



GROWTH INVEST



Platform Guide Series - Adviser Edition

MAKING AN INVESTMENT

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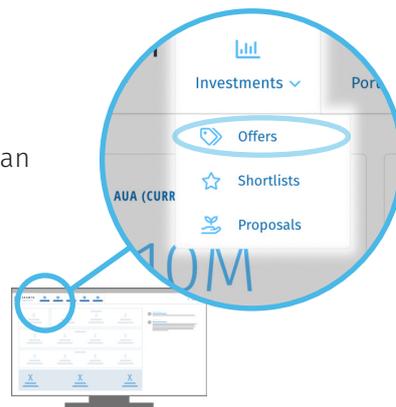
INTRODUCTION

The GrowthInvest platform allows you to access, research and invest in a diverse range of tax efficient and alternative investments using state-of-the-art secure technology. The client portal can be configured to include whole-of-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

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

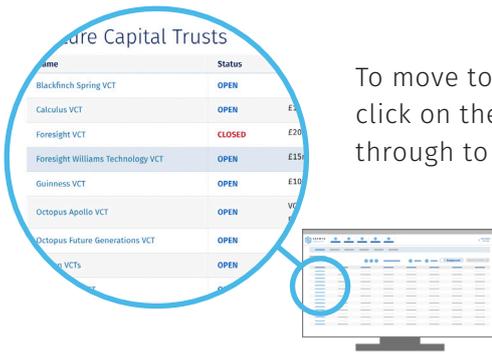


- 2 Within the Offers table, you can access key summary information on all available offers, with a more specific set of product criteria available on each of the product tabs.

Name	Status	Offer Details	Close Date	Offer Size	Overall Rating	Over-Allotment	Min Investment	Raised
BlackTech Spring VCT	OPEN	EISB with over-achievement facility for a further EISB	23/08/2023	£20M	5.0	0%	£3,000	£0.0M
Calculus VCT	OPEN	EISB with over-achievement facility for a further EISB	25/08/2023	£10M	5.0	0%	£5,000	£1.4M
Flowright VCT	CLOSED	EISB with over-achievement facility for a further EISB	30/06/2023	£20M	5.0	0%	£3,000	£3.6M
Flowright eSolutions Technology VCT	OPEN	EISB with over-achievement facility for a further EISB	22/12/2023	£20M	5.0	0%	£5,000	£1.2M
Goldmans VCT	OPEN	EISB with over-achievement facility for a further EISB	30/06/2023	£20M	5.0	0%	£5,000	£2M
Octopus Alpha VCT	OPEN	VCT targeting B2B software focused companies with recurring revenue and strong EBITDA	30/09/2023	£20M	5.0	0%	£5,000	£72M
Octopus Future Generations VCT	OPEN	EISB with over-achievement facility for a further EISB	12/01/2024	£20M	5.0	0%	£3,000	£1.3M
Proton VCT	OPEN	EISB with over-achievement facility for a further EISB	28/07/2023	£40M	5.0	0%	£5,000	£36.6M
Puma Alpha VCT	OPEN	EISB with over-achievement facility for a further EISB	31/03/2023	£20M	5.0	0%	£5,000	£3.9M
Seneca Growth Capital VCT	OPEN	EISB with over-achievement facility for a further EISB	30/08/2023	£20M	5.0	0%	£3,000	£3.8M
Thomas Ventures VCT 1	OPEN	EISB with over-achievement facility for a further EISB	31/07/2023	£20M	5.0	0%	£5,000	£1.2M
Thomas Ventures VCT 2 - Healthcare Stocks	OPEN	EISB with over-achievement facility for a further EISB	31/07/2023	£20M	5.0	0%	£5,000	£2.2M
Thomas Ventures VCT 3 - Ventures	OPEN	EISB with over-achievement facility for a further EISB	31/07/2023	£20M	5.0	0%	£5,000	£27M
Triple Point 2023 Venture Stocks	OPEN	EISB with over-achievement facility for a further EISB	28/07/2023	£20M	5.0	0%	£3,000	£3.4M

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

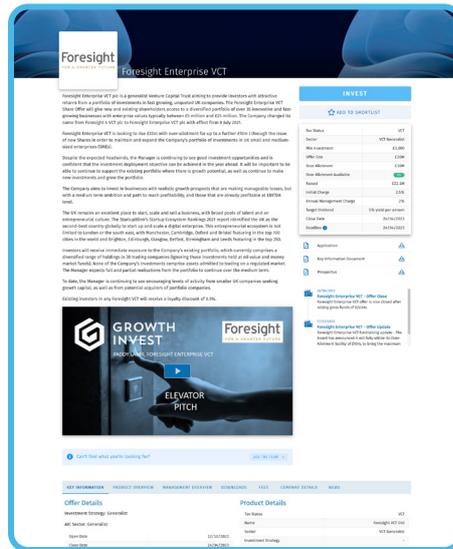
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To move to the offer page itself, simply click on the offer name, and you will move through to the relevant offer page.

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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.



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

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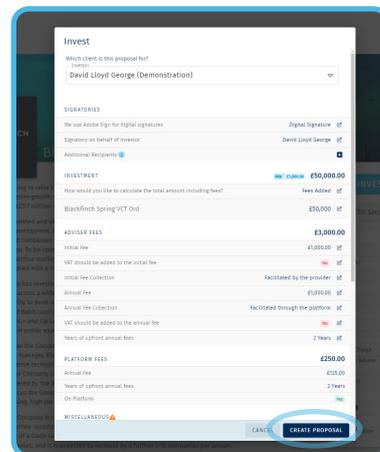
Once you have found an offer that you would like to invest into, simply click on the **INVEST** button in the top right hand corner.

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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.)

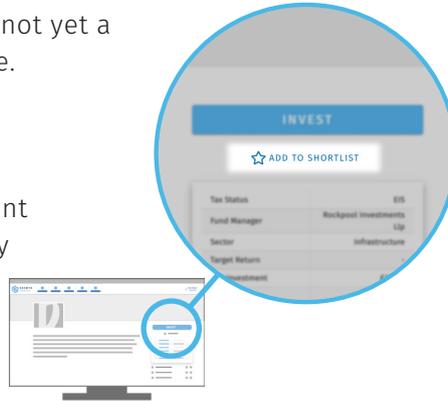


USING A SHORTLIST

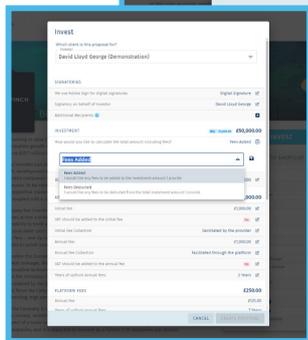
This section will look at creating a shortlist and the benefits of using this feature on the GrowthInvest platform.

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.

- 1 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**.



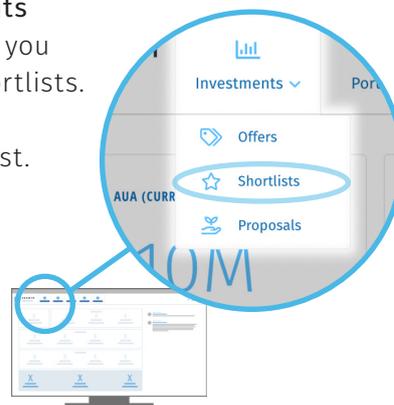
- 2



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.

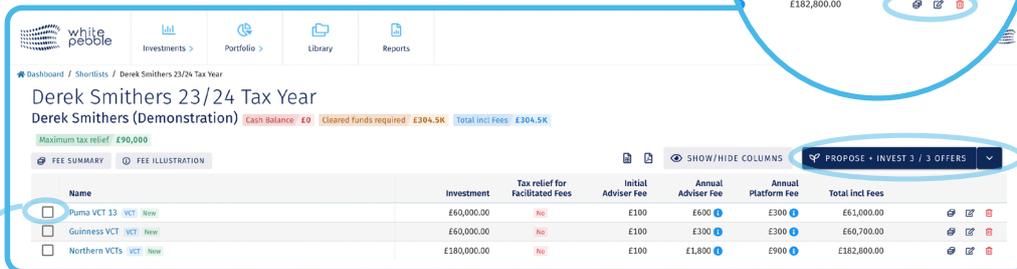
- 3 To view a shortlist, select the **Investments** tab and open the shortlist section. Here you can view, update, amend and submit shortlists. On this page, you can view high level information about each available shortlist.



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.

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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.



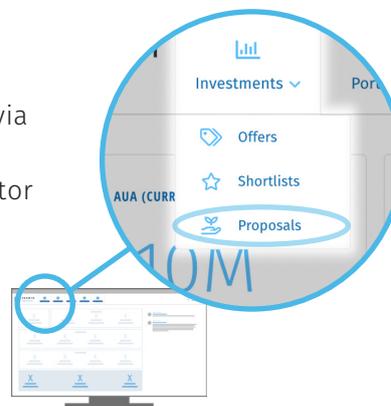
Name	Investment	Tax relief for Facilitated Fees	Initial Adviser Fee	Annual Adviser Fee	Annual Platform Fee	Total Incl Fees
<input type="checkbox"/> Puma VCT 13 VCT New	£60,000.00	No	£100	£600	£300	£61,000.00
<input type="checkbox"/> Guinness VCT VCT New	£60,000.00	No	£100	£300	£300	£60,700.00
<input type="checkbox"/> Northern VCTs VCT New	£180,000.00	No	£100	£1,800	£900	£182,800.00

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

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 be marked as such and struck through.

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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.



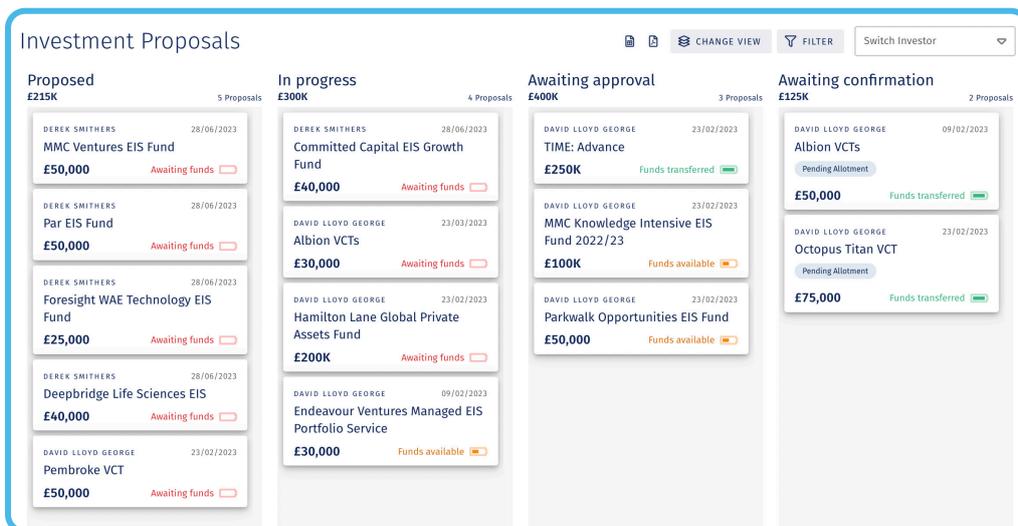
TRACKING YOUR PROPOSALS

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.

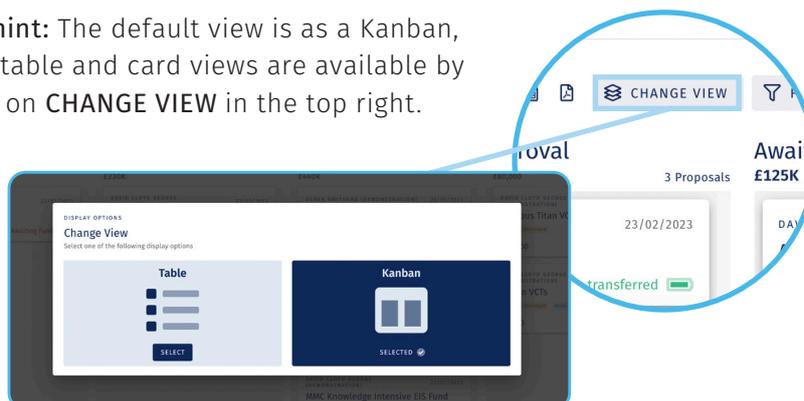
Once an investment has been proposed, this will usually automatically trigger the creation of an application form, which will be sent to the relevant chosen adviser / primary contact, before being sent on to the client.

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

- 1 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).

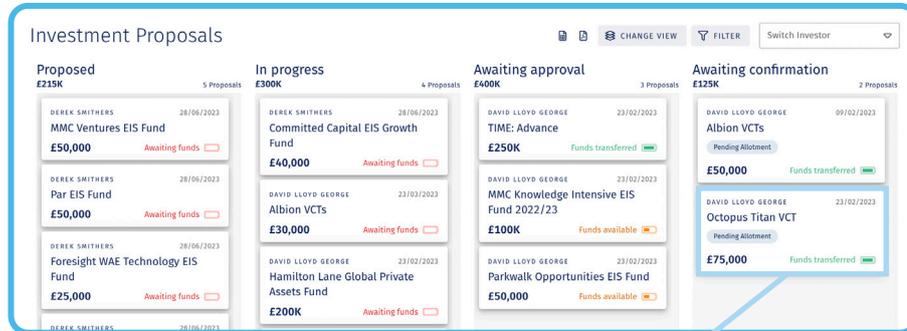


- 2 **Handy hint:** The default view is as a Kanban, though table and card views are available by clicking on **CHANGE VIEW** in the top right.

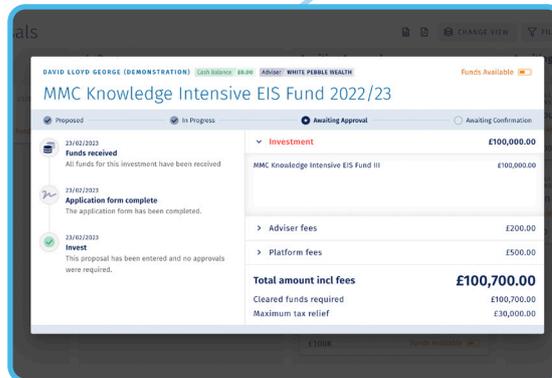


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Each card has a summary of the progress, including the Client, date of application, name of investment, and status of funds.



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



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.



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