

# Octopus Apollo VCT application form



## 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 2023, 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)

\* 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 anytime by emailing **[support@octopusinvestments.com](mailto:support@octopusinvestments.com)**. 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. Please note, each time you apply this will override your current communication preference for the VCT. If you wish to receive paper copies, please wait until you receive your share certificate and then contact Investor Support on **0800 316 2295** and they will arrange this for you.

\*To find out more about the businesses that make up the Octopus Group take a look at **[octopusgroup.com](https://octopusgroup.com)**. To learn more about how Octopus collects and uses personal data please visit **[octopusinvestments.com/privacy-notice/](https://octopusinvestments.com/privacy-notice/)**.

## Section 2 – About the investment

### How much are you investing?

Please indicate the amount in the box below. The minimum investment is £5,000 and the maximum investment still qualifying for tax relief is £200,000 in any one tax year. **Please note, your investment will be made in the current year (2023/24).**

2023/24      £

#### 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 Apollo VCT Applications		
Sort code:	40-03-28	Bank:	HSBC
Account number:	82721546	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 Apollo 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 two options)

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. If no bank details are provided we will pay out dividends by a cheque instead.

#### 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 Apollo VCT shareholder, your instruction to reinvest or pay out dividends here overrides any previous dividend instructions you have given us on your existing Octopus Apollo investment. If this section is left blank, as an existing investor, your previous instruction will remain. If left blank as a new investor, this will result in your dividends being paid out by cheque.**

**Please note your dividend instruction preference cannot be amended until your share certificate has been issued. This is typically around 21 working days after shares have been allotted. To amend your dividend instruction please contact the VCT registrar, Computershare, on +44 (0370) 702 0000.**

**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 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%)

### 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%)

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

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

### 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.

### Special instructions

## Section 6 – Identity verification (to be completed by adviser/intermediary)

You can use this section to provide identity verification for a private individual.\*

If you don't complete this section, we'll need you to provide us with an Identity Verification Certificate (IVC) or certified copies of the investor's identification.

By completing this section, you agree that on request from Octopus Investments, you will make the following immediately available:

- Any information about the customer (and any beneficial owner) that you obtained when applying client due diligence measures. These might be things like identity documents, utility bills or bank statements.
- Copies of any identification and verification data or documents on the identity of the customer (and any beneficial owner).

### I/we agree that:

1. The information in **Section 1** above was obtained by me/us in relation to the customer.
2. The evidence that I/we have obtained to verify the identity of the customer (tick one box only).

Meets the standard evidence set out within the guidance for the UK financial sector issued by the joint money laundering steering group.

### OR

Exceeds the standard evidence (written details of the further verification evidence taken are attached to this confirmation).

**Print name**

**Job title**

**Adviser/intermediary signature**

**Date signed** DD MM YYYY

\*This form cannot be used to verify the identity of any customer that falls into one of the following categories:

- Those who are exempt from verification because they are an existing client of the advisory firm prior to the introduction of the requirement for such verification.
- Those who have been subject to simplified due diligence under the money laundering regulations.
- Those whose identity has been verified using the source of funds as evidence.

## 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://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 dated November 2023 and Key Information Document (KID). Please visit **[octopusinvestments.com/apollo/](https://octopusinvestments.com/apollo/)** to access these documents.
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://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





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## 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**.

Your adviser has completed **Section 6**, or you have enclosed the necessary verification of identity documentation:

- an Identity Verification Certificate **or** one each of the following;
- a copy of identification (your passport or driving licence) **plus**;
- a copy of proof of address (driving licence; or bank statement/utility bill (not mobile phone bill) and no older than three months)

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**

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## 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.
- 4 You will then receive your share and income tax certificates along with access to a guide that explains how to claim your income tax relief. This will be sent by the VCT's registrar, Computershare. Usually this will happen within 21 working days of the allotment.
- 5 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. Computershare, the VCT's registrar, will also write out to you giving you the option to vote on resolutions and proposals from the VCT's Board. When any dividends are announced and paid, you will be sent a dividend confirmation.

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## 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**.



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



**Send completed form to:**

Octopus Investments  
PO Box 10847  
Chelmsford CM99 2BU

Issued by Octopus Investments Limited, which is authorised and regulated by the Financial Conduct Authority. Registered office: 33 Holborn, London, EC1N 2HT. Registered in England and Wales No. 03942880. We record telephone calls. Issued: November 2023.

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