

Octopus does not give advice, therefore we cannot provide you with any investment advice, tax advice, or personal recommendations in respect of your portfolio or decision to invest. We need to obtain certain information from you before we can accept your investment. If we cannot ascertain from these questions that this investment is suitable for you, we may ask you to take financial advice before you invest. Please make sure the information you provide is accurate.

## Section 1 – Knowledge and experience

1.1 Is this investment topping-up an existing portfolio?

Yes  No

1.2 Over the last 5 years have you made any of the following investments, excluding this one:

Investment in an unquoted company directly or through an angel network or syndicate

Investment into an EIS or VCT

Investment in the shares of a company or portfolio of companies listed on AIM

1.3 In the past have you ever made your own investment decisions?

Yes  No

1.4 Please indicate if you have:

Previously held any professional financial role in house or as an adviser, or have a professional financial qualification

Taken advice with regard to tax, in particular inheritance tax, and understand how this investment will be treated based on your personal circumstances

Experience and understanding of personal tax and understand how this investment will be treated for tax purposes based on your personal circumstances, in particular with regards to inheritance tax

**If none of the above statements are applicable to you we will need you to take professional advice to make sure the investment is right for you, unless you are adding to an existing portfolio. Please call 0800 316 2295 for more information.**

## Section 2 – Understanding of this investment

2.1 What is your understanding of the performance objective of this investment? (Please select one)

An investment into a portfolio of AIM listed stocks targeting growth and as such, classified as a high risk investment

An investment that aims to be low risk, achieved through targeting low returns

2.2 This investment is intended to qualify for Business Property Relief. Are you aware that we cannot guarantee that your investment will qualify for this relief?

Yes  No  Don't know

2.3 Are you aware that tax legislation could change in the future in a way that might stop this investment qualifying for Business Property Relief?

Yes  No  Don't know

## Section 3 – Your financial situation

It is important that you have sufficient cash or liquid assets to make sure that you can maintain your standard of living if the value of this investment falls. If any loss of capital would have a materially detrimental effect on your standard of living, you should not invest. You should only invest money that you can afford to invest for the long term.

3.1 Please indicate the approximate value of your net investable assets (do not include the value of your home and deduct the value of any outstanding loans)

Less than £150k

Between £150k and £250k

Between £250k and £500k

Between £500k and £1m

Between £1m and £2m

Between £2m and £3m

More than £3m

Please tell us how much you are planning to invest with this application

3.2 Do you anticipate any significant changes to your financial situation over the next 12 months that might impact your decision to make this investment?

No  Yes  – please provide further details

## Section 4 – Your tolerance to taking investment risk

Typically, the more risk you are willing to take when making an investment, the higher the potential for growth and the greater chance of loss. Over a period of time, the value of an investment can rise and fall – this is known as volatility. Generally, the higher the investment risk, the higher the potential volatility, but also the higher the potential returns.

This investment will be made into discretionary managed portfolio of shares in companies that are not listed on the main London Stock Exchange and as such is considered a high risk investment.

Your tolerance to risk will depend on your financial circumstances and goals.

4.1 This investment is typically held by investors over the longer term. Do you have sufficient other assets and/or income, so that you can afford for these investments to be tied up for more than 5 years:

Strongly agree  Agree  Neutral  Disagree  Strongly disagree

4.2 This investment is considered to be a high risk investment therefore would not typically be expected to appeal to cautious investors. Would you describe yourself as a cautious investor?

Strongly agree  Agree  Neutral  Disagree  Strongly disagree

4.3 This service will invest in the shares of companies that are not listed on the main London Stock Exchange and as such investors should be prepared that they might fall or rise in value more sharply. For this investment to meet your long-term objectives, would you be willing to accept the risk of significant short-term falls in value?

Strongly agree  Agree  Neutral  Disagree  Strongly disagree

4.4 Are you happy to accept a high level of risk to your capital in relation to this investment, in the knowledge that this investment aims to qualify for business property relief from inheritance tax and targets higher levels of growth?

Strongly agree  Agree  Neutral  Disagree  Strongly disagree

## Section 5 – Declaration

By signing this form, I HEREBY DECLARE THAT:

The information provided is true and complete. I agree to provide Octopus with any further information or documentary evidence.

Your name

Signature

Date signed

DD MM YYYY

You should notify us if there is any material change in the information you have provided, because it may mean we may no longer be able to determine this investment is suitable for you.

### Got a question?

If you have any questions relating to this information, please call our client relations team on **0800 316 2295**. We're always happy to hear from you.



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