



**BLACKFINCH**

**Spring Venture Capital Trust**  
*Application Form*

# Welcome

## Application Procedures

Thank you for choosing to invest with Blackfinch. We're looking forward to you becoming part of our community. Once invested, our team will be working in line with your financial planning aims. We'll also be on hand to provide support at every stage of your investment journey.

### Committed to a greener world.

Using 100% recycled paper

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Embracing renewable energy

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Online application processes

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For more information on our ESG and CSR policies please visit [blackfinch.com/ESG](https://blackfinch.com/ESG)



### Need help with your application?

For support with completing your application, please refer to your financial intermediary in the first instance. Or if you have a question for Blackfinch, our Client Resources team is available. You and your adviser can reach them on **01452 717070** or at [enquiries@blackfinch.com](mailto:enquiries@blackfinch.com). Advisers can also contact their Business Development Manager.

If you are completing a paper application, please submit this to:

Blackfinch Investments Limited  
1350-1360 Montpellier Court,  
Gloucester Business Park,  
Gloucester,  
GL3 4AH

If you are completing one of our digital application forms, please email these to [enquiries@blackfinch.com](mailto:enquiries@blackfinch.com) or alternatively you can send the completed form to your Business Development Manager.

### Please Note

- We're unable to accept any liability for cheques or other documents dispatched by post. Such items will be sent at the Applicant's own risk.
- The completed Application Form constitutes a warranty that any monies the Applicant forwards will be honoured on first presentation.

# Welcome

## Application Procedures

### Cheques and Bank Transfers

Cheques should be made payable to  
'Blackfinch Spring VCT'

Please see the below details for bank transfers.

Account Name	Blackfinch Spring VCT
Account Number	36111360
Sort Code	30-95-41

Monies will only be accepted from the Applicant's bank account. If Blackfinch Investments Limited is unable to identify the Applicant's identity in respect of the remittance or if the payment is from a bank outside the UK/EEA, the remittance may be returned to the remitting bank minus any charges arising from the return of funds.

Please note: The deadline for receipt of applications and next allotment dates can be found on our website at [www.blackfinch.com/ventures/springvct](http://www.blackfinch.com/ventures/springvct). The deadline for receipt of applications is subject to the Offer not being fully subscribed by an earlier date.

If you would like to invest under a Power of Attorney please contact us for further information.

# Section 1

## Applicant Details

**TO BE COMPLETED BY THE APPLICANT**

The words and expressions used in this Application Form shall have the meanings ascribed to them in the Prospectus issued by Blackfinch Spring VCT Plc on 2 October 2020.

Title	Forename(s)	Surname
<input type="text"/>	<input type="text"/>	<input type="text"/>

Address	Postcode
<input type="text"/>	<input type="text"/>

Previous Address (if not at current address for three months)	Postcode
<input type="text"/>	<input type="text"/>

Date of Birth	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 Number	Existing Shareholder ID (CIN)
<input type="text"/>	<input type="text"/>

Email Address
<input type="text"/>

The Company will communicate with you electronically in respect of your shareholding in the Company. The Articles of Association of the Company provide authority to use electronic means to convey information to Shareholders, including, but not limited to, sending and supplying documents or information to Shareholders by making them available on a website. This means that you will receive notifications by email that information and/or documents are available on the Company's website. If you do not provide an email address above then you will receive notifications by letter. You have the right to opt out of electronic communication at any time and to revert to paper format by contacting Blackfinch Investments Limited 1350-1360 Montpellier Court, Gloucester Business Park, Gloucester, GL3 4AH.

# Section 1 Continued

## Applicant Details

**TO BE COMPLETED BY THE APPLICANT**

### Nominee/CREST

*If you wish that any Shares for which your subscription is accepted are issued to your CREST/non-CREST nominee, please provide the relevant details below.*

CREST Participant ID

CREST Member Account/ID

Nominee Name

Nominee Email

Nominee Address

Postcode

Nominee Contact Name

Nominee Contact Telephone Number

If you would like to receive statutory information from the Company albeit that your shares are to be held in a nominee account please tick the relevant box:

By email to the email address in Section 1

By post to the address in Section 1

# Section 1 Continued

## Applicant Details

**TO BE COMPLETED BY THE APPLICANT**

We are legally required to collect information about each Investor's tax residency and classifications, which may be shared with HM Revenue & Customs.

Are you a US citizen?

Yes  No

Please list below any country(ies), other than the UK, in which you are resident for tax purposes and the relevant Taxpayer Identification Number (TIN)"

Country(ies)

Tax Payer Identification Number (TIN) where available

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# Section 2

## Investment Details

**TO BE COMPLETED BY THE APPLICANT**

You can choose to invest in the current tax year (2020/21), the next tax year (2021/22), or both. Please indicate the amount(s) in the relevant boxes. The minimum investment is £3,000, there is no maximum investment but the amount still qualifying for tax relief is £200,000 in any one tax year. If your investment is for the 2021/22 tax year, we will hold your investment in cash until the Shares are allocated.

**How much are you investing? (Minimum Investment £3,000)**

Please note this should be the Total Investment amount including any fees payable to your financial intermediary.

If you are not subscribing for one of the tax years, please enter "NIL" in the associated box)

2020/2021

2021/2022

Cheque  Bank Transfer

**Please confirm the source of funds for investment**

Cash Savings

Share Transfer

Other Investments

Other, please specify

# Section 3

## Bank Details & Dividend Payments

**TO BE COMPLETED BY THE APPLICANT**

*This section must be completed if you have made payment via bank transfer.*

**Bank Name/Building Society Name**

**Account Name**

**Sort Code**

 -  - 

**Account Number**

**Building Society Reference / Roll Number (if applicable)**

### Dividends

If you wish to have any dividends paid directly into your bank account please provide details below. If you leave this blank, you will be sent a cheque.

Please leave the below section blank if you are holding your shares via a nominee.

Please tick here if the details are the same as above

**Bank Name/Building Society Name**

**Account Name**

**Sort Code**

 -  - 

**Account Number**

**Building Society Reference / Roll Number (if applicable)**



# Section 4

## Financial Intermediary Payments

### TO BE COMPLETED BY THE APPLICANT

All fees and charges are outlined in the Blackfinch Spring VCT Prospectus. The Company can also facilitate payments to your financial intermediary. If fields are left blank in this section, a 0% fee will apply. Fees should not exceed our standard terms set out in the Blackfinch Spring VCT Prospectus if you want us to facilitate the payment of these fees, otherwise this Application Form may be rejected.

Please confirm fees payable to your financial intermediary. Please complete either option one, two or three.

#### Option One

This is a direct investment with no financial intermediary involved

Please skip to section 5, you do not need to complete section 6 and 7.

#### Option Two

This is an advised investment the applicant is not a professional client and we have agreed an Initial Adviser Charge and/Adviser Ongoing Charge

Please ensure your financial adviser completes section 6 and 7.

Please indicate the level of initial fee and/or ongoing fee charges you have agreed with your financial intermediary to be facilitated.

Initial charge to be paid

%

(Up to 5% of the total investment amount in section 2 can be facilitated)

Ongoing charge to be paid

%

(Up to 0.5% of NAV per annum can be facilitated)

#### Option Three

This is a non-advised investment through an execution-only intermediary and/or the applicant is a professional client.

Please ensure your execution-only intermediary completes section 6.

Please indicate the level of initial commission and/or ongoing fee to be paid to your execution-only Intermediary.

Initial commission to be paid

%

(Up to 3% of the total investment amount in section 2 can be paid)

Ongoing fee to be paid

%

(Up to 0.5% of NAV per annum can be paid)

# Section 5

## Applicant's Declaration

### TO BE COMPLETED BY THE APPLICANT

By signing this form I declare that:

- I have read and understood the Blackfinch Spring VCT Prospectus and the Company's Key Information Document (KID).
- I have read and understood the Terms & Conditions of the Offer and agree to be bound by them.
- I have provided accurate information, to the best of my knowledge.
- I consent to the Blackfinch fees and charges which are detailed in the Blackfinch Spring VCT Prospectus and the associated brochure.
- I consent to Blackfinch Investments Limited facilitating my financial adviser/intermediaries fees and charges as set out in section 4.
- I acknowledge that the information contained in this form and information regarding myself and any Reportable Accounts (as defined in the Common Reporting Standards), may be provided to the tax authorities of the country in which this account is maintained and exchanged with the tax authorities of another country or countries in which I may be tax resident pursuant to inter-governmental agreements to exchange financial account information.
- I understand that you may undertake a search with a third-party company for the purpose of verifying my identity and the details I have submitted as part of this application. To do so the third-party companies may verify the details I supply against any particulars on any database (public or otherwise) to which they have access. I also understand that you may use my details in the future to assist other companies for verification purposes. A record of the search will be retained.

Signature of Applicant

Name in Block Capitals

Date

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Additional Information

# Section 6

## Intermediary Details

**TO BE COMPLETED BY THE FINANCIAL INTERMEDIARY**

Network Firm Name

Network Firm FCA Reference Number

Full Name of Intermediary

Full Name of Regulated Firm

Financial Intermediary FCA Reference Number

Firm FCA Reference Number

Firm Address

Postcode

Telephone Number

Financial Intermediary Email Address

The Company will communicate with you electronically in respect of your client's shareholding in the Company.

Please tick here if you would also like to receive hard copy documents

# Section 6 Continued

## Intermediary Details

**TO BE COMPLETED BY THE FINANCIAL ADVISER**

This must match section 4 of this Application Form. Please note: if you have ticked the “I have provided financial advice” box below, you can make a charge as detailed in section 4, but you cannot take execution-only fees as well.

I have provided financial advice to the applicant, who is not a Professional Client and any agreed up-front adviser charges comply with COBS 6.1a.

I have acted in an execution-only capacity in respect of this offer and/or the applicant is a Professional Client

By submitting this application form, we, the financial intermediary identified in section 6 above confirm that:

- We have read and understood, and agree to be bound by, the Terms and Conditions of Application set out in the Blackfinch Spring VCT Prospectus and as further set out in this Application Form. We have also read and understood the KID.
- We have applied customer due diligence measures on a risk sensitive basis in respect of the application to the standard required by the Money Laundering Regulations 2007 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 Investment Adviser 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 do not have the information required, arrange for the information to be provided to them.
- 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; and
- Our details included in this Application Form are true and accurate.
- We undertake to forthwith notify the Company of 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.
- We hold a current statement of professional standing issued by a body accredited by the FCA and have been assessed as ‘fit & proper’ to perform the client dealing certification function.

Signature of Financial Intermediary

Name in Block Capitals

Date

# Section 7

## Verification of Identity

**TO BE COMPLETED BY THE INTERMEDIARY**

Confirmation of Verification of Identity Private Individual - Introduction by a FCA regulated firm

Full Name

Date of Birth

  /   /    

Address

Postcode

Previous Address (if not at current address for three months)

Postcode

Confirmation

I/we confirm that

- (a) the above information in Section 7 was obtained by me/us in relation to the customer
- (b) the evidence I/we have obtained to verify the identity of the customer:

Meets the standard evidence set out within the guidance of the UK Financial Sector issued by JMLSG;

or

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

Signature of Intermediary

Date

  /   /    

Name in Block Capitals

Position

Full name of regulated introducer firm

FCA reference number

***IMPORTANT INFORMATION***

This information is issued by Blackfinch Investments Limited (Blackfinch), which is authorised and regulated by the Financial Conduct Authority. Registered address: 1350-1360 Montpellier Court, Gloucester Business Park, Gloucester, GL3 4AH. Registered in England and Wales company number 02705948