

# Change of Investment Profile



## How to complete this application form

- 1 Please read the current Octopus Portfolio Manager 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 Tick the boxes that apply, like this: ✓
- 6 Don't forget to include your cheque/banker's draft.
- 7 Send your completed form (with payment) to:

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

**The form has 6 sections:**

1. About the investor(s)
2. Change of investment profile
3. About the adviser (to be completed by the adviser)
4. Account charges
5. Adviser/intermediary declaration
6. Applicant declaration

**What happens next?**

- We will send you an acknowledgement that we have received your instruction.

**The instructions you give in this form:**

- Replace any previous instructions given to us, and
- Will remain in place until you tell us otherwise

**Commission portfolios**

This form will automatically cancel any existing commission arrangements that are in place for your portfolio.

You should speak to your financial adviser to understand how this applies to your personal circumstances and to agree how to proceed.

**Section 1 – About the investor(s)**

<b>* Existing portfolio number(s)</b>	<input type="text"/>			
<b>* Title</b> (Mr/Mrs/Miss/Ms/Other)	<b>First applicant</b>		<b>Joint applicant</b> (if applicable)	
	<input type="text"/>		<input type="text"/>	
<b>* First name(s)</b>	<input type="text"/>		<input type="text"/>	
<b>* Last name(s)</b>	<input type="text"/>		<input type="text"/>	
<b>* Date of birth</b> DD MM YYYY	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
<b>* Telephone numbers</b>	Country code	Telephone number	Country code	Telephone number
	Home:	<input type="text"/>	Home:	<input type="text"/>
	Work:	<input type="text"/>	Work:	<input type="text"/>
	Mobile:	<input type="text"/>	Mobile:	<input type="text"/>
<b>* Primary address</b>	<input type="text"/>			
	<input type="text"/>			
	<input type="text"/>			
<b>* Country</b>	<input type="text"/>		<input type="text"/>	
<b>* Postcode</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>* Email address</b>	<input type="text"/>		<input type="text"/>	

**Section 2 – Change of investment profile**

**\* Which investment profile would you like to invest in?** (e.g. Investment Profile 4: Conservative Capital Growth)

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

\* **Company**

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

\* **First name(s)**

\* **Last name**

\* **Telephone number**

\* **Address**

\* **Country**

\* **Postcode**

\* **Email address**

\* **FCA number**

Advisers are also required to sign the declaration in **Section 5**.

### Section 4 – Account charges

\* **Ongoing adviser charge** **I want to:** (Tick one box only)

Keep my adviser's charges as they are (note, this is not available for commission portfolios) please go to **Section 6: Declaration** **OR**

Amend my adviser's charges for the whole portfolio (note, this will supersede any existing adviser charges/commissions).

**Choose either fixed amount or percentage below.**

Fixed amount per year £  **OR**  Percentage  %

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

This 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.

Octopus reserves the right to withhold adviser payments if we are not fully satisfied that your adviser is authorised under the Financial Services and Markets Act 2000 or exempt from authorisation.

Octopus Annual Management Charge	Profile	Octopus Annual Management Charge
	1	0.15% + VAT (0.18%)
	2	0.40% + VAT (0.48%)
	3-10	0.65% + VAT (0.78%)

This is an annual amount, accrued each day, based on the value of your portfolio. Octopus will take this charge quarterly by selling assets from your portfolio.

**Special instructions**

## Section 5 – Adviser declaration

To be completed by the adviser named in Section 3

By submitting this form, I agree that:

- I have read and understood the *Terms of Business for Intermediaries*.
- I agree to be bound by their 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 applicant that satisfies the requirements of COBS 9 suitability.

\* Adviser signature

\* Print name

\* Date signed  
DD MM YYYY

## Section 6 – Applicant declaration

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

By signing this form I HEREBY DECLARE THAT I/WE:

1. Have read and understood the current *Octopus Portfolio Manager Brochure, Fees and Charges* document and *Investment Profile Fact Sheet(s)*, and understand the risks associated with Octopus Portfolio Manager.
2. Have read and understand the *Octopus Portfolio Manager Terms and Conditions* and agree to be bound by them.
3. I have read and understood the Octopus policies regarding best execution, conflicts of interest and gift and benefits, all available at **octopusinvestments.com**.
4. Have considered whether I/we need financial and tax advice.
5. Consent to Octopus facilitating the fees and charges to my/our adviser as set out in Section 4.

\* Applicant name

First applicant

Joint applicant (if applicable)

\* Applicant signature

\* Date signed  
DD MM YYYY

**When you have completed the form, tick the following to confirm:**

- You've answered all the questions that apply to you.
- You have added any special instructions that may apply within **Section 4** – 'Account Charges'.

## 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 Octopus Portfolio Manager, please call us on **0800 316 2295**. We're always happy to hear from you. We record calls to improve our customer service.



0800 316 2295  
clientrelations@octopusinvestments.com  
octopusinvestments.com



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London EC1N 2HT