



Deepbridge

## The Deepbridge Inheritance Tax Service

Application Form

Advised  
Subscription

**INNOVATIVE**<sup>™</sup>  
**INVESTING**

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## **Risk Warnings**

If contemplating an investment or investment service, the Investor/Subscriber should seek independent advice.

- Share prices, their values and income can go down as well as up and Investors may get back less than their original investment.
- Past performance is not a guide to future performance.
- The extent and value of any tax advantages or benefits arising from the use of tax-advantaged services will vary according to the individual's circumstances
- The levels and bases of taxation may also change.
- In compliance with the FCA rules, telephone calls may be recorded.

**Should you have any questions regarding this form, please contact the Deepbridge Investor Relations Team on 01244 746000**

# The Deepbridge Inheritance Tax Service Application Form

## The form has 6 sections

Please tick  boxes to confirm all relevant information has been provided.

- |                               |                          |
|-------------------------------|--------------------------|
| 1. About the investor         | <input type="checkbox"/> |
| 2. About the investment       | <input type="checkbox"/> |
| 3. About the adviser          | <input type="checkbox"/> |
| 4. About adviser remuneration | <input type="checkbox"/> |
| 5. Adviser declaration        | <input type="checkbox"/> |
| 6. Investor declaration       | <input type="checkbox"/> |

## How to complete the form

Please read the Deepbridge IHT Service Information Memorandum dated 26 March 2019 relating to the Deepbridge IHT Service and the corresponding Agreement therein.

- Please answer all questions and tick all boxes that apply.
- Please complete all sections.
- Please sign the declaration in section 6.

## What happens next?

- We will send you an acknowledgement that we have received your application, and when your subscription has been invested.
- We will then send you regular valuations and investor updates for your holdings.

## When you have completed the form, please tick\* the following to confirm:

You have read and understood the appropriate Information Memorandum relating to the Deepbridge Inheritance Tax Service.

You have correctly answered all the questions that apply to you.

You (or your Attorney) have signed the declaration in Section 6.

You have enclosed the necessary verification of identity documentation (which must be certified by a regulated individual e.g. financial adviser, solicitor or accountant):

- an Identity Verification Certificate or one of each of the following;
- a certified copy of identification (your passport or driving licence) plus;
- a certified copy of proof of address (driving licence, bank statement or recent utility bill (less than 3 months old, not mobile phone).

The original signature should be on each page of the document (not a photocopy).

If you are acting under a Power of Attorney, you have provided:

- a certified copy of your Power of Attorney plus;
- the necessary verification (please see above) of identity documentation for each Power of Attorney.

If you are paying by cheque, please enclose a cheque from your personal account, made payable to **'Reyker Securities plc client A/C re: Deepbridge'**. Please note that we do not accept cheques from business accounts. Bankers' drafts or building society cheques must specifically mention the investor's name.

Or, if you are paying via CHAPS/BACS, please transfer your investment to the following account after first sending in your completed application form and verification of identity documents, making sure that you reference the payment with your name:

**Bank name:** Natwest

**Sort code:** 60-00-01

**Account name:** Reyker Securities plc client A/C re: Deepbridge

**Account number:** 41554914

Please note: Payments need to be made from the client's personal UK Bank Account (we do not accept payments from business or overseas accounts).

## Section 1 About the investor

Title (Mr/Mrs/Miss/Ms/Other):	Forenames:
Surname:	Date of birth:
Country and place of birth:	Contact number:
Are you an existing Deepbridge investor?:	<input type="checkbox"/> Yes <input type="checkbox"/> No
Please list any countries where you hold a citizenship and a respective National Identifier (e.g. If a US Citizen for tax purposes please state your US Tax Identification Number (TIN)):	
Nationality:	National Insurance number:
Tax reference number:	
Email address:	
Permanent residential address:  Postcode:	Length of occupation at residential address: Years:                      Months:  If length of occupation is less than 3 years please provide previous residential address*
*Previous residential address(es) in the past 3 years.  Postcode:	Length of occupation at previous residential address(es):  Years:                      Months:
Is there a registered Power of Attorney in place for this application?:	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, who should we send correspondence to?:	<input type="checkbox"/> The Subscriber <input type="checkbox"/> The Power of Attorney
PoA Name:	If you'd like us to send correspondence to the PoA, please give us their address (if different from the above).   Postcode:
PoA NI Number:	
PoA date of birth:	

## Section 2 About the investment

How much are you investing?

You can invest as much as you like, so long as you invest at least £50,000.

£

Method of subscription

(Tick one box only)

**Cheque/bankers' draft**

Please enclose a cheque from your personal account, made payable to 'Reyker Securities plc client A/C re: Deepbridge'. We do not accept cheques from business accounts. Bankers' drafts and building society cheques must specifically mention the investor's name.

**Bank transfer**

Please transfer your investment to the following account after first sending in your completed application form and identification, making sure that you reference the payment with your name:

**Bank name:** Natwest

**Sort code:** 60-00-01

**Account name:** Reyker Securities plc client A/C re: Deepbridge

**Account number:** 41554914

Please note: Payments need to be made from the client's personal UK Bank Account (we do not accept payments from business or overseas accounts).

Right of cancellation

Please tick here if you wish to invest your subscription within the 14-day cancellation period. Please note that if you do so, it will be very difficult to withdraw the funds invested as funds are likely to have been invested into the Investee Company/ies

Please tick ✓ box below:

\*Please tick to indicate that you have read and understood the Information Memorandum (dated 26 March 2019), relating to the Deepbridge Inheritance Tax Service, including the Risk Warnings, available from your adviser or from the Deepbridge website.

### Section 3 About the adviser

Adviser:	
Company:	
Title (Mr/Mrs/Miss/Ms/Other):	Forenames:
Surname:	Contact number:
Address:	
Postcode:	
Email:	FCA number:
Are you a part of a network/service provider?:	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, give us the network / service provider name:	

### Section 4 About adviser remuneration

#### INITIAL CHARGE

Please indicate the level of any **Initial** adviser charges agreed. If you have agreed that Deepbridge will facilitate no charges to your adviser, then please indicate 'Nil'

Initial Charge:

%

£

Please note that any **Initial** charge will be calculated as a percentage of the subscription amount

#### ONGOING CHARGE

Please provide the level of any **Ongoing** adviser charges agreed.

Ongoing Charge:

%

£

Please note that any **Ongoing** charge will be calculated as a percentage of the subscription amount

Where **Ongoing** charges have been agreed, please confirm the number of years for this charge to apply; this amount will be deducted from the subscription amount prior to deployment of funds, up to a maximum period of 5 years. This period may be shortened if the relevant shareholding is exited before expiry period.

Years

Where you indicate an agreed charge, you are authorising Deepbridge to pay such charge to the adviser and for the net amount to be subscribed to the Fund.

Please note that no adviser charges will be applied if the above section is not completed.

## Section 5 Adviser declaration

We have undertaken an assessment of the person named in Section 1 of the Investor Application Form (the “Investor”) in respect of his/her knowledge and experience in making an investment in the Deepbridge Inheritance Tax Service or similar investments, his/her financial situation and investment objectives so as to enable us to take the decision, which we have, that an investment in the Deepbridge Inheritance Tax Service is suitable for him/her as per COBS 9.

In doing so, we obtained from the Investor such information as was necessary for us to understand the essential facts about the Investor and have a reasonable basis for believing, giving due consideration to the nature and extent of the service provided, that a subscription to the Deepbridge Inheritance Tax Service achieves the following: meets his/her investment objectives; is such that he/she is able financially to bear any related investment risks consistent with his/her investment objectives; and is such that he/she has the necessary experience and knowledge in order to understand the risks involved in the transaction or in the management of his/her portfolio.

The information regarding the investment objectives of the Investor which we obtained included, where relevant, information on the length of time for which the Investor wishes to hold the investment, his/her preferences regarding risk taking, his/her risk profile, and the purposes of the investment. The information regarding the financial situation of the Investor which we obtained included where relevant, information on the source and extent of his/her regular income, his/her assets, including liquid assets, investments and real property and his/her regular financial commitments.

The information regarding the Investor’s knowledge and experience in the investment field included, to the extent suitable to the nature of the Investor, the nature and extent of the services to be provided by the Manager as manager of the Deepbridge Inheritance Tax Service including its complexity and the risks involved, information on: the types of service, transaction and designated investments with which the Investor is familiar; the nature, volume, frequency of the client’s transactions in designated investments and the period over which they have been carried out; the level of education, profession or relevant former profession of the client.

Accordingly, we hereby certify to you that the Subscription proposed to be made in the Deepbridge Inheritance Tax Service by the Investor is suitable for the Investor within the meaning of the FCA rules and that each investment which you make on his/her behalf pursuant to the terms of the Investor’s Agreement will also be suitable for the Investor. We confirm that all such information referred to above is in our possession and we undertake to provide to you as soon as reasonably practicable following your request all or any of such information as you may require. We further undertake to notify you forthwith should an investment in the Deepbridge Inheritance Tax Service cease to be suitable for the Investor, for whatever reason, or should we cease to act for the Investor as his/her IFA.

We consent to Enterprise Investment Partners LLP relying on this assessment certificate:

Name of firm:	
Contact name:	Signature:
FCA Number:	Date:

## Section 6 Investor declaration

I wish to invest the amount stated in Section 2 in the Deepbridge Inheritance Tax Service subject to the terms set out in the Investor Agreement and the Administrator and Custodian Terms and Conditions in this Memorandum. In relation to my investment, I appoint Enterprise Investment Partners LLP to be the Manager on the terms set out in the Investor Agreement.

### I confirm that:

- I am applying on my own behalf;
- I will notify the Manager if the Investment is made in a company with which I am connected as defined in section 163 and sections 166 to 171 of the Income Tax Act 2007 (in which case clause 6.4 of the Subscriber Agreement applies at once);
- I will notify the Manager if I become connected with any Company in which the Deepbridge IHT Service may subscribe or receive value from such Company;
- I have read the Memorandum, including the Subscriber Agreement. I have understood and I agree to be bound as a party to the terms of the Subscriber Agreement and authorise the Manager to enter into a Custodian Agreement on my behalf;
- I have understood and I agree to be bound by the Custodian's terms and conditions of business;
- I consent to Deepbridge facilitating my adviser's fees and charges as set out in Section 4;
- I have read this Application Form and I confirm that I have provided full and accurate information. I understand that the Manager may decline to act on my behalf in the event that the information provided is incomplete or inaccurate.
- I have advised the Manager if I am a solicitor or an accountant or other professional person who is subject to professional rules preventing me from making investments in particular Companies (please advise the Manager which firm you work for so that the terms of the Subscriber Agreement can be applied correctly);
- I consent to the Manager's dealing and best execution arrangements and acknowledge 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; and
- I acknowledge that I have the right to cancel my Subscription within 14 business days of the Manager's receipt of the Application Form.
- I acknowledge that if I abort this transaction prior to deployment of funds into the investee companies, Deepbridge reserves the right to charge an abortive administration fee of a minimum of £85 + VAT in order to cover associated costs. This fee will be deducted from my subscription prior to funds being returned.
- I acknowledge that Deepbridge Advisers Limited will share some or all of the data contained within this application form with parties necessary to the processing of the application and subsequent subscriptions. Such parties include the Custodian/Nominee, Reyker Securities PLC, the Investment Manager, Enterprise Investment Partners LLP, Deepbridge Capital LLP, GB Group PLC for identification and anti-money laundering reporting and the respective investee companies. Data will not be shared for marketing purposes and will only be processed as required. Details of Deepbridge's privacy policy can be found at [www.deepbridgecapital.com](http://www.deepbridgecapital.com) and the data protection policies of any third parties may be found on their respective websites.
- By submitting this application, I agree with Reyker's Terms and Conditions (which can be found at [www.reyker.com](http://www.reyker.com)) which is their binding contract with me.

Full name  
of applicant:

Signature:

Date:



For Deepbridge Advisers Ltd internal use  
Assessment completed:

Signature:

Adviser declaration completed:

Yes  No

Date:

Date:





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