

Oxford Angels Network Investor Registration Form

To register as an Oxford Angel Network member please complete **Section 1** and sign one of the three enclosed investor certificate forms as applicable in **Section 2**. Please return the completed form either via email as a scanned pdf to zoe.reich@innovation.ox.ac.uk or by post to Oxford Angel Network, c/o Oxford University Innovation, Buxton Court, 3 West Way, Oxford OX2 0JB.

Section 1

Personal Details

Title		First Name		Last Name	
Company (if applicable)					
Street					
Town/City					
Postcode		Country			
Phone		Mobile			
Email					

Areas of interest within the University of Oxford (please tick all relevant areas)

Humanities		Social Sciences		Medical Sciences		Mathematical, Physical & Life Sciences	
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Areas of investment interest (please tick all relevant areas)

Aerospace, defence, security	<input type="checkbox"/>	Law	<input type="checkbox"/>
Anthropology	<input type="checkbox"/>	Machinery and transport	<input type="checkbox"/>
Biomarkers and diagnostics	<input type="checkbox"/>	Materials	<input type="checkbox"/>
Biotech, bioprocess and biologics	<input type="checkbox"/>	Mathematics	<input type="checkbox"/>
Business, finance and management	<input type="checkbox"/>	Medical devices and medical supplies	<input type="checkbox"/>
Chemicals	<input type="checkbox"/>	Medical imaging	<input type="checkbox"/>
Classics	<input type="checkbox"/>	Mining and construction	<input type="checkbox"/>
Consumer goods	<input type="checkbox"/>	Music	<input type="checkbox"/>
Drug delivery	<input type="checkbox"/>	Nanotechnology	<input type="checkbox"/>
Economics	<input type="checkbox"/>	Oriental studies	<input type="checkbox"/>
Education	<input type="checkbox"/>	Pharmaceuticals, therapeutics and drug discovery	<input type="checkbox"/>
E-health	<input type="checkbox"/>	Public health and primary care	<input type="checkbox"/>
Electricals, electronics and communication	<input type="checkbox"/>	Research tools and materials	<input type="checkbox"/>
Energy	<input type="checkbox"/>	Sociology, social policy & intervention	<input type="checkbox"/>
Environment	<input type="checkbox"/>	Software, internet and computer services	<input type="checkbox"/>
Food & drink, agriculture and fishing	<input type="checkbox"/>	Technology hardware and equipment	<input type="checkbox"/>
General industrials	<input type="checkbox"/>	Travel, leisure, media and consumer services	<input type="checkbox"/>
Genetics, genomics, proteomics	<input type="checkbox"/>	Vaccines	<input type="checkbox"/>
International development	<input type="checkbox"/>		

University Director’s Register

Direct involvement with investments (please tick)	Passive	Advisory	Chair/Non-executive Director
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Data Protection

The information that you provide on this application form will be stored and processed by Oxford Angel Network (“OAN”). OAN will only use the information for the purposes of the OAN. For investors joining the OAN the information may be used for direct marketing, including distribution of promotional materials by mail or other means and telephone or face to face marketing or canvassing.

Important Information

Oxford Angel Network provides an information service to exchange data between unquoted companies and potential investors. It does not advise on the merits or risks of investment and is not authorised to carry on regulated activities under the Financial Services and Markets Act 2000 but rather is an exempt body under Article 40 of the Financial Services and Markets Act 2000 (Exemption) Order 2001.

Investment, whether in new or existing businesses, carries high risks, as well as the possibility of high rewards. It is highly speculative and potential investors should be aware that no established market exists for the trading of shares in private companies and as such investments are not readily realisable.

Before investing in a project about which information is given, potential investors are strongly advised to take advice from a person authorised under the Financial Services and Markets Act 2000 who specialises in advising on investments of this kind.

Accordingly, no responsibility can be accepted by the Oxford Angel Network, for any damage or loss of whatsoever nature due to negligence, disclosure or non-disclosure or any cause occasioned by an investment in any business promoted by the Oxford Angel Network. The Oxford Angel Network recommends that all prospective investors make their own legal and other professional enquiries before proceeding with any investment.

Conditions of network membership

I have read the Important Information above and agree to all the conditions and disclosures that are set out therein. I accept that any decision to invest in any business introduced to me/us by the Oxford Angel Network is my responsibility.

I declare that the information supplied by me/us is accurate and complete to the best of my/our knowledge and that I am not disqualified from holding office as a director of a company nor have been convicted of any criminal offences in relation to a business activity nor have been adjudged bankrupt nor suffered the making of any application for a bankruptcy, administration or like order pursuant to the Insolvency Act 1986, nor have I been involved in any capacity in any company or business which has entered into liquidation, administration or receivership which I have not disclosed fully and in writing to the Oxford Angel Network.

I agree to hold confidential any information provided to me by any business or information regarding opportunities from the University of Oxford/Oxford University Innovation introduced to me by the Oxford Angel Network. I agree to execute a confidential disclosure agreement direct with the University of Oxford and Oxford University Innovation if called upon so to do.

Signed

Name

Company (if applicable)

Date

Section 2 – Investor Certification

Please complete one of the three certificates as appropriate

Statement for certified high net worth individual

I declare that I am a certified high net worth individual for the purposes of the Financial Services and Markets Act 2000 (Financial Promotion) Order 2005.

I understand that this means:

(a) I can receive financial promotions that may not have been approved by a person authorised by the Financial Conduct Authority;

(b) the content of such financial promotions may not conform to rules issued by the Financial Conduct Authority;

(c) by signing this statement I may lose significant rights;

(d) I may have no right to complain to either of the following—

- (i) the Financial Conduct Authority; or
- (ii) the Financial Ombudsman Scheme;

(e) I may have no right to seek compensation from the Financial Services Compensation Scheme.

I am a certified high net worth individual because **at least one of the following applies** -

(a) I had, during the financial year immediately preceding the date below, an annual income to the value of £100,000 or more;

(b) I held, throughout the financial year immediately preceding the date below, net assets to the value of £250,000 or more. Net assets for these purposes do not include —

- (i) the property which is my primary residence or any loan secured on that residence;
- (ii) any rights of mine under a qualifying contract of insurance within the meaning of the Financial Services and Markets Act 2000 (Regulated Activities) Order 2001; or

(iii) any benefits (in the form of pensions or otherwise) which are payable on the termination of my service or on my death or retirement and to which I am (or my dependants are), or may be, entitled.

I accept that I can lose my property and other assets from making investment decisions based on financial promotions.

I am aware that it is open to me to seek advice from someone who specialises in advising on investments.

Name

Signature

Date

Statement for self-certified sophisticated investor

I declare that I am a self-certified sophisticated investor for the purposes of the Financial Services and Markets Act (Financial Promotion) Order 2005.

(a) I can receive financial promotions that may not have been approved by a person authorised by the Financial Conduct Authority;

(b) the content of such financial promotions may not conform to rules issued by the Financial Conduct Authority;

(c) by signing this statement I may lose significant rights;

(d) I may have no right to complain to either of the following

(i) the Financial Conduct Authority; or

(ii) the Financial Ombudsman Scheme;

(e) I may have no right to seek compensation from the Financial Services Compensation Scheme.

I am a self-certified sophisticated investor because **at least one of the following applies** -

(a) I am a member of a network or syndicate of business angels and have been so for at least the last six months prior to the date below;

(b) I have made more than one investment in an unlisted company in the two years prior to the date below;

(c) I am working, or have worked in the two years prior to the date below, in a professional capacity in the private equity sector, or in the provision of finance for small and medium enterprises;

(d) I am currently, or have been in the two years prior to the date below, a director of a company with an annual turnover of at least £1 million.

I accept that I can lose my property and other assets from making investment decisions based on financial promotions.

I am aware that it is open to me to seek advice from someone who specialises in advising on investments.

Name

Signature

Date

Statement for regulated investment professionals

We confirm that we are an investment professional within the meaning of article 19(5) of the Financial Services and Markets Act 2000 (Financial Promotion) Order 2005 on the basis that we are a firm authorised for the purposes of the Financial Services and Markets Act 2000.

We accept that we can lose my property and other assets from making investment decisions based on financial promotions.

We are aware that it is open to us to seek advice from someone who specialises in advising on investments.

Name

Signature

Date

Company

Regulator

Registration Number