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		
* Telephone numbers	Country code	Telephone number	
	Primary:		
	Secondary:		
* Email address			
* Address line 1			
Address line 2			
* Town/City			
County			
* Country			
* Postcode	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		
* Information from Octopus	<input type="checkbox"/> Octopus may occasionally send you information that we believe to be of interest to you, e.g. newsletters. If you would not like to receive such information, please tick the box.		
	<input type="checkbox"/> 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 default to sending these to you electronically via the email address provided above. Please tick the box if you would prefer to receive these by post. You can update your preference at any time by calling us on <b>0800 316 2295</b> .		

## Section 2 – About the investment

### \* How much are you investing?

You can choose to invest in the current tax year (2017/18), the next tax year (2018/19), 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 each of these tax years.

2017/18 £

2018/19 £

If your investment is for the following tax year, we will hold your investment in cash until that time.

**Your investment will be split in a 60/40 ratio across Octopus AIM VCT and Octopus AIM VCT2.** 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?

Any dividends paid by the VCT can be reinvested in 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.

(You must select one of the two options)

☐

#### 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 reinvesting dividends counts towards your £200,000 annual VCT allowance – the amount on which you can claim tax relief each year.

☐

#### Pay out dividends

**Please provide details of the bank account you would like future dividends to be paid into (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 on your existing Octopus AIM VCT portfolios.**

**If you are a direct investor, please go straight to Section 5.1.**

We always recommend you talk to a qualified financial adviser before making any investment decision.

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

Company											
Title (Mr/Mrs/Miss/Ms/Other)											
First name(s)											
Last name											
Telephone											
* Email address											
* Address											
* Country							Postcode				
* Company FCA number							* Adviser FCA number				
* Are you part of a network/service provider?	<input type="checkbox"/> No <input type="checkbox"/> 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)	<p>All Octopus fees and charges are outlined in the prospectus. The VCT 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.</p>										
5.1	<input type="checkbox"/> <b>This is a direct investment with no adviser or intermediary involved</b> Please go straight to <b>Section 6 – Tax Residency Status</b> .										
5.2	<input type="checkbox"/> <b>This is an advised investment with an initial adviser charge and/or an ongoing adviser charge</b> 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. <div style="text-align: center;">To my adviser</div> Initial: <input type="text"/> % <b>(maximum available charge of 2.5%)</b> Ongoing: <input type="text"/> % <b>(maximum available charge of 0.5%)</b>										
5.3	<input type="checkbox"/> <b>This is an advised investment with an initial adviser charge and no ongoing adviser charge</b> Please indicate the level of initial adviser charge 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. <div style="text-align: center;">To my adviser</div> Initial: <input type="text"/> % <b>(maximum available charge of 4.5%)</b>										
5.4	<input type="checkbox"/> <b>This is a non-advised investment through an intermediary and you have not received financial advice</b> Initial Commission <input type="text"/> % Ongoing Commission <input type="text"/> % Standard terms will apply if left blank. Commission should not exceed our standard terms (given in the Octopus AIM VCT and Octopus AIM VCT 2 prospectus), otherwise this form may be rejected. If your execution-only intermediary chooses not to take any upfront commission, this amount will instead be used to buy additional VCT shares for you.										
Special instructions											

## Section 6 – Tax residency status

- \* **6.1** We are legally required to collect information about the tax residency and classifications of each investor which may be shared with HM Revenue & Customs, and may be transferred to the government of another territory in accordance with a relevant agreement. For further information, please visit [octopusinvestments.com/reportingforms](https://octopusinvestments.com/reportingforms).  
Are you tax resident, or do you complete tax returns in any country other than the UK?
- ☐ No – please go straight to **Section 7**.  
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 – please complete the table below.

- 6.2** 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(ies), or tick the relevant box if the country does not provide a TIN.

Country(ies)	Taxpayer Identification Number (TIN)	TIN not available
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

## Section 7 – Investor declaration

By signing this form, I HEREBY DECLARE THAT:

1. My decision to invest has been made on the basis of the information contained in the Octopus AIM VCTs prospectus.
2. I have provided accurate information, to the best of my knowledge.
3. I consent to Octopus facilitating my adviser's fees and charges as set out in **Section 5**.

\* **Investor name**

\* **Investor signature**

\* **Date signed**  
DD MM YYYY



**Before sending us your application, please review the quick 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 7**.
- ☐ Once complete please send your completed 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 if 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.
- 4 After that, as a shareholder, you'll receive annual and half-yearly reports containing the full financial statements for your VCT: these include updates from the Chairman and Octopus, the fund manager.



## 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 about Octopus AIM VCTs, please call us on **0800 316 2295**. We're always happy to hear from you.







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



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