

FP Octopus Investments
UCITS Funds
ISA Transfer Application Form

For completion by the introducing intermediary
(if applicable)

Advised Investment*

Non-advised Investment*

*Please tick as appropriate

1. Personal Details (BLOCK CAPITALS please)

Title	Surname
Forename(s)	
Permanent Address	
Postcode	
National Insurance Number*	
Telephone (daytime)	
Telephone (evening)	
Date of Birth	

If you do not have a National Insurance Number, please tick this box

*Your National Insurance Number (NINO), or National Pension Number and Date of Birth must be quoted. Your NINO should be available on either your payslip, form P45 or P60, a letter from HM Revenue & Customs (or DWP), or on your pension order book.

2. Reinvestment Details

I apply to transfer my existing ISA(s) (and subscribe to a Fund Partners Stocks and Shares ISA for the **20___/ 20___** tax year and each subsequent year until further notice). *(PLEASE COMPLETE THE TAX YEAR).*

Please note that full information concerning the latest HMRC ISA rules and the maximum subscription for the current tax year can be found at www.gov.uk/individual-savings-accounts.

Please invest as follows:

FP Octopus Investments UCITS Funds Sub-Fund	Share Class and Type	Investment of Transfer Proceeds	Lump Sum	Monthly Savings Plan*
		% of Transfer Value to be Invested		(min. £100 per month, min. £50 per sub-fund)
FP Octopus UK Micro Cap Growth Fund	Class P Accumulation	%	£	£
Total Investment Amount		%	£	£

* You can invest up to your ISA limit in a stocks and shares ISA with one provider, or you can split this amount between a stocks and shares ISA and a cash ISA with the same or different providers. Please ensure your contributions don't exceed the annual limits. This application is only for a stocks and shares ISA.

3. Declaration

- I wish the proceeds of my transferred ISA(s) to be used to purchase shares in the Stocks and Shares ISA as detailed in Section 2 of this form.
- I confirm all subscriptions made, and to be made, belong to me.
- I have not subscribed and will not subscribe more than the overall subscription limit in total to a cash, a stocks & shares ISA, and (from 6 April 2016) to an innovative finance ISA in the same tax year.
- I am 18 years of age or over.
- I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of the Income Tax (Earnings & Pensions) Act 2003 (Crown Employees Serving Overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform Fund Partners Limited if I cease to be so resident and ordinarily resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.
- I authorise Fund Partners Limited to hold my cash subscriptions, ISA investments, interest, dividends, and any other rights or proceeds in respect of those investments and any other cash to make on my behalf any claims for relief from tax in respect of ISA investments, and transfer or pay to me, upon written request, ISA investments, interest, dividends, rights or other proceeds in respect of such investments and any other cash.
- I declare to the best of my knowledge and belief that the above information is true and correct and will inform Fund Partners Limited without delay, of any changes to the information given.
- I confirm that I have received, read and retained a printed copy of the relevant Key Investor Information Documents and agree to information within the Supplementary Information Document containing the Stocks and Shares ISA Terms and Conditions. I accept that they may be varied at the Company's discretion.
- I understand that Fund Partners Limited may require further information from me, or about me, to satisfy the requirements of the Money Laundering Regulations in force and I acknowledge that electronic data sources may be used to check my identity under the money laundering regulations.
- I consent to my shares being compulsorily redeemed in accordance with the Prospectus in the event that these statements are not correct or become incorrect in the future.

- I authorise Fund Partners Limited:

- to hold my cash subscriptions, ISA investments, interest, dividends, and any other rights or proceeds in respect of those investments and any other cash,

- to make on my behalf any claims to relief from tax in respect of ISA investments.

Cancellation Rights

Under the Financial Conduct Authority's Conduct of Business Sourcebook, cancellation rights will apply where the contract was arranged through an independent intermediary, unless they hold an appropriate Customer Agreement with you or dealt on your behalf on an execution-only basis. A copy of the Prospectus is available, free of charge, on request. A copy of this completed application form is also available on request.

For an Advised Investment Cancellation Rights **will** apply.

Data Protection: How we use your personal information

The way in which we may use your personal information is governed by the requirements of the Data Protection Act 1998 ("Act") and is called "personal data" under the Act. For the purposes of the Act, the data controller of any personal data provided to us in connection with your investments is Fund Partners Limited, which is registered under the Act for the purpose of processing personal data.

Fund Partners Limited (we) may use your information to keep your customer records up to date and administer/service your investments. We may pass the information you supply us with to our associated companies and agents for any of these purposes and for systems administration. Your personal information may be disclosed to regulatory bodies for the purposes of monitoring and/or enforcing our compliance with any regulatory rules/codes. Some of the companies may be situated outside of the European Economic Area. Where this happens, we will put steps into place to ensure that your personal information is appropriately protected.

Access to the personal information we hold about you

Subject to payment of a fee (as permitted by the Act), you can ask for a copy of the personal information we hold about you by writing to:

Administration Support,
Fund Partners Limited,
Cedar House,
3 Cedar Park,
Cobham Road,
Wimborne,
Dorset BH21 7SB.

Applicant's Name (please print)	Applicant's Signature	Date

4. Politically Exposed Person—Tick either A) or B)

Please read the categories below carefully and then complete the appropriate declaration sections below.

CATEGORY A)

I hereby represent and warrant that, to the best of our knowledge, none of the following:

- (1) the investor;
- (2) any person controlling or controlled by the investor;
- (3) if the investor is a privately held entity, any person having a beneficial interest in the investor; or
- (4) any person for whom the investor is acting as agent or nominee in connection with this investment is a politically exposed person,* or any immediate family member** or close associate of a politically exposed person as such terms are defined in the footnotes below.

OR **CATEGORY B)**

I confirm that I meet the definition of a politically exposed person(s),* or any immediate family member(s)** or close associate(s) of a politically exposed person according to the terms defined in the footnotes below. I/We† will provide the necessary disclosures regarding source of wealth and, where relevant, the source of wealth of any applicable beneficial owners.

† **DELETE AS APPROPRIATE**

* “politically exposed person” means an individual who is, or has at any time been, entrusted with a prominent public function, including either of the following individuals (but not including any middle ranking or more junior official): (a) a specified official; (b) a member of the administrative, management or supervisory body of a state-owned enterprise; “specified official” means any of the following officials (including any such officials in an institution of the European Communities or an international body): (a) a head of state, head of government, government minister or deputy or assistant government minister; (b) a member of a parliament; (c) a member of a supreme court, constitutional court or other high level judicial body whose decisions, other than in exceptional circumstances, are not subject to further appeal; (d) a member of a court of auditors or of the board of a central bank; (e) an ambassador, charge d’affaires or high-ranking officer in the armed forces.

** The definition also expands to a “close associate”, “immediate family member” of a politically exposed person and includes any of the following persons: a) any individual who has joint beneficial ownership of a legal entity or arrangement or any other close business relations with a politically exposed person b) any individual who has sole beneficial ownership of a legal entity or legal arrangement set up for the actual benefit of a politically exposed person c) any spouse of a PEP d) any person who is the equivalent of a spouse under the national law of the place where the PEP resides e) any cohabitant, f) any child or parent of the politically exposed person or spouse of the child of the PEP g) any other family member who is of a prescribed class.

I FALL INTO CATEGORY: A) <input type="checkbox"/> or
(Please tick as appropriate) B) <input type="checkbox"/>

Applicant’s Name (please print)	Applicant’s Signature	Date

Please make sure you have:

- Signed the Application Form;
- Made your investment requirements clear;
- Completed the separate Direct Debit Mandate for a monthly savings plan, if applicable;
- Completed the 'Politically Exposed Person' section, as appropriate;
- Enclosed a cheque for the appropriate amount, payable to 'Fund Partners Limited';
- In order to comply with the UK law on money laundering, cheques must be drawn on your own account or a joint account with your spouse. If you ask your bank or building society or regulated financial adviser to draw the cheque, they must state on the cheque that the funds have been drawn from an account in your name. For example, the payee would be 'Fund Partners Limited (Re: A. N. Other)'. Alternatively, ask them to write your name and address on the reverse of the cheque and add the bank/building society/financial adviser stamp and signature to confirm the money is drawn from your account. For a monthly savings plan, please ensure that verification of bank details is supplied with this application form.

Please return your completed application form and cheque to:

**Fund Partners Limited, Cedar House, 3 Cedar Park,
Cobham Road, Wimborne, Dorset BH21 7SB**

If you have any questions regarding the completion of this form please contact your financial adviser or the ACD on 01202 855856.

Intermediary Comments:

Intermediary Stamp:

FCA Number:

Agency ref:

Discount %:

Adviser fee deduction %:

£:

Name of Registered Individual:

Fund Partners Limited (registered in England and Wales No 4162989). Authorised and regulated by the Financial Conduct Authority

Registered address details: Cedar House, 3 Cedar Park, Cobham Road, Wimborne, Dorset, BH21 7SB

London office: 8/9 Lovat Lane, London, EC3R 8DW

Transfer Authority(ies) (BLOCK CAPITALS please)

Existing ISA Plan Manager's Name and full address	
Plan Reference	
The ISAs for the following tax years are to be transferred to the Stocks and Shares ISA e.g. 2017/2018 (Note: If all tax years are to be transferred, state "ALL")	
Type of ISA being transferred	Cash ISA ** Stocks & Shares ISA ** ** Delete as appropriate
Please indicate the approximate value of the ISA to be transferred	£
Please transfer my current ISA, detailed in this Transfer Instruction Form, to Fund Partners Limited. I understand that investments in my existing ISA will be liquidated and the proceeds transferred to Fund Partners Limited, in accordance with ISA Regulations. Payment should be made to 'Fund Partners Limited'.	
I authorise you to provide Fund Partners Limited with any information they request regarding my ISA.	
Applicant's Name	
Applicant's Signature:	Date:

Existing ISA Plan Manager's Name and full address	
Plan Reference	
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I authorise you to provide Fund Partners Limited with any information they request regarding my ISA.	
Applicant's Name	
Applicant's Signature:	Date:



FUND PARTNERS

Instruction to your bank or building society to pay by Direct Debit

Please fill in the whole form using a ball point pen and send it to:

Fund Partners Limited – Octopus UCITS Investments
Cedar House
3 Cedar Park
Cobham Road
Wimborne
Dorset
BH21 7SB

Service user number

5 0 7 7 9 5

Name(s) of account holder(s)

[Empty box for account holder name]

Reference

[Empty box for reference]

Instruction to your bank or building society

Please pay Fund Partners Limited Direct Debits from the account detailed in this Instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this Instruction may remain with Fund Partners Limited and, if so, details will be passed electronically to my bank/building society.

Bank/building society account number

[Empty box for account number]

Branch sort code

[Empty box for branch sort code]

Name and full postal address of your bank or building society

To: The Manager Bank/building society
Address
Postcode

Signature(s)

[Empty box for signature]
Date

Banks and building societies may not accept Direct Debit Instructions for some types of account

DD12

This guarantee should be detached and retained by the payer.



The Direct Debit Guarantee

- This Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits.
- If there are any changes to the amount, date or frequency of your Direct Debit Fund Partners Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request Fund Partners Limited to collect a payment, confirmation of the amount and date will be given to you at the time of the request.
- If an error is made in the payment of your Direct Debit, by Fund Partners Limited or your bank or building society, you are entitled to a full and immediate refund of the amount paid from your bank or building society.
 - If you receive a refund you are not entitled to, you must pay it back when Fund Partners Limited asks you to.
- You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify us.