

# Appendix 5

# Application Form & Anti-Money Laundering Certificate

Please contact the Manager if you have any questions regarding the completion of the Application Form.

## Procedure for Application

An application form for individual investors is attached to this Memorandum. Separate application forms are also available. Joint applications are not permitted. Applicants must complete the relevant Application Form and send it, together with their payment and money laundering verification, to:

Woodside Corporate Services Limited, 1st Floor  
12-14 Mason's Avenue London EC2V 5BT

## Method of Payment

Payment should be made by:

1) Cheque, payable to: WCSL SYMVAN SEIS 3 CLIENT ACC

OR

2) Electronic bank transfer to:

Account: WCSL SYMVAN SEIS 3 CLIENT ACC

Number: 10410260

Sort Code: 80-20-00

SWIFT: LOYDGB2L

IBAN: GB73 BOFS 8020 0010 4102 60

Payment Ref: Surname and Initials

Payments by cheque should be drawn on an account in the name of the Investor. If this is not practicable and a cheque is drawn by a third party or is a building society cheque or bankers' draft, the Investor's name, address and date of birth should be written on the back of the cheque or bankers' draft and:

- a) if a building society cheque or bankers' draft is used, the building society or bank must also endorse on the cheque or draft the name and account number of the person whose account is being debited; or
- b) if a cheque is drawn by a third party, the Investor must ensure that either (1) an Adviser Certificate is provided; or (2) original/certified documentation is provided: one item from each of List A and List B (see below) is enclosed with the Application Form.

## Money Laundering Verification

Each Application Form must be accompanied by:

EITHER

1) Adviser Certificate

Verification of the Applicant's identity may be provided by means of a "Confirmation of Verification of Identity" from a UK or European Economic Area financial institution (such as a bank or stockbroker) or other regulated person (such as a solicitor, accountant or appropriate financial adviser) who is required to comply with the current Money Laundering Regulations. The relevant financial institution or regulated person will be familiar with the requirements and the relevant form.

OR

2) Original/certified documentation in the form of one item from List A AND one item from List B:

List A (Verification of Identity)

- Current signed passport
- Current UK Photo Driving Licence
- Firearms Certificate

List B (Verification of Address)

- Recent\* utility bill (but not a mobile telephone bill)
- Recent\* local authority tax bill
- Recent\* bank or building society statement
- Recent\* mortgage statement from a recognised lender

Notes:

Please send original (not passport or driving licence) or certified copies of the documents.

Copies must be certified as a true copy of the original by a UK lawyer, banker, authorised financial intermediary (e.g. financial adviser or an FCA authorised mortgage broker), accountant, teacher, doctor, minister of religion, postmaster or sub postmaster.

The person certifying the document should state that the copy is a true copy of the original, print their name, address, telephone number and profession and sign and date the copy.

\*Recent means dated within the last three months.

### **Minimum Subscription**

The minimum individual subscription is £10,000, subject to the discretion of the Manager. There is no maximum subscription, subject to the overall maximum fund size being reached. However, Investors should note that there are limits to the amount in respect of which the Investor may claim SEIS Reliefs, further details of which are set out in Appendix 1 – Taxation of this Memorandum.

### **Allocation of Applications**

Applications will be dealt with on a first come first served basis and the Manager reserves the right to accept or reject any application at its sole discretion.

### **Money Laundering Regulations**

It is a condition that applications comply with the current Money Laundering Regulations. The Custodian requires verification of identity from each Investor. Pending the provision of evidence satisfactory to the Custodian as to the identity of the Investor and/ or any person on whose behalf the Investor appears to be acting, the Custodian may, in its absolute discretion, retain an Application Form lodged by an Investor and/ or the cheque or other remittance relating thereto. Verification of identity is required, which may result in delay in dealing with an application and in rejection of the application. The Custodian reserves the right, in its absolute discretion, to reject any application in respect of which it considers that, it has not received evidence of such identity satisfactory to it within a reasonable period. In the event of an application being rejected in any such circumstances, the Custodian reserves the right, in its absolute discretion, but shall have no obligation, to terminate any contract relating to or constituted by such Application Form (in which event the money payable or paid in respect of the application will be returned (without interest) to the account of the drawee bank from which such sums were originally debited). The submission of an Application Form will constitute an undertaking by the Investor to provide promptly to the Custodian such information as may be specified by it as being required for the purpose of the current Money Laundering Regulations.

### **Data Protection**

By signing the Application Form, the Investor hereby confirms that the Investor consents to the use of their personal information as follows. Except as stated in Section 21 of the Investment Management Agreement (Appendix 4 of the Memorandum) neither the Custodian nor the Manager will make the personal information provided by the Investor as part of the application to become an Investor in the Fund available to any person or entity outside either the Custodian or the Manager without the Investor's consent. This personal information will be stored on the Custodian and the Manager's database. This personal information may be used by the Manager to send the Applicant details of new and existing products (including by email) unless the Investor notifies the Manager in writing that it may not be used in this way. The Custodian and the Manager are registered under the data protection laws of the United Kingdom.

**Personal Details**

Title

Forenames

Surname

Date of birth

Telephone

Occupation

National Insurance Number

Address (Include details)

Previous Address  
*Required if at current Address for less than 3 years*

Email

Town & Country of birth  Nationality

Names of any relative(s) also making an application to the Scheme: (Includes spouse, parents, grandparents, children and grandchildren.)

**Country of Residence for Tax Purposes & related Taxpayer Identification Number (“TIN”) or equivalent**

Please confirm if you are solely tax resident in the UK Yes  No

If you ticked ‘Yes’, please proceed to the next section.  
 If you ticked ‘No’, please complete the following table indicating (i) where you are tax resident and (ii) your TIN for each country indicated. If you are tax resident in more that three countries please use a separate sheet.  
 If a TIN is unavailable please provide the appropriate reason **A, B or C where indicated below:**

- Reason A** – The country where you are liable to pay tax does not issue TINs to its residents
- Reason B** – You are otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason)
- Reason C** – No TIN is required. (Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction)

	Country of tax residence	TIN	If no TIN available enter A, B or C
Country 1	<input type="text"/>	<input type="text"/>	<input type="text"/>
Country 2	<input type="text"/>	<input type="text"/>	<input type="text"/>
Country 3	<input type="text"/>	<input type="text"/>	<input type="text"/>

Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason **B** above.

Country 1

Country 2

Country 3

**Correspondence**

Please indicate where you would like the original SEIS3 Yourself Certificates sent to (please tick).

Yourself	<input type="checkbox"/>
Advisor	<input type="checkbox"/>
Accountant	<input type="checkbox"/> (please complete details below)

Please provide your Accountant's details if you wish them to receive SEIS certificates.

Firm name	<input type="text"/>
Contact	<input type="text"/>
Telephone	<input type="text"/>
Email	<input type="text"/>
Address	<input type="text"/>

**Investor Categorisation**

I fall into the following category of eligible investor, as set out in the FCA's Conduct of Business Sourcebook (tick as applicable):

<input type="checkbox"/> Eligible counterparty	<input type="checkbox"/> Professional client
<input type="checkbox"/> Retail investor who has received advice (if applicable, the financial adviser should complete and sign below)	

Or, as a person for whom suitability or appropriateness has been assessed (the financial adviser should complete and sign below):

<input type="checkbox"/> Certified high net worth investor	<input type="checkbox"/> Certified sophisticated investor
<input type="checkbox"/> Self-certified sophisticated investor	<input type="checkbox"/> Certified restricted investor

**Adviser Details**

Contact	<input type="text"/>
Firm name	<input type="text"/>
Email	<input type="text"/>
Address	<input type="text"/>
Telephone	<input type="text"/>
Firm FCA number	<input type="text"/>

**Adviser Confirmation and Anti-Money Laundering Certificate**

We confirm that the Investor is a customer of our firm. We certify that we have confirmed the identity of the Investor and verified the details given above on the basis of documents, data and information obtained from a reliable and independent source. We confirm that the investor is not a Politically Exposed Person (PEP). (If a PEP, please provide full details).

The evidence that we hold meets the standard required by the current Money Laundering Regulations and set out within the guidance for the UK financial sector issued by the Joint Money Laundering Steering Group. We certify that we have obtained information on the purpose and intended nature of the Investor's proposed investment in the Symvan Technology SEIS Fund 3 and we are satisfied that this investment is being made for bona fide legitimate purposes and not to conceal the proceeds of crime.

We confirm that (tick as applicable)

We have advised the Investor named above on their proposed investment in the Symvan Technology SEIS Fund 3, and that we have satisfied the criteria in COBS 9 of the FCA Handbook.

Or

We have reviewed the appropriateness of the proposed investment in the Symvan Technology SEIS Fund 3 for the Investor named above and have complied with the rules in COBS 10 of the FCA Handbook or equivalent requirements.

**We consent to Symvan Capital Limited and Woodside Corporate Services Limited relying on this Certificate.**

Signature of Advisor	<input type="text"/>	Print name	<input type="text"/>
		Date	<input type="text"/>

**Identification**

If an adviser has not provided a Certificate of Verification of Identity, please enclose a certified copy of 2 pieces of identity - one from list A below and one from list B below.

Copies must be certified as a true copy of the original document with confirmation that the photograph is a likeness. Documents may be certified by a professional authorised to sign such documents e.g. solicitor with a current UK practicing certificate, a qualified accountant or an FCA authorised individual.

**List A – Verification of identity (must be current, valid and have at least 6 months left to run)**

- Current signed passport
- Current UK Photo Driving Licence
- Firearms Certificate

**List B – Verification of address**

- Recent\* utility bill (but not a mobile telephone bill)
- Recent\* local authority tax bill
- Recent\* bank or building society statement
- Recent\* mortgage statement from a recognised lender

**Notes:**

Please send original (not passport or driving licence) or certified copies of the documents.  
Copies must be certified as a true copy of the original by a UK lawyer, banker, authorised financial intermediary (e.g. financial adviser or an FCA authorised mortgage broker), accountant, teacher, doctor, minister of religion, postmaster or sub postmaster.  
The person certifying the document should state that the copy is a true copy of the original, print their name, address, telephone number and profession and sign and date the copy.  
\*Recent means dated within the last three months.

**Subscriptions to the Fund**

Total Subscription

(minimum £10,000 unless otherwise agreed by the Manager)

Please indicate how you will pay your single subscription

By cheque  By bank transfer

Cheques payable to: WCSL SYMVAN SEIS 3 CLIENT ACC

**Transfer details:**

Bank Name: Bank of Scotland plc  
Payment Reference: Surname and Initials  
Account Name: WCSL SYMVAN SEIS 3 CLIENT ACC  
Number: 10410260  
Sort Code: 80-20-00  
SWIFT: LOYDGB2L  
IBAN: GB73 BOFS 8020 0010 4102 60

**Bank Account Details**

Please provide details of the bank account to which you would like any distributions credited. Where the account is in the name of a third party it will be necessary to identify that person for anti-money laundering purposes.

Account name	<input type="text"/>
Account number	<input type="text"/>
Sort Code	<input type="text"/>
Bank Name	<input type="text"/>

### Cancellation Rights

There is a limited period during which you have the right to cancel your investment. If you wish to exercise this right to cancel, you must notify the Receiving Agent (Woodside Corporate Services Limited, 1st Floor, 12-14 Mason's Avenue, London EC2V 5BT) in writing within 14 days of their written acknowledgment of your application.

### Investment Reporting

The Manager will provide you with a periodic statement every 6 months, as detailed in the Information Memorandum on page 47.

### Data Protection

By providing personal information as part of your application and by signing this Application Form, you hereby confirm that you consent to the use of your personal information.

Please note the Manager is registered under the Data Protection Act 2018. The Manager's Privacy Policy is available on its website at [www.symvancapital.com](http://www.symvancapital.com). All data which you provide to the Receiving Agent and Custodian, the Manager, and your authorised financial adviser (as appropriate) will be held by the relevant party subject to the Data Protection Act 2018.

The relevant parties will pass your personal data to each other and to other parties insofar as is necessary in order for them to provide their services as set out in this agreement and to the FCA and any regulatory authority which regulates them and in accordance with all other applicable laws.

Please indicate if your personal information may be used by the Manager to send you details of new and existing products (including by email). Your permission may be withdrawn at any time by notifying the relevant organisation in writing that it may no longer be used in this way.

Yes

No

### Declaration / Terms & Conditions

1. I wish to invest the amount entered in the Total Subscription box in the Application Form in the Symvan Technology SEIS Fund 3 (the "Fund") subject to the terms set out in the Investment Management Agreement in Appendix 4 of the Memorandum. In relation to my investment in the Fund, I appoint Symvan Capital Limited to be the Manager on the terms set out in the Investment Management Agreement.
2. I wish to seek SEIS tax reliefs for my investment.
3. I am applying on my own behalf.
4. I agree to notify the Manager if any investment is made in a Company with which I am connected, as defined in Sections 166, 167, 170 and 171 of the Income and Taxes Act 2007 (ITA 2007).
5. I agree to notify the Manager if I become connected with a Portfolio Company or receive any monetary value from such Portfolio Company.
6. I have read the Memorandum and the Investment Management Agreement.
7. I have understood and agree to be bound as a party to the terms of the Investment Management Agreement and authorise the Manager to enter into a Custodian Agreement on my behalf.
8. I have read and agree to be bound by the Custodian's [Terms and Conditions](#).
9. I acknowledge and accept that the Manager has discretion to apportion my Subscriptions between Portfolio Companies, which are Qualifying Companies for SEIS purposes.
10. I have read this Application Form and I confirm that I have provided information on my personal and financial circumstances, which is true and accurate at the date of this Application Form.
11. I confirm that such information will be true and accurate at the date upon which this Application Form is accepted by the Manager. I understand that the Manager may decline to act on my behalf in the event that the information provided is incomplete.
12. I confirm that I as the underlying investor and/or my independent financial adviser, have read the risks described in the Memorandum and I am aware that this is a high risk investment as the underlying investments are illiquid and that I may not get all of my initial investment back.
13. I will notify the Manager and Custodian within 30 days of any change to the information provided in this Application Form including to my tax residency status or to my personal and financial circumstances to an extent that it may impact upon the appropriateness for me of investing in the Fund or causes the information contained herein to become incorrect or incomplete, and to provide the Custodian with a suitably updated self-certification and declaration within 90 days of such change in circumstances.
14. I acknowledge that the information contained in this form may be provided to HMRC and exchanged with tax authorities of another country or countries in which I may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

- 15. I consent to the Manager and Custodian making appropriate enquiries as required by the current Money Laundering Regulations and understand that this may include an electronic search through a credit or mutual reference agency, which may retain a record of that search.
- 16. I have advised the Receiving Agent and Custodian if I am a person who is subject to professional rules preventing me from making investments in particular Qualifying Companies.
- 17. I consent to the Manager’s dealing and best execution arrangements and provide my express consent that, on occasions when the Manager passes an order to another party for execution, the counterparty may execute the trade outside a regulated market or exchange or multi- lateral trading facility and may not publish any unexecuted client limit orders.
- 18. I agree and acknowledge that where the Manager is required by the FCA Rules to provide information to me, such information may be provided by means of the Manager’s website should the Manager so decide.
- 19. I acknowledge that my personal information will be used as set out in the Memorandum and Investment Management Agreement.
- 20. I acknowledge that the Manager cannot control the timing of the issue of SEIS certificates and, depending on the timing also of the applications made to HMRC by the Portfolio Companies after investment by the Fund, any such certificates may not be available for distribution before the end of the relevant tax year.

**Authorised Financial Adviser Charges**

I hereby instruct the Manager to set aside the amount as indicated below from my Investment Amount and to facilitate the payment to my authorised financial adviser on my behalf at the relevant time. Please insert the amount in details below.

Amount  (Figures)

Amount  (Words)

(Insert amount, which must be in pounds sterling and inclusive of VAT if any. If there is no adviser charge please state “nil” on both lines above)

By signing this Application Form, I also confirm that I understand that:

- The amount set aside from my investment in connection with the fees (if any) stated above will not be invested in the Fund and will not benefit from SEIS Relief;
- if my adviser’s fee includes VAT, I will remain liable for the VAT element, even where arrangements have been made to make and pay the deduction mentioned above; and
- any indication of illustrative possible returns stated and included in the Memorandum are based on amounts invested in the Fund after the setting aside of any such fees.

**Authorised Financial Adviser’s Bank Details**

Account name

Account number

Sort Code

Bank Name

**Investor Signature**

Signature of Investor

Date

**Applications should be emailed to:  
Applications@woodsidesecretaries.co.uk and  
your Symvan representative, who will confirm acceptance and passing of ID checks.**