



oxford
technology

Application Pack

Oxford Technology
EIS Fund

OTEIS – The Development Fund

2024

**This document has been approved for the purposes of Section 21 of the
Financial Services and Markets Act 2000 by Oxford Technology Management Ltd
which is authorised and regulated by the FCA.**

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Please return to: Woodside Corporate Services Limited
12-14 Masons Avenue
London
EC2V 5BT

If you have any questions, please contact:

Oxford Technology Management Ltd
The Henley Building, Newtown Rd
Henley-on-Thames RG9 1HG
Tel 07720060824
email: lucius@oxfordtechnology.com

Important Notice in respect of client categorisation and the resulting Loss of Protections

In order to be able to invest in OTEIS, OTM will need to be able to categorise you as a ‘self-certified sophisticated investor’ or a ‘high net worth individual’. This will result in you losing the protections afforded to “retail investors”.

In order to invest you are certifying that you understand and accept the following points:

- 1. That investments in start-up and early stage technology companies are very high-risk investments.*
- 2. That if an investment in a start-up or early-stage technology company fails, the likely outcome is the total loss of the investment.*
- 3. That an investment OTEIS is illiquid. Once your investment is made you cannot access your investment funds until there are exits.*
- 4. That an investment in OTEIS is a long-term investment. Exits, which cannot be guaranteed, are expected to occur within a 5-10 year timescale.*
- 5. That you are not investing money which you cannot afford to lose, or money on which you depend for your living.*
- 6. That by opting to be categorised as a ‘high net worth individual’ or ‘self-certified sophisticated investor’ you lose the protections which are available to ‘retail investors.’*

The Information Memorandum relating to the Oxford Technology EIS Fund describes arrangements for the appointment of Oxford Technology Management Limited (“**OTM**” or the “**Manager**”) of The Henley Building, Newtown Rd, Henley-on-Thames RG9 1HG, as a discretionary investment fund manager to act on behalf of Investors who wish to make venture capital investments in EIS Qualifying Companies and to manage those investments in common on behalf of all such Investors. These arrangements together constitute the **OXFORD TECHNOLOGY EIS FUND - OTEIS** (the “**Fund**”). OTM is authorised to act as an Investment manager by the UK Financial Conduct Authority (“**FCA**”) and their FCA registration number is 121929.

As venture capital investments can be higher risk, OTM only acts for individuals who, in accordance with FCA rules, can be assessed as understanding the risks of investing in the Fund. These are set out in section Risk Factors on page 6 of the Information Memorandum. Therefore, participation in the Fund is restricted to those categorised as high net worth individuals or self-certified sophisticated investors.

This means that OTM will owe you an obligation to ensure that the venture capital investments which they make comply with the investment policy and parameters set out in the Information Memorandum but not that they are suitable for your particular financial circumstances and portfolio; an obligation that would need to be discharged if OTM were to classify you as under FCA rules as a ‘retail client’. This would require you to disclose to OTM personal details about your income, expenses, liquidity and assets. There are some additional differences between these two FCA classifications. They are set out below.

Please note that the fact that an adviser will treat you as a ‘retail client’ under FCA rules for the purposes of his client relationship with you, does not prevent that adviser from carrying out an assessment that you have the experience, expertise and knowledge required to understand the risks of investing in the Fund and of being categorised as a high net worth individual or self-certified sophisticated investor for the purpose of your relationship with OTM.

You can be categorised as a Self-certified Sophisticated Investor or High Net Worth Individual if you have completed the forms on pages 11-14.

Once you have been classified as a high net worth individual or sophisticated investor, you will lose the protections applicable exclusively to retail clients under the FCA rules. Certain FCA rules will automatically be limited or modified in their application to you. Certain FCA rules will be capable of modification in their application to you in relation to any business carried out by OTM under the terms of the Information Memorandum.

The following protections will not apply to you as an Investor in the Fund:

- (i) The Manager will not be obliged to warn you of the nature of any risks involved in any potential investments in the Fund. The Key Risks of investing in the Fund are set out on page 6 of the Information Memorandum.
- (ii) The Manager will not be obliged to disclose the basis or amount of its charges for any services the Manager provides to you or on your behalf or the amount of any other income that the Manager may receive from third parties in connection with such services. The basis and amount of the Manager's charges are set out in Fees section on page 5 of the Information Memorandum.
- (iii) The Manager will not be obliged to set out any of the prescribed contents, disclosures or risk warnings needed for retail customers in prospectuses, marketing brochures and other non-real time financial promotions material, nor will the Manager be subject to the restrictions that apply to a retail client in relation to unsolicited real-time communications.
- (iv) The Manager will not be required to give you the warnings required for retail clients in relation to material which may lead you to deal with or use overseas firms which are not regulated by the Financial Services and Markets Act 2000 nor will the Manager have to satisfy itself that the overseas firm will deal with you in an honest and reliable way.
- (v) The Manager will also not be required to comply with the FCA rules relating to restrictions on and the content of direct offer advertisements.

The following rules will be limited or modified in their application to you as a self-certified sophisticated investor or high net worth individual and an investor in the Fund.

- (i) The majority of the FCA rules in relation to the form and content of financial promotions will not be applicable in respect of any financial promotion communicated or approved by the Manager.
- (ii) The Manager will not be required by the FCA to provide you with a periodic statement on the value and composition of your Portfolio in the Fund where you have requested the Manager not to do so or where the Manager has taken reasonable steps to establish that you do not want it. We would however draw your attention to clause 8 of the Investment Management Agreement in the Information Memorandum pursuant to which, in particular you will be provided with a report every three months which will give details of all your investments, including the cost and valuation of each and the method of valuation.
- (iii) The Manager will comply with FCA conduct of business rule 11.2 and, to the extent applicable, take all reasonable steps to obtain, when making Investments, the best possible result for you taking into account the following execution factors: price, costs, speed, likelihood of execution and settlement, size, nature or any other consideration relevant to making investments. In doing this, the Manager will take into account the following criteria for determining the relative

importance of these execution factors: your categorisation as a high net worth individual or self-certified sophisticated investor (rather than as a retail client); the characteristics and investment objectives of the Fund as described in the Information Memorandum and the rules of the EIS and the normal commercial practice of the counterparties and strategic partners with which the Investee Companies will do business. In particular, factors such as the suitability, expertise and market position of counterparties and strategic partners may be more important than price in obtaining the best possible execution result in the context of achieving the investment objective.

If you are reclassified as a retail client, the Manager shall be entitled to terminate the Investor Agreement pursuant to Clause 15.

If you have a complaint regarding the services provided under the Investor Agreement you may raise the complaint with your independent financial adviser or directly with the Manager by writing to the address shown in the Information Memorandum and the Manager shall endeavour to resolve the complaint speedily and efficiently and will reply to you in writing. As a Self-certified Sophisticated Investor or High Net Worth Individual client you may lose the right to access the financial ombudsman service.

The Manager may have regard to your expertise when complying with the requirements under the regulatory system that communications must be clear, fair and not misleading.

Under FCA rules you are responsible for keeping the Manager informed of any change, which may affect your categorisation as a High Net Worth Individual or Self-certified Sophisticated Investor client.

About the Application Form

Important Note

This Application Form incorporates by reference the Information Memorandum published by Oxford Technology Management Limited, a company registered in England and Wales with company number 1069573 whose registered office is The Henley Building, Newtown Rd, Henley-on-Thames RG9 1HG (“OTM” or the “Manager”) in connection with the Oxford Technology EIS Fund - OTEIS - (the “Fund”) and all other documents published by OTM which are expressed to be supplemental thereto (the “Information Memorandum”). Unless otherwise stated or as the context shall otherwise require, defined terms and expressions used in this Application Form have the meanings ascribed to them in the Information Memorandum.

Before completing this Application Form, you should carefully review and understand the Information Memorandum and Investor Agreement. Remember that the proposal may NOT be suitable for you, the information in the offer documents does NOT constitute tax, legal or investment advice and you should seek your own independent advice.

Minimum investment

The minimum investment is £15,000 and thereafter in multiples of £1,000.

Who can apply?

You can apply for an investment in the Fund if you can be categorised as a **Self-certified Sophisticated Investor or High Net Worth Individual** under the FCA rules.

You can be categorised as a **Self-certified Sophisticated Investor or High Net Worth Individual** if you have self-certified by completing the **forms on pages 11-12 or 13-14**, respectively.

Alternatively, you can be assessed by your authorised financial adviser completing the **Certificate of Verification of Identity on pages 15-16**. This does not mean that your financial adviser needs to treat you as a high net worth individual or sophisticated investor if he has categorised you as a retail client in relation to the services and advice which he provides to you.

Instructions for completing the Application Form

Before completing this Application Form, please carefully review the Information Memorandum and Investment Management Agreement on page 18 and in particular the risk factors on page 6, and then follow the steps listed 1 – 3 below.

1. Please complete the *Application Form*. (Personal Details, and Acknowledgements and Representations) on pages 7-9 in black/blue permanent ink, and sign any changes you make. Do not erase any text or use whiteout.

2. Please *either*

complete and sign the *AML Certificate* on page 10, plus one of the following:

i) *High Net Worth Individual Investor Statement* (pages 11-12);

ii) *Self-certified Sophisticated Investor Statement* (pages 13-14),

or arrange for an independent financial adviser, authorised by the Financial Services Authority, to complete and sign the *Certificate of Verification of Identity* on pages 15-16.

3. Please send the following documents to: Woodside Corporate Services Limited
12-14 Mason's Avenue
London
EC2V 5BT

1. Application Form (completed, executed and dated) (pages 7-9);

2. Either Anti Money Laundering (AML) Certificate (page 10)
accompanied by one of:

i) High Net Worth Individual Investor Statement (pages 11-12)

ii) Self-certified Sophisticated Investor Statement (pages 13-14)

or Certificate of Verification of Identity (if you apply through an IFA - pages 15-16)

3. Either Your cheque or banker's draft made payable to 'Woodside Corporate Services Limited OTEIS Fund Client Account' for the amount you wish to invest.
or transfer your investment directly to the following account:

Account name: WCSL OT Client Account

Account number: 10409569

Sort Code: 80-20-00

If you are applying directly by means of the AML Certificate (page 10) and one of the two categorisation forms (pages 11-14), two further documents:

1. Proof of identify: a certified copy of one of; current passport, national identity card, or national driving licence (both parts)

2. Proof of address: a certified copy of one of; recent bank statement less than 3 months old, credit reference agency report, utility bill less than 3 months old or full driving licence (both parts), if not used for proof of identity.

Please keep a copy of the completed application form for your records.

OTM may decide, in its absolute discretion, to accept or reject the Application Form and will notify you of its decision.

If you do not receive an acknowledgement of your application within 10 days of sending it to the address above, please contact OTM.

1 Application Form- PERSONAL DETAILS

Title: Mr / Ms / Mrs / Miss / Dr / Other	Surname:
Forename(s):	
Nationality:	National Insurance no.
Permanent Address:	
Postcode:	Email:
If length of occupation is not more than 3 years then please provide your previous residential address:	
Mobile number:	Home number:
Date of Birth (DD/MM/YYYY):	Town and country of birth:
For most taxpayers, their National Insurance number is also their Tax Reference Number. But some taxpayers also have a UTR (Unique Tax Reference) number. Please provide this if known	UTR (if relevant)

2 Application TO INVEST IN THE OXFORD TECHNOLOGY EIS FUND

I hereby apply to invest in the Oxford Technology EIS Fund - OTEIS - the following amount:

£.....

I enclose a cheque, made payable to WCSL OT CLIENT ACC or bankers draft

I have transferred funds directly to WCS
 Acct name: WCSL OT CLIENT ACC
 Acct No: 10409569
 Sort Code: 80-20-00

Please tick this box to indicate you have read and understood the Woodside Corporate Services Limited Investor Terms and Conditions available at [woodsidecorporateservices.co.uk](http://www.woodsidecorporateservices.co.uk)

3 ACKNOWLEDGEMENTS AND REPRESENTATIONS

a	I confirm that I am 18 years of age or older, and personally possess sufficient knowledge, experience and expertise in financial and business matters (including experience with investments of a similar nature to an investment in the Fund) to be capable of evaluating the merits and risks of an investment in the Fund. I acknowledge that OTM is not providing advice on this investment and confirm that I have taken such independent advice (including from an independent financial adviser) that I deem necessary or desirable.
b	I confirm that I have read and understood the Information Memorandum (and in particular the section headed Risk Factors) and the Investor's Agreement. I confirm that, in making my application, I am relying solely on the information contained in the Information Memorandum, the Investor's Agreement, the AML Certificate and the High Net Worth Individual Investor Statement, Self-certified Sophisticated Investor Statement and my own enquiries, and not on any information or representation in relation to the proposal.
c	I agree and undertake, if my application is accepted, to observe, perform and be bound by the provisions of the Investor's Agreement.
d	I confirm that I wish to invest as a high net worth individual or self-certified sophisticated investor under the FCA rules and that I am aware of the consequences of losing the protection and investor compensation rights that I lose by participating in the Fund as a high net worth individual or self-certified sophisticated investor. I confirm that I have read and understood the Important Notice in respect of client categorisation and I confirm that the information set out the AML Certificate and the High Net Worth Individual Investor Statement, or Self-certified Sophisticated Investor Statement is true and accurate and OTM may rely on it.
e	I waive the protections conferred by the client money rules in respect of any money which the Manager or the Custodian holds for me. In doing so I acknowledge that the Manager and/or the Custodian will not be required to segregate my money from that of the Manager/Custodian and that in the event of insolvency I would rank only as a general creditor of the Manager/Custodian in respect of any uninvested money. Notwithstanding the foregoing I acknowledge that it is the policy of the Manager and the Custodian to segregate investors' money from funds held for and on behalf of the Manager/Custodian.
f	I acknowledge that this application form is not transferable or assignable.
g	I confirm my agreement that this Application Form be governed by and construed in accordance with the laws of England and that the courts of England shall have exclusive jurisdiction to hear and determine any suit, action or proceedings and to settle any disputes which may arise out of or in connection with this Application Form and, for such purposes, I irrevocably submit to the jurisdiction of such courts. In addition, I irrevocably waive any objection which I might now or hereafter have to the courts of England being nominated as the forum to hear and determine any such suit, action or proceedings and to settle any such disputes, and agree not to claim that any such court is not a convenient or appropriate forum.
h	I agree that the foregoing representations, warranties, agreements and acknowledgments shall survive the date of my admission to the Fund and this Application Form shall be binding upon and inure to the benefit of all parties and their successors and permitted assignees.

i I agree that any term or provision of this Application Form which is invalid or unenforceable in any jurisdiction shall, as to such jurisdiction, be ineffective to the extent of such invalidity or unenforceability without rendering invalid or unenforceable the remaining terms or provisions of this Application Form or affecting the validity or enforceability of any of the terms or provisions of this Application Form in any other jurisdiction.

j I undertake to notify the Manager immediately if there are ever any relevant circumstances of which the Manager should be aware in relation to managing my Portfolio(s).

k I confirm, in relation to my investment in the Fund, that:

- I wish to seek EIS Relief;
- I am applying on my own behalf;
- I will notify the Manager where any investment made by the Fund is made in a company with which I am connected within the meaning of section 163 and sections 166 to 177 of the Income Tax Act 2007 and part 5A of the Income Tax Act 2007 (e.g. where I am an employee, a director or an existing shareholder of that investee company or its subsidiary);
- I will notify the Manager if, within three years of the date of issue of shares by an EIS Qualifying Company or SEIS Qualifying Company, I become connected with that EIS Qualifying Company or SEIS Qualifying Company or receive value from it.

This Application Form is executed and delivered as a deed on the date mentioned below

Investor Signature:	Print name:
Witness Signature:	Print witness name and address:

Date:

by completing and signing this application form, you confirm that your identity may be verified by electronic means such as the use of data held by specialised data agencies.

Anti-Money-Laundering Certificate - to be completed by investors who are applying directly and not through an intermediary.

I certify that the information given below is true, complete and accurate.

We are required under the Money Laundering Regulations 2007 to verify the identity of all investors in the Fund . Therefore, please supply a certified copy of one document from list 1 (proof of identity) and one document from list 2 (proof of address)

List 1

Identity document – please enclose a certified copy (see below for details of who can certify your documents) of one of the following documents and put a tick in the relevant box:

Current Passport or national identity card

Full driving licence (both parts)

List 2

Proof of address – please enclose a certified copy (see below for details of who can certify your documents) of one of the following documents and put a tick in the relevant box:

Recent bank statement (less than three months old)

Credit reference agency report

Utility bill (less than three months old)

Full driving licence (both parts) (if not used for proof of identity)

CERTIFIED COPIES

Copies should be certified by a regulated professional person such as a solicitor, bank manager, financial adviser or accountant or, alternatively, by a person in a position of responsibility such a teacher or doctor who is known to the applicant. The documents requiring certification should be identified on the back as follows: “I certify that this is a true copy”. Please print the name, address, telephone number and capacity in which signed (e.g. doctor, company director) of the authorising person and ensure that the document is signed by them.

Please sign below signifying that you understand and will provide the required documents.

High Net Worth Individual Investor Statement to be completed by investors who are applying directly and not through an intermediary and wish to be categorised as High Net Worth Individuals.

I certify that the information given below is true, complete and accurate.

High Net Worth Individual Investor Statement

In order for you..... [please insert your name] (the “Investor”) to participate in the Fund, you may need to qualify as a 'high net worth individual', as described on page 2 of this application pack. This High Net Worth Individual Investor Statement and the & AML Certificate requests information to help us undertake this assessment. Additional information may be required. We will keep all information provided by you confidential. A clear written warning of the protections and investor compensation rights the Investor may lose in being treated as a high net worth individual investor is set out on pages 3 and 4.

Please be aware that we are unable to begin investing your subscription until we have received the completed and signed form. Please ensure that you have signed this form before returning it to:

Woodside Corporate Services Limited
12-14 Mason’s Avenue, London, EC2V 5BT
(0)20 3216 2000

Investment Policy

Please review the investment objectives of the Fund, set out on page 9 of the Information Memorandum, and tick the box to confirm that you are aware of and understand these objectives and that they are consistent with your own personal financial objectives in respect of your potential investment in the Fund.

HIGH NET WORTH INDIVIDUAL INVESTOR STATEMENT

If you meet condition A or B below, you may choose to be classified as a high net worth individual for the purposes of the Financial Services and Markets Act 2000 (Financial Promotion) Order 2005.

In the last financial year, did you have:

A) An annual income of £170,000 or more? Income does NOT include any one-off pension withdrawals.

- No
- Yes

If yes, please specify your income (as defined above) to the nearest £10,000 in the last financial year [£_____]

AND/OR

B) Net assets of £430,000 or more? Net assets do NOT include: your home (primary residence), any loan secured on it or any equity released from it; your pension (or any pension withdrawals) or any rights under insurance contracts. Net assets are total assets minus any debts you owe.

- No
- Yes

If yes, please specify your net assets (as defined above) to the nearest £100,000 in the

last financial year [£_____]

OR

C) None of these apply to me.

Yes

I declare that I have answered yes to A and/or B, and wish to be treated as a high net worth individual.

I understand that this means:

a) I can receive financial promotions where the contents may not comply with rules made by the Financial Conduct Authority (FCA);

b) I can expect no protection from the FCA, the Financial Ombudsman Service or the Financial Services Compensation Scheme.

I am aware that it is open to me to seek advice from someone who specialises in advising on investments. I accept that I could lose all of the money I invest.

Signature _____ Date _____

Issued by Oxford Technology Management Ltd
The Henley Building, Newtown Rd, Henley-on-Thames RG9 1HG
Email: lucius@oxfordtechnology.com
Registration number: 01069573

To be able to invest in OTEIS fund, OTM needs to be able to categorise you as a “high net worth individual investor”. This will result in you losing the protection afforded to “retail investors”. In order to be categorised as a high net worth individual investor' you are certifying that you understand and accept the following points:

1. That investments in start-up and early stage technology companies are very high risk investments.
2. That if an investment in a start-up or early-stage technology company fails, the likely outcome is the total loss of the investment.
3. That an investment OTEIS is illiquid. Once your investment is made you cannot get your money out again until there are exits.
4. That an investment in OTEIS is a long-term investment. Exits, which cannot be guaranteed, are expected to occur in a 5-10 year timescale.
5. That you are not investing money which you cannot afford to lose, or money on which you depend for your living.
6. That by opting to be categorised as ‘a high net worth individual’ you lose the protections which are available to 'retail investors.'

Please sign below signifying that you understand and accept the points above.

Self-certified Sophisticated Investor Statement to be completed by investors who are applying directly and not through an intermediary and wish to be categorised as Self-certified Sophisticated Investors.

I certify that the information given below is true, complete and accurate.

Self-certified Sophisticated Investor Statement

In order for you..... [please insert your name] (the “Investor”) to participate in the Fund, you may need to qualify as a 'self-certified sophisticated investor', as described on page 2 of this application pack. This Self-certified Sophisticated Investor Statement and the & AML Certificate requests information to help us undertake this assessment. Additional information may be required. We will keep all information provided by you confidential. A clear written warning of the protections and investor compensation rights the Investor may lose in being treated as a high net worth individual investor is set out on pages 3 and 4.

Please be aware that we are unable to begin investing your subscription until we have received the completed and signed form. Please ensure that you have signed this form before returning it to:

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12-14 Mason’s Avenue, London, EC2V 5BT
(0)20 3216 2000

Investment Policy

Please review the investment objectives of the Fund, set out on page 9 of the Information Memorandum, and tick the box to confirm that you are aware of and understand these objectives and that they are consistent with your own personal financial objectives in respect of your potential investment in the Fund.

SELF-CERTIFIED SOPHISTICATED INVESTOR STATEMENT

If you meet condition A, B or C below, you may choose to be classified as a self-certified sophisticated investor for the purposes of the Financial Services and Markets Act 2000 (Promotion of Collective Investment Schemes) (Exemptions) Order 2001.

Have you:

A) Worked in a professional capacity in the private equity sector, or in the provision of finance for small and medium enterprises, in the last two years?

No

Yes

If yes, what is/was the name of the business/organisation? [_____]

B) Been the director of a company with an annual turnover of at least £1.6 million, in the last two years?

No

Yes

If yes, what is/was the name of the company, and its Companies House number (or international equivalent)? [_____]

C) Been a member of a network or syndicate of business angels for more than six months, and are still a member?

No

Yes

If yes, what is the name of the network or syndicate? [_____]

OR

D) None of these apply to me.

Yes

I declare that I have answered yes to A and/or B and/or C, and wish to be treated as a self certified sophisticated investor.

I understand that this means:

- a) I can receive financial promotions where the contents may not comply with rules made by the Financial Conduct Authority (FCA);
- b) I can expect no protection from the FCA, the Financial Ombudsman Service, or the Financial Services Compensation Scheme.

I am aware that it is open to me to seek advice from someone who specialises in advising on investments. I accept that I could lose all of the money I invest.

Signature _____ Date _____

Issued by Oxford Technology Management Ltd
The Henley Building, Newtown Rd, Henley-on-Thames RG9 1HG
Email: lucius@oxfordtechnology.com
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To be able to invest in OTEIS fund, OTM needs to be able to categorise you as a “self-certified sophisticated investor”. This will result in you losing the protection afforded to “retail investors”. In order to be categorised as a ‘self-certified sophisticated investor’ you are certifying that you understand and accept the following points:

1. That investments in start-up and early stage technology companies are very high risk investments.
2. That if an investment in a start-up or early-stage technology company fails, the likely outcome is the total loss of the investment.
3. That an investment OTEIS is illiquid. Once your investment is made you cannot get your money out again until there are exits.
4. That an investment in OTEIS is a long-term investment. Exits, which cannot be guaranteed, are expected to occur in a 5-10 year timescale.
5. That you are not investing money which you cannot afford to lose, or money on which you depend for your living.
6. That by opting to be categorised as a 'self-certified sophisticated investor' you lose the protections which are available to 'retail investors.'

Please sign below signifying that you understand and accept the points above.

For those who are applying through a financial adviser - to be completed by the financial adviser.

**CERTIFICATE OF VERIFICATION OF IDENTITY (COVI)
PRIVATE INDIVIDUAL - INTRODUCTION BY FCA-REGULATED FIRM**

To: Woodside Corporate Services Limited (“WCSL”)

1. The customer’s details (see notes below) ¹	
Customer’s full name	
Current address	
Previous address if individual has changed address in the last three years	
D.O.B.	

2. Confirmation ²	
I/we ³ confirm that:	
i. the information in section 1, above, was obtained and verified by me/us in relation to the customer;	
ii. The customer named in section 1 is acting on his or her own behalf;	
iii	
a. The customer is not a PEP (Politically Exposed Person), or a person known To be a close relative or associate of a PEP;	<input type="checkbox"/>
b. The customer is a PEP or a person known to be a close relative or associate of a PEP; (Please provide full details.)	<input type="checkbox"/>

¹ A separate confirmation is to be completed for each customer (e.g. joint holders or trustees). Where a third party is involved, e.g. a payer of contributions who is different from the customer, the identity of that person must also be verified, and a confirmation provided.

² This form cannot be used to verify the identity of any customer that falls into one of the following categories:

- Those exempt from verification as being an existing client of the introducing firm prior to the introduction of the requirement for such verification;
- Those whose identity has not been verified by virtue of the application of a permitted exemption under the Money-Laundering Regulations, or
- Those whose identity has been verified using the source of funds as evidence.

³ Delete as appropriate.

iv. There are procedures in place to monitor the activities of the customer and we will report any suspicious activities to the appropriate authorities, and where appropriate to WCSL;	
v. The evidence I/we have obtained to verify the identity of the customer: [tick one]	
a. meets the requirements of the FCA , the current guidance issued by JMLSG and the current Money Laundering Regulations	
b. exceeds the standard evidence required by the FCA , the current guidance issued by JMLSG and the current Money Laundering Regulations (written details of the further verification evidence taken are attached to this confirmation).	
vi. I/we agree to provide copies of documents obtained to verify identity if requested.	
Signed ⁴	
Name	
Position	
Date	

3. Details of introducing firm (or sole trader)	
Full name of regulated firm/sole trader	
FCA reference number	

⁴ This must be an original signature or electronic equivalent and should be signed by an FCA Approved Person such as a Director and/or Money Laundering Reporting Officer (MLRO).

FOR OXFORD TECHNOLOGY MANAGEMENT INTERNAL USE ONLY

Assessment Completed	
Date:	
Assessment criteria met?:	

There are two documents which relate to the Oxford Technology Enterprise Investment Scheme Fund - OTEIS.

- 1. Information Memorandum &**
- 2. Application Pack**

Both may be downloaded from www.oxfordtechnology.com

**Oxford Technology Management Ltd
The Henley Building, Newtown Rd
Henley-on-Thames RG9 1HG
Tel 07720060824
otseis@oxfordtechnology.com**