

# Investment application form



## How to complete this application form

- 1 Please read the current Octopus Inheritance Tax Service brochure.
- 2 Write in BLOCK CAPITALS and use BLACK ink.
- 3 Make sure you answer all questions marked with an asterisk (\*).
- 4 Leave blank any boxes that don't apply to you.
- 5 Don't forget to include your cheque/banker's draft.
- 6 Send your completed form (with payment) to:

**Octopus Investments Limited**  
PO Box 10847  
Chelmsford  
CM99 2BU

**We require investors to take financial advice before investing in the Octopus Inheritance Tax Service.**

## Section 1 – About the investor(s)

Your financial adviser will have advised you whether to make a single or joint application. Holding this investment in joint names will have legal and estate planning consequences. Please speak to your adviser again if you are unsure about what is best for you.

	First investor	Second investor (if applicable)
* Title (Mr/Mrs/Miss/Ms/Other)	<input type="text"/>	<input type="text"/>
* First name(s)	<input type="text"/>	<input type="text"/>
* Last name	<input type="text"/>	<input type="text"/>
* Are you an existing Octopus investor?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
If you wish to add to an existing investment, please provide the portfolio number	<input type="text"/>	<input type="text"/>
* Date of birth DD MM YYYY	<input type="text"/>	<input type="text"/>
* Country of birth	<input type="text"/>	<input type="text"/>
* Country(ies) of citizenship	<input type="text"/>	<input type="text"/>
* Nationality	<input type="text"/>	<input type="text"/>
<b>Dual nationality or non British national unique identifier code</b> (N/A for British nationals)	If you hold dual nationality or are not a British national, please contact our Client Relations team on <b>0800 316 2295</b> to find out which unique identifier code you will need to provide for us to process your application.	
* Telephone numbers	Country code Telephone number Primary: <input type="text"/> <input type="text"/> Secondary: <input type="text"/> <input type="text"/>	Country code Telephone number Primary: <input type="text"/> <input type="text"/> Secondary: <input type="text"/> <input type="text"/>
* National Insurance number	<input type="text"/>	<input type="text"/>
* Email address	<input type="text"/>	<input type="text"/>
* Address	<input type="text"/>	<input type="text"/>
* Country	<input type="text"/>	<input type="text"/>
* Postcode	<input type="text"/>	<input type="text"/>
* Is there a registered Power of Attorney in place?	<input type="checkbox"/> No <input type="checkbox"/> Yes – who should we send correspondence to? <input type="checkbox"/> The investor(s) <input type="checkbox"/> The Attorney <p>Please note, if you are acting as Attorney (POA), please include a certified copy of the POA document and verification of identity documents for each Attorney. In all cases Octopus will need to verify the identity of all Attorneys and may run electronic searches to do so.</p>	
	Attorney name: <input type="text"/> Attorney date of birth: <input type="text"/> DD MM YYYY Address <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Country <input type="text"/> Postcode <input type="text"/>	
* 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. <input type="checkbox"/> Yes <input type="checkbox"/> No *To find out more about the businesses that make up the Octopus Group, take a look at <a href="http://www.octopusinvestments.com/privacy-policy">www.octopusinvestments.com/privacy-policy</a>	

## Section 2 – About the investment

\* How much are you investing?

£  The minimum investment is £25,000

\* Cheque/banker's draft or bank transfer

**Cheque/banker's draft**

Please enclose a cheque from your 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 and building society cheques must specifically mention the investor's name.

**Bank transfer**

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

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).

\* Would you like to take a regular withdrawal from your portfolio?

No, please continue to **Section 3**

Yes, please specify a fixed amount £

Please note, instructions given here will override any existing arrangement you may have. If you would like your existing arrangement to remain, leave this section blank.

How often would you like the above amount to be paid?

Monthly  Quarterly  Semi-annually  Annually

(Annual payments are made every April, semi-annual payments are made every April and October and quarterly payments are made every January, April, July and October)

\* Please give us details of the bank account you would like future withdrawal proceeds to be paid into

Account name

Bank or building society name

Account number

Sort code

Branch address

\* Postcode

## 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

\* Address

\* 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, 4.2 or 4.3. 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 you are not submitting your application through an adviser or intermediary then this is a 'direct investment'. Please complete **Section 4.2**.
- If this is an 'execution only' investment and you have not received financial advice then this is a 'non-advised investment'. Any commission due will be paid by Octopus. Please complete **Section 4.3**.

Please note, if you are topping up, the ongoing adviser charge listed here will be applied across the whole portfolio.

4.1  **This is an advised investment**

Please indicate the level of initial adviser charges and/or ongoing adviser charges agreed. If you have not agreed that Octopus will facilitate charges to your adviser then please indicate 'Nil'. Any initial charge agreed with your adviser is taken from your payment(s) and paid to your adviser before your funds are invested.

**Initial adviser charge**  
(Tick one box only)

Fixed amount £  OR  percentage  %

If no option is selected from the above no initial adviser charge will be applied.

**Ongoing adviser charge**  
(Tick one box only)

Fixed amount per year £  OR  percentage  %

The amount or percentage stated above (whichever is relevant) is an annual amount, accrued each day. If you choose to pay on a percentage basis, this will be calculated on the value of your portfolio. We will pay your adviser quarterly by selling assets from your portfolio.

Please go straight to **Section 6**. Your adviser needs to sign the declaration in **Section 7**.

4.2  **This is a direct investment.** Please complete **Section 5**.

4.3  **This is a non-advised investment through an intermediary**

Initial commission  % Ongoing commission  %

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

Please complete **Section 5**.

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

**Special instructions**

## Section 5 – Suitability and source of wealth

**Only to be completed if this is a direct or non-advised investment through an intermediary i.e. you have ticked either 4.2 or 4.3, above.**

**Client suitability questionnaire**

Please note that each time you make an investment, we require you to submit a completed client suitability questionnaire before we can process your direct or non-advised application. The questionnaire is available from the Application Forms page of the Document Library at [octopusinvestments.com](http://octopusinvestments.com) or you can call **0800 316 2295** for a copy.

**What's the source of your wealth?**

Please tell us how you acquired the money you plan to invest, select all that apply.

Earned income    Ownership in a company    Inheritance    Gifts  
 Sale of property    Investment proceeds    Other

**If other, please specify:**

(In some cases, further information and documentary evidence may be required.)

## Section 6 – Tax Residency Status

- \* 6.1** We are legally required to collect information about the tax residency and classifications of each investor which may be shared with HM Revenue & Customs, and may be transferred to the government of another territory in accordance with a relevant agreement. For further information, please visit [octopusinvestments.com/reportingforms](https://octopusinvestments.com/reportingforms).

Are you tax resident, or do you complete tax returns, in any country other than the UK?

### First investor

No – tick this box and please go straight to **Section 7**.

If your country of birth or country of citizenship is outside of the UK, please send us a certified copy of a valid UK ID, such as a UK driving licence or passport, or a certified letter from HMRC, to confirm your UK tax residency status.

Yes – please complete the table below.

### Second investor (if applicable)

No – tick this box and please go straight to **Section 7**.

Yes – please complete the table below.

- 6.2** Please list the country(ies), other than the UK, in which you are resident for tax purposes. Please provide the Taxpayer Identification Number (TIN) or functional equivalent for each country(ies), or tick the relevant box if the country does not provide a TIN.

Investor name	Country(ies)	Taxpayer Identification Number (TIN)	TIN not available
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>

## Section 7 – 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.
- 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 investor(s) that satisfies the requirements of COBS 9 suitability (strike through this bullet point if this is a non-advised investment).

**\* Adviser signature**

**\* Print name**

**\* Date**

DD MM YYYY

## Section 8 – Investor declaration

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

### By signing this form, I HEREBY DECLARE THAT I:

1. Have read and understand the current Octopus Inheritance Tax Service brochure and the risk factors explained in it.
2. Have read and understand the Terms and Conditions and agree to be bound by them.
3. Have provided accurate information, to the best of my knowledge.
4. Have read and understood the Octopus policies regarding best execution, conflicts of interest and gifts and benefits, all available at [octopusinvestments.com](https://octopusinvestments.com).
5. Consent to Octopus providing information to my adviser until notified otherwise.
6. Consent to Octopus facilitating my adviser's fees and charges as set out in **Section 4**.

### First investor

### Second investor (if applicable)

**\* Investor name**



**\* Investor/Attorney signature**



**\* Date signed**

DD MM YYYY





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## Before sending us your application, please review the quick checklist below to help us process your application as quickly as possible:

- You have arranged for payment as per **Section 2**.
- You have completed **Section 4** - adviser charges.
- Your adviser has signed and dated where indicated in **Section 6**.
- You (or your Attorney) have signed and dated where indicated in **Section 7**.
- You have enclosed the necessary verification of identity documentation which must be certified by a regulated individual (e.g. financial adviser, solicitor or accountant):
  - an Identity Verification Certificate **or** one each of the following;
  - a certified copy of identification (your passport or driving licence) **plus**;
  - a certified copy of proof of address (driving licence, bank statement or recent utility bill (not mobile phone))The original signature should be on each page of the document (not a photocopy)
- If you are acting under a Power of Attorney, you have provided:
  - the original Power of Attorney document or a certified copy with a wet signature from either the donor, a solicitor or your adviser, on every page which is dated within the last three years **plus**;
  - the necessary verification (please see above) of identity documentation for each Attorney.
- If you are direct investors, or this is a non-advised investment, you have completed and enclosed the client suitability questionnaire (available at [octopusinvestments.com](https://www.octopusinvestments.com) or you can call **0800 316 2295** for a copy)
- Once complete please send your completed application form to:  
**Octopus Investments Limited**  
**PO Box 10847**  
**Chelmsford**  
**CM99 2BU**

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## What happens next?

- 1** We will send you an acknowledgement that we have received your application, and your funds will be invested as quickly as possible, usually within one week.
- 2** Once your funds have been invested we will send you confirmation.
- 3** You will receive a valuation statement every quarter. You can also check your account online through our secure website.





## 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 about the Octopus Inheritance Tax Service, please call us on **0800 316 2295**. We're always happy to hear from you.



0800 316 2295  
[clientrelations@octopusinvestments.com](mailto:clientrelations@octopusinvestments.com)  
[octopusinvestments.com](https://www.octopusinvestments.com)



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