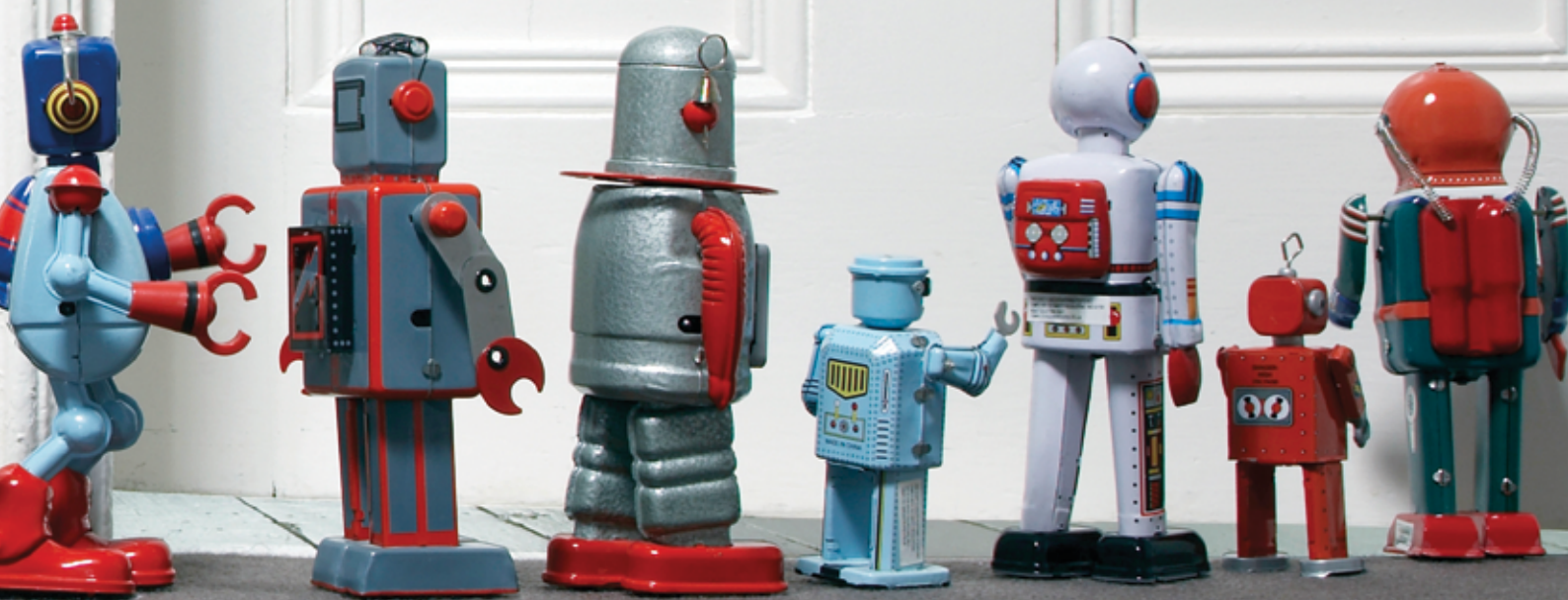


# Top-up form



## How to complete this application form

Before completing this application form, you should read the Octopus AIM Inheritance Tax ISA brochure. Please complete this form in **block capitals** using **black ink**. Ensure you answer all the questions marked with an **'\*'**. Leave blank any boxes that don't apply to you. Once completed, please send this form – along with your investment – to: **Octopus Investments Limited, PO Box 10847, Chelmsford CM99 2BU**. Alternatively you might find it easier to complete your application online. To do so visit **[apply.octopusinvestments.com](https://apply.octopusinvestments.com)**.

This form allows individuals to make an ISA subscription or to transfer ISAs from other providers into an existing Octopus AIM Inheritance Tax ISA. Please complete it in full and return it to Octopus Investments.

### Section 1 – About the investor

\* Existing portfolio number

\* Date of birth DD MM YYYY

\* Title (Mr/Mrs/Miss/Ms/Other)

\* First name(s)

\* Last name

\* Country of birth

\* National Insurance number

\* Country(ies) of citizenship

\* Nationality

\* If you are not a British national, please add your passport number here

\* Telephone numbers (please include country code)

\* Email address

\* Primary address

\* Country

\* Postcode

#### \* Information from Octopus

Once your investment is up and running we'll keep you regularly updated on its progress. But there's always something happening at Octopus which as an investor you may be interested in finding out about. Is it OK if we sometimes tell you more about Octopus Group\* and what else we do?

You can unsubscribe at any time. Yes No

\*To find out more about the businesses that make up the Octopus Group, take a look at **[www.octopusinvestments.com/privacy-policy](https://www.octopusinvestments.com/privacy-policy)**

### Section 2 – About the top-up investment

\* ISA subscription amount

The minimum amount you can top up is £20,000.  
Your ISA subscription amount cannot exceed the maximum ISA allowance for the tax year.

\* Which tax year does this investment apply to?

£

/

\* Cheque/banker's draft, bank transfer, Octopus portfolio transfer or ISA transfer? (tick one box only)

#### Cheque/banker's draft

Please enclose a cheque from a personal account, made payable to **'Octopus Investments Client Money Account'**. We do not accept cheques from business accounts, third parties (including your spouse) or post-dated cheques. Banker's drafts or building society cheques must specifically mention the investor's name.

#### Bank transfer

Please transfer your investment to the following account after first sending in your completed application form and identification, making sure that you **reference the payment with your name**:

|                 |          |         |         |
|-----------------|----------|---------|---------|
| Sort code:      | 40-03-28 | Bank:   | HSBC    |
| Account number: | 22177056 | Branch: | Holborn |

Payments need to come from your personal account (we do not accept payments from business accounts).

#### Transfer of funds

Please transfer funds from another Octopus portfolio, account number

on a one-off basis. I am aware this may incur tax charges before funds are invested in my ISA.

**Do you want to transfer any existing ISA investments with other providers into your Octopus AIM Inheritance Tax ISA?**

Number of ISA transfers

Estimated total amount £

Please go to **[octopusinvestments.com/investor/document-library](https://octopusinvestments.com/investor/document-library)** to download the Octopus AIM Inheritance Tax ISA authorisation to transfer form.

**Your ISA subscription and/or transfer(s) must add up to at least the minimum top-up amount of £20,000.**

### Section 3 – About the adviser/intermediary (to be completed by the adviser/intermediary)

If this is the first time we will be paying your company adviser charges, please contact us on **0800 316 2295** to arrange setting up payment details.

#### \* Company

\* Title (Mr/Mrs/Miss/Ms/Other)

\* First name(s)

\* Last name

\* Telephone number

\* Email address

\* Primary address

\* Country

\* Postcode

\* Company FCA number

\* Adviser FCA number

\* Are you part of a network/service provider?

No Yes – please give us the network/service provider name

\* Network/service provider FCA number

### Section 4 – Adviser/intermediary charges

\* What type of investment is this? Please read the following text and then complete either 4.1 or 4.2.

Failure to complete this section correctly could result in delays to the investment. If you have any questions please call us on 0800 316 2295.

- If you have received financial advice for this investment then this is an 'advised investment'. Please complete **Section 4.1**.
- If this is an 'execution only' investment and you have not received financial advice then this is a 'non-advised investment'. Any initial commission due will be paid by Octopus. Ongoing annual payments will be paid by selling shares from your portfolio. Please complete **Section 4.2**.

#### 4.1 This is an advised investment

Initial adviser charge (tick one box only)

|                  |              |   |    |            |   |
|------------------|--------------|---|----|------------|---|
| ISA subscription | Fixed amount | £ | OR | Percentage | % |
| Transfers        | Fixed amount | £ | OR | Percentage | % |

If no option is selected from the above, no initial adviser charge will be applied. Any initial adviser charge agreed with your adviser will be taken from your payment before your funds are invested. The amount of your subscription cannot exceed the maximum ISA allowance for this tax year to facilitate initial charges.

Ongoing adviser charge (tick one box only)

Keep my adviser's charges as they are (note, this is not available for commission portfolios). Please go to **Section 5 Declaration**, OR

Amend my adviser's charges for the whole portfolio (this will supersede existing adviser charges/commissions):

|                       |   |    |            |   |
|-----------------------|---|----|------------|---|
| Fixed amount per year | £ | OR | Percentage | % |
|-----------------------|---|----|------------|---|

Your adviser needs to sign the declaration in **Section 5**.

#### 4.2 This is a non-advised investment through an intermediary

Initial commission (tick one box only)

|                  |   |           |   |
|------------------|---|-----------|---|
| ISA subscription | % | Transfers | % |
|------------------|---|-----------|---|

Standard terms will apply if left blank. Commission should not exceed our standard terms, otherwise this form may be rejected.

Please note that we require you to submit a completed client suitability questionnaire before we can process your non-advised application. The questionnaire is available at [octopusinvestments.com](https://octopusinvestments.com), or you can call us on **0800 316 2295** for a copy.

Please refer to the Octopus Inheritance Tax Service brochure for information about Octopus charges.

#### Special instructions

## Section 5 – Adviser/intermediary declaration

### By submitting this form, I agree that:

- I have read and understand the Octopus Terms of Business for Intermediaries.
- I agree to be bound by these Terms of Business.

\* **Print name**

\* **Adviser/intermediary signature**

\* **Date signed** DD MM YYYY

- As an Appointed Representative, I warrant and represent that my principal also accepts the Terms of Business for Intermediaries.
- I have made a personal recommendation to the applicant that satisfies the requirements of COBS 9A suitability (strike through this bullet point if this is a non-advised investment).

## Section 6 – Investor declaration

To be completed by the investor named in Section 1, or registered Attorney(s)

By signing this form I HEREBY DECLARE THAT:

1. I have read and understand the current Octopus AIM Inheritance Tax ISA brochure and understand the risk factors explained in it.
2. I have read and understand the Terms and Conditions and agree to be bound by them.
3. I have provided accurate information, to the best of my knowledge.
4. I have read and understood the Octopus policies regarding best execution, conflicts of interest and gift and benefits, all available at **octopusinvestments.com**.
5. I consent to Octopus facilitating the fees and charges to my adviser as previously agreed, as per **Section 4**.
6. All subscriptions made, and to be made, belong to me.
7. I am 18 years of age or over.
8. Where I am making an ISA subscription, I have not subscribed and will not subscribe to another Stocks and Shares ISA in the same year that I subscribe to this ISA. I have not subscribed, and will not subscribe, more than the appropriate overall subscription limit in a Cash ISA and a Stocks and Shares ISA in the same tax year.
9. Where I am making a transfer, I understand that Octopus Investments accepts no responsibility for any loss incurred as a result of any delay between my submission and Octopus Investments' receipt of the application form.

\* **Investor name**

\* **Investor/Attorney signature**

\* **Date signed** DD MM YYYY

10. 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 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 Octopus Investments Limited if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.
11. I hereby authorise Octopus Investments Limited to be my ISA Manager and directly or through its appointed Nominee to hold my cash subscription, ISA investments, interest, distributions 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 and on my written request to transfer or pay to me, as the case may be, ISA investments, interest, distributions, rights or other proceeds in respect of such investments or any cash.
12. Where I invest using funds withdrawn from another Octopus account, I am aware that the withdrawal may incur tax charges or other charges before the funds are invested in my ISA.
13. (For applications under Power of Attorney) I am authorised to act on behalf of the investor, and the investor is not able to complete the application form by reason of:
  - mental disorder or incapacity, or
  - physical disability, illness or old age, or
  - he or she is a member of the armed forces on active service in a war zone

## Got a question?

We don't offer financial or tax advice, which is why we always recommend talking to a qualified financial adviser before making any investment decisions. However, if you have any other questions, please call us on **0800 316 2295**. We're always happy to hear from you.



0800 316 2295  
investorsupport@octopusinvestments.com  
**octopusinvestments.com**



### Send completed form to:

Octopus Investments  
PO Box 10847  
Chelmsford CM99 2BU

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