



Platform Guide Series - Adviser Edition MAKING AN INVESTMENT





MAKING AN INVESTMENT

INTRODUCTION

The GrowthInvest platform allows you to access, research and invest in a diverse range of tax efficient and alternative investments using state-of-theart secure technology. The client portal can be configured to include wholeof-market investments across EIS, SEIS, VCT and IHT products, alongside a growing number of private markets and alternative offerings, or can be customised to only include an approved panel.

Available investments will all be contained within the **Offers** section of the platform, and this guide runs through this area, as well as the use of **Shortlists** and the management and monitoring of investments within the **Proposals** dashboard, where users can keep track of every stage of the investment process.

MAKING AN INVESTMENT

Any type of available investment will be visible within the Offers section, which can be accessed via **Investments > Offers**.



2

Within the Offers table, you can access key summary information on all available offers, with a more specific set of product criteria available on the each of the product tabs.

| enture Capital Trus | ture Capital Trusts | | | | SHOW/HIDE COLUMNS | B CHANGE VIEW | V PATER | |
|---|---------------------|--|--------------|--------------|-------------------|----------------|------------------|--------|
| | Status | Offer Details | Clase Date ~ | Offer Size 🗠 | Overailating | Over Allotment | Nin Investment 🧠 | Raised |
| ackfirich Spring VCT | OPEN | £20m with over-adotment facility. for a further £10m | 23/08/2023 | £20M | • | 60 | £3,000 | £6.69 |
| Roles VCF | OPEN | £10m with over-adotment facility for a further £10m | 25/08/2023 | £104 | • | 60 | £5,000 | 65.40 |
| INSIGN VCT | 0.0500 | £20m with over-allotment facility for a further £10m | 30/06/2023 | 12004 | - | 6104 | 13,000 | £19.68 |
| resight Billiams Technology VCT | OPEN | £15m with over-adotment facility for a further £10m | 22/12/2023 | £20M | | 60 | £3,000 | 63.25 |
| vinness VCT | OPEN | £10m with over-adotment facility for a further £20m | 36/06/2023 | £1004 | | | £5,000 | 54 |
| rtopus Apolla VCT | OPEN | VCF Targeting 828 software focused companies with recurring revs of between (2m-GBm | 18/10/2023 | £90M | • | 69 | 15,000 | 172 |
| topus future Generations VCF | OPEN | £30m with over-adotment facility for a further £10m | 12/01/2024 | £2004 | - | 60 | £3,000 | 03 |
| even VCTs | OPEN | fidm with over-allotment facility for a further fidm | 28/07/2023 | £40M | | 60 | £5,000 | £18.6 |
| ina Alpha VCT | OPEN | £15m with over-adotment facility for a further £5m | 31/10/2023 | £15M | | 60 | £5,000 | 62.9 |
| neca Growth Capital VCT | OPEN | £10m with over-allotment facility for a further £10m | 18/08/2023 | £1044 | | 69 | £3,900 | 61.8 |
| ames Ventures VCT 1 | OPEN | £10m with over-adotment facility for a further £10m | 31/07/2023 | £1094 | | | £5,000 | 61.2 |
| ames Ventures VCT 2 - Healthcare Shares | OPEN | £10m with over-allotment facility for a further £15m | 31/07/2023 | £10M | | | 15,000 | 61.2 |
| ames Ventures VCT 2 Ventares | OPEN | £10m with over-adotroent facility for a further £10m | 31/07/2023 | £10M | | | £5,000 | 6225 |
| into Reside 2013 Mandata Photos | OPTN | \$10m with over-allotrated facility for a further \$20m | 28/07/2023 | £108 | - | 158 | (1.000 | (13.4 |

Filters can be applied as required to further refine your search by a range of relevant criteria.



3

4

6

Platform Guide Series - Adviser Edition MAKING AN INVESTMENT

Within the offer page itself, you will find a whole host of information about the available investment, including: summaries, product documentation, fees, deadlines, raise amounts, management team bios, and much more.

re Capital Trusts

CLOSE

You can also find all the latest news, announcements, events and exclusive interviews.





To move to the offer page itself, simply

through to the relevant offer page.

click on the offer name, and you will move

Once you have found an offer that you would like to invest into, simply click on the **INVEST** button in the top right hand corner.

Within the pop-out box first select the relevant investor's name, then select how you would like to calculate the investment amount (The calculation can be made with either fees "Added" or "Deducted" from the initial amount entered), the amount to be invested, and specify the initial and ongoing adviser fee requirements.

When you have entered the required information, click on the **CREATE PROPOSAL** button.

This will now register the request, and begin the application process which can be monitored at all times within the **Proposals** section. ("Proposal" is our term for each individual investment application.)

| Which show is shirt and and find | | |
|--|-------------------------------------|----|
| Which client is this proposal for? | | |
| David Lloyd George (Demonstration) | ~ | |
| | | |
| SIGNATORIES | | |
| The use Adobe Sign for digital signatures | Digital Signature (S | |
| Signatory on behalf of investor | David Lloyd George (g | |
| Additional Recipients 🕦 | | • |
| INVESTMENT | BR D,0000 £50,000.00 | • |
| How would you like to calculate the total amount including fees? | Fees Added (g | |
| BlackFinch Spring VCT Ord | £50,000 if | |
| ADVISER FEES | £3,000.0 | • |
| Initial Fee | £1,000.00 gf | |
| VKT should be added to the initial fee | <u>>></u> 8 | |
| Initial Fee Collection | Recliptated by the provider of | |
| Annual Fee | E1,000.00 af | |
| Annual Fee Collection | Facilitated through the platform of | |
| VAT should be added to the annual fee | <u>100</u> 85 | |
| Years of upfront annual fees | 2 Years of | |
| PLATFORM FEES | £250.0 | 0 |
| Annual Fee | \$125.0 | 00 |
| Years of upfront annual fees | 2 Year | n |
| On Platform | (MI | • |
| MISCELLANEOUS | | _ |



USING A SHORTLIST

This section will look at creating a shortlist and the benefits of using this feature on the GrowthInvest platform.

Shortlists are beneficial when a client wishes to invest in more than one product or fund, or if there is not yet a decision on the investment they wish to make.

If you would like to add an investment to a client's existing shortlist, simply navigate to the relevant product and select ADD TO SHORTLIST.





If you would like to create a new shortlist, on the pop-up select **CREATE SHORTLIST** icon, select the name of the investor, and enter a memorable shortlist name.

Once created or if you are using a previously created shortlist, simply select the shortlist from the dropdown list, then select how you would like to calculate the investment amount (the calculation can be made with either fees "Added" or "Deducted" from the initial amount entered), the amount to be invested, and specify the initial and ongoing adviser fee requirements.

To view a shortlist, select the **Investments** tab and open the shortlist section. Here you can view, update, amend and submit shortlists. On this page, you can view high level information about each available shortlist.



3



For further information select the arrow next to the name of the shortlist, or to amend or submit a shortlist please click the name of the shortlist to open it fully.



4

white peoble

 Name

 Puma VCT 13
 VCT

 Guinness VCT
 VCT

 Northern VCTs
 VCT

ad

Investments

Dashboard / Shorlists / Derek Smithers 23/24 Tax Year Derek Smithers 23/24 Tax Year Derek Smithers (Demonstration) (Cash Balance) 20

relief £90.000

FEE SUMMARY () FEE ILLUSTRATION

(

On the dedicated **Shortlists** page, you can see a summary view of all proposals included, along with a view of the adviser and platform fees relating to each Amendments can be made to the investment amount, or the Adviser fees at this point.

.

Report

E EO Cleared funds required E304.5K Total incl Fees E304.5K

£60,000.00

£60,000.00

£180,000.00

C

Library

It is possible to invest into all the products listed on the shortlist by selecting **PROPOSE ALL OFFERS**.

No

No

Initial

£100

£100

£100

Annual Advisor Foo

£600 🕚

£300 🚺

£1,800 🕕

Alternatively, if you wish to only invest in a number of products listed on the shortlist, select the tick box for the desired products and then select **PROPOSE OFFERS**. If any offers that were originally selected are now closed and unavailable for investment, they will marked as such and struck through.

5

As when making an investment directly via the Invest button, any proposals will be immediately available to track and monitor progress within the Proposals section.



♀ PROPOSE + INVEST 3 / 3 OFFERS

e c 🗅

e 🕜 🍵

e c 📋

ø ø e

000

Total incl Fees

£61.000.00

£60,700.00

£182,800.00

SHOW/HIDE COLUMNS Y PROPOSE + INVEST 3 / 3 OFFERS

Total incl Fee

£61,000.00

£60,700.00

£182,800.00

Annual Platform Fee

£300 【

E300 【

E900 🚯



TRACKING YOUR PROPOSALS

As there can often be a multi-stage or extended investment application process within the tax efficient and alternative investment space, we have created a specific area for tracking and monitoring all investment applications. This is the **Proposals** area within the **Investments** section.

Once an investment has been proposed, this will usually automatically trigger the creation of an application form, which will be sent to the relevant chosen adviser / primary contact, before being sent on to the client.

Our client services team will get in touch with any additional specific questions, or if any further information is required for the specific application.

If you wish to view all live proposals for a particular client, simply navigate to the Proposals area within the Investments section, and select the relevant client (or use the Filters section to refine further by specific investment date and other available variables).

| oposed 15K 5 Proposals | In progress £300K 4 Proposals | Awaiting approval £400K 3 Proposals | Awaiting confirmation £125K 2 Proposals |
|---|--|---|---|
| DEREK SMITHERS 28/06/2023 MMC Ventures EIS Fund £50,000 Awaiting funds | DEREK SMITHERS 28/06/2023 Committed Capital EIS Growth Fund £40,000 Awaiting funds | DAVID LLOYD GEORGE 23/02/2023 TIME: Advance £250K Funds transferred | DAVID LLOYD GEORGE 09/02/2023 Albion VCTs Pending Allotment |
| DEREK SMITHERS 28/06/2023 | | DAVID LLOYD GEORGE 23/02/2023 | £50,000 Funds transferred |
| Par EIS Fund £50,000 Awaiting funds | AVID LLOYD GEORGE 23/03/2023 Albion VCTs £30.000 Awaiting funds | MMC Knowledge Intensive EIS Fund 2022/23 | DAVID LLOYD GEORGE 23/02/2023 Octopus Titan VCT |
| DEREK SMITHERS 28/06/2023 Foresight WAE Technology EIS Fund £25,000 Awaiting funds | DAVID LLOYD GEORGE 23/02/2023 Hamilton Lane Global Private Assets Fund £200K Awaiting funds | DAVID LLOYD GEORGE 23/02/2023 Parkwalk Opportunities EIS Fund E50,000 Funds available C | E75,000 Funds transferred |
| DEREK SMITHERS 28/06/2023 | | | |
| Deepbridge Life Sciences EIS £40,000 Awaiting funds | DAVID LLOYD GEORGE 09/02/2023 Endeavour Ventures Managed EIS Portfolio Service | | |
| PANID LLOYD GEORGE 23/02/2023 Pembroke VCT | £30,000 Funds available | | |
| £50.000 Awaiting funds | | | |

Handy hint: The default view is as a Kanban, though table and card views are available by clicking on CHANGE VIEW in the top right.

Change View





Each card has a summary of the progress, including the Client, date of application, name of investment, and status of funds.

| roposed 115к | 5 Proposals | In progress £300K 4 Proposals | Awaiting approval £400K | 3 Proposals | Awaiting con £125K | firmation 2 Propes |
|--|----------------------------------|--|---|---|--|--|
| DEREK SMITHERS MMC Ventures EIS Fur £50,000 Aw | 28/06/2023 nd aiting funds | DEREK SMITHERS 28/06/2023 Committed Capital EIS Growth Fund | DAVID LLOYD GEORGE TIME: Advance £250K Funds | 23/02/2023 transferred i | AVID LLOYD GEO Albion VCTs Pending Allotment | RGE 09/02/2023 |
| DEREK SMITHERS Par EIS Fund £50,000 Aw | 28/06/2023 | DAVID LLOYD GEORGE 23/03/2023 Albion VCTS E30.000 Awaiting funds | MMC Knowledge Inter Fund 2022/23 | 23/02/2023 nsive EIS | £50,000 DAVID LLOYD GEO Octopus Titar | Funds transferred RGE 23/02/2023 NVCT |
| DEREK SMITHERS Foresight WAE Techno Fund £25,000 Aw | 28/06/2023 Dlogy EIS | DAVID LLOYD GEORGE 23/02/2023 Hamilton Lane Global Private Assets Fund | DAVID LLOYD GEORGE Parkwalk Opportunitie £50,000 Func | 23/02/2023 es EIS Fund Is available 🔳 | £75,000 | Funds transferred 🗩 |

A more detailed view of each can be accessed by clicking on each card:

| | | | CHANGE VIEW |
|--|--------------------------------|--------------------------------------|-----------------------|
| DAVID LLOYD GEORGE (DEMONSTRATI MMC Knowledge | on) cash Balance o Intensiv | e EIS Fund 2022/23 | Funds Available 🔳 |
| Proposed | In Progress | Awaiting Approval | Awaiting Confirmation |
| 23/02/2023 | | ✓ Investment | £100,000.00 |
| All funds for this investment have I | been received | MMC Knowledge Intensive EIS Fund III | £100,000.00 |
| 23/02/2023 Application form complete The application form has been com | apleted. | | |
| 23/02/2023 | been entered and no approvals | > Adviser fees | £200.00 |
| Invest This proposal has been entered an | | > Platform fees | £500.00 |
| were required. | | Total amount incl fees | £100,700.00 |
| | | Cleared funds required | £100,700.00 |

This provides a clear view of the key subsidiary stages such as confirmation that the application has been signed, whether there are sufficient client funds on platform for the specific investment (updated daily against platform cash balance), and whether the fund manager has approved the application itself. It also shows the related adviser and platform fees.

Our Client Services team are of course always very happy to provide any additional updates as required.

Support

If you have any questions, please do not hesitate to contact the GrowthInvest Client Services team **via the portal**, by email at **clientservices@growthinvest.com** or call us on **0300 303 0037**.



GrowthInvest Warnford Court 29 Throgmorton Street London EC2N 2AT

clientservices@growthinvest.com

0300 303 0037

GrowthInvest Platform is a trading name of EIS Platforms Limited which is a company registered in England and Wales, number 08018312

EIS Platforms Limited (FRN: 694945) is an appointed representative of Sapphire Capital Partners LLP (FRN:565716) which is authorised and regulated by the Financial Conduct Authority in the UK.