

Octopus Apollo VCT

Apply
online

Octopus Apollo VCT application form



octopusinvestments

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**.

Before completing this application form, you should read the prospectus dated September 2020, 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 Apollo VCT 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) Other

* **First name**

* **Last name**

* **Are you an existing Octopus client?** * **Country of birth**

Yes No

* **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 you'll be kept regularly updated on its progress (for example annual 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 documents and information from the VCTs (for example annual reports) are paid for by the VCT themselves. Therefore, to reduce waste and costs, we will send these to you electronically via the email address provided above. Should you not wish to receive electronic copies please contact Investor Support on **0800 316 2295**.

*To find out more about the businesses that make up the Octopus Group, take a look at **www.octopusinvestments.com/privacy-policy**.

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

Company

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

First name(s)

Last name

Telephone number

*** Email address**

*** Address**

*** Country**

Postcode

*** Company FCA number**

*** 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? (You must complete one section only)

All Octopus fees and charges are outlined in both the prospectus and the brochure. 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**.

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 Apollo VCT 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.

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.

To my adviser:

Initial: % (maximum available charge of 4.5%)

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

5.3 This is a direct investment with no adviser or intermediary involved

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: % Ongoing commission: %

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 HMRC, and may be transferred to the government of another territory in accordance with relevant agreements. For further information, please visit [octopusinvestments.com/reportingforms](https://www.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 – Investor declaration**.

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

Section 8 – Investor declaration

By signing this form I HEREBY DECLARE THAT:

1. My decision to invest has been made on the basis of the information in the Octopus Apollo VCT prospectus and Key Information Document (KID).
2. I have read and understood the Octopus policies regarding best execution, conflicts of interest and gift and benefits, all available at [octopusinvestments.com](https://www.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**.

*** Investor name**

*** Investor signature**

*** Date signed** DD MM YYYY



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 tax year you have selected on the application form.
- 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 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

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