

Corporate and Trust Application Form



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

Corporate and Trust Investment Account Application Form

The form has 8 sections:

1. About the investor(s)
2. About the investment(s)
3. Associated party details
4. About the adviser (to be completed by the adviser)
5. Account charges
6. Tax Residency Status
7. Adviser/intermediary declaration
8. Applicant declaration

Section 1 – About the investor(s)

Do you want the account to be designated? No Yes – please give us your reference

Trust SIPP Charity Bond Company Other Corporate Investor

*** Full name of corporate entity trust**

*** Country of incorporation/formation**

*** Company registration number**

* Telephone numbers	Country code	Telephone number
<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"/>

*** Address**

*** Country**

*** Postcode**

*** Email address**

*** 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 octopusinvestments.com/privacy-policy

Octopus-OPM-Corporate-and-trustee-application-form-retail-M2-CAM07797-1901

Section 2 – About the investment(s)

* How much are you investing?

Amount £

* Cheque/banker's draft, or bank transfer? (Tick one box only)

Cheque/banker's draft

Please enclose a cheque made payable to 'Octopus Portfolio Manager – Client Account'. Banker's drafts or building society cheques must specifically mention the name the investment will be held in.

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 the name the investment will be held in:**

Sort code:	40-03-28	Bank:	HSBC
Account No.	42509148	Branch:	Holborn

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

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

Sort code Account number

Account holder name

Bank or building society name

* Address

* Country

* Postcode

Do you want to take out a fixed amount from your portfolio as a regular withdrawal?

No – go to Section 3 ▶

Yes – regular withdrawals can only be paid into a bank account, make sure you've entered your account details above.

How much do you want to withdraw? £ Starting from

How often would you like to make withdrawals? Monthly Quarterly Semi-annually Annually

Section 3 – Associated party details

Use this section to give details of parties to the investment who fall into one of the categories listed.

First party

Corporation Individual

Please tick to indicate whose details are shown:

Trustee Signatory Beneficiary Connected Party Solicitor Primary Contact

Company Shareholder Accountant Director Member

* Is this a controlling person?

Yes No

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

* First name(s)

* Last name/
company name

* Date of birth
DD MM YYYY

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

* Country of birth/
formation

* Country(ies) of
citizenship/registration

* Permanent
UK residential address/
registered office address

* Country

* Postcode

--	--	--	--	--	--	--	--

* Email address

* Company
Registration Number

Section 3 – Associated party details

Use this section to give details of parties to the investment who fall into one of the categories listed.

Second party

Corporation Individual

Please tick to indicate whose details are shown:

Trustee Signatory Beneficiary Connected Party Solicitor Primary Contact

Company Shareholder Accountant Director Member

* Is this a controlling person?

Yes No

* Title

(Mr/Mrs/Miss/Ms/Other)

* First name(s)

* Last name/
company name

* Date of birth

DD MM YYYY

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

* Country of birth/
formation

* Country(ies) of
citizenship/registration

* Permanent
UK residential address/
registered office address

* Country

* Postcode

* Email address

* Company
Registration Number

Section 3 – Associated party details

Use this section to give details of parties to the investment who fall into one of the categories listed.

Third party

Corporation Individual

Please tick to indicate whose details are shown:

Trustee Signatory Beneficiary Connected Party Solicitor Primary Contact

Company Shareholder Accountant Director Member

* Is this a controlling person?

Yes No

* Title

(Mr/Mrs/Miss/Ms/Other)

* First name(s)

* Last name/
company name

* Date of birth

DD MM YYYY

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

* Country of birth/
formation

* Country(ies) of
citizenship/registration

* Permanent
UK residential address/
registered office address

* Country

* Postcode

* Email address

* Company
Registration Number

Section 3 – Associated party details

Use this section to give details of parties to the investment who fall into one of the categories listed.

Fourth party

Corporation Individual

Please tick to indicate whose details are shown:

Trustee Signatory Beneficiary Connected Party Solicitor Primary Contact

Company Shareholder Accountant Director Member

* Is this a controlling person?

Yes No

* Title

(Mr/Mrs/Miss/Ms/Other)

* First name(s)

* Last name/
company name

* Date of birth

DD MM YYYY

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

* Country of birth/
formation

* Country(ies) of
citizenship/registration

* Permanent
UK residential address/
registered office address

* Country

* Postcode

* Email address

* Company
Registration Number

Section 4 – About the adviser (to be completed by the adviser)

* Company	<input type="text"/>
* Title (Mr/Mrs/Miss/Ms/Other)	<input type="text"/>
* First name(s)	<input type="text"/>
* Last name	<input type="text"/>
* Telephone	<input type="text"/>
* Address	<input type="text"/> <input type="text"/> <input type="text"/>
* Country	<input type="text"/>
* Postcode	<input type="text"/>
* Email address	<input type="text"/>
* FCA number	<input type="text"/>
Are you part of a network/service provider?	<input type="checkbox"/> No <input type="checkbox"/> Yes – please give us the network/service provider name

Advisers are also required to sign the declaration in **Section 7**.

Section 5 – Account charges

What fees have you agreed to pay your adviser?	About adviser charges These are paid from your Octopus investment. To understand all your options, please read the Adviser Charges Frequently Asked Questions document, and if you have any further questions please talk to your adviser.								
* Initial adviser charge This is taken from your payment(s) and paid to your adviser before your funds are invested.	Choose either fixed amount or percentage below. <input type="checkbox"/> Lump sum <input type="checkbox"/> Fixed amount £ <input type="text"/> OR <input type="checkbox"/> Percentage <input type="text"/> % If no option is selected from the above no initial adviser charge will be applied.								
* Ongoing adviser charge (Tick one box only)	Choose either fixed amount or percentage below. <input type="checkbox"/> Fixed amount per year £ <input type="text"/> OR <input type="checkbox"/> Percentage <input type="text"/> % 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 Annual Management Charge	<table border="1"> <thead> <tr> <th>Profile</th> <th>Octopus Annual Management Charge</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>0.15% + VAT (0.18)%</td> </tr> <tr> <td>2</td> <td>0.40% + VAT (0.48)%</td> </tr> <tr> <td>3-10</td> <td>0.65% + VAT (0.78)%</td> </tr> </tbody> </table> <p>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.</p>	Profile	Octopus Annual Management Charge	1	0.15% + VAT (0.18)%	2	0.40% + VAT (0.48)%	3-10	0.65% + VAT (0.78)%
Profile	Octopus Annual Management Charge								
1	0.15% + VAT (0.18)%								
2	0.40% + VAT (0.48)%								
3-10	0.65% + VAT (0.78)%								

Section 6 – Tax residency status

We are legally required to collect information about the tax residency and classifications of each investor which may be shared with HM Revenue & Customs. For further information please visit octopusinvestments.com/reportingforms

Part I – Tax residency

*** Please note, if your organisation is a branch you should consider this at the branch level, not at the legal entity level**

Is the entity tax resident, or do you complete tax returns on behalf of the entity, in any country other than the UK?

No – please go straight to **Part II**.

Yes, please list the country(ies), other than the UK, in which the entity is 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.

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

Part II – All entities FATCA classification under the UK-US IGA

Section A – To be completed by Financial Institutions (FI) only

Global Intermediary Identification Number (GIIN)

<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"/>
----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------

Name of sponsoring entity, if applicable

If unable to provide a GIIN, please tick the reason why your organisation does not have a GIIN

- It is a Financial Institution in an IGA Partner Jurisdiction and has not yet obtained a GIIN
- It is a Financial Institution in a non-IGA Partner Jurisdiction that has not yet received a GIIN, but intends to apply for one
- It is a Financial Institution in a non-IGA Partner Jurisdiction that has applied for, but is yet to receive a GIIN
- It is an Exempt Beneficial Owner
- It is a Certified Deemed Compliant Financial Institution
- It is a Non-Participating Foreign Financial Institution

Section B – To be completed by Non-Financial Institutions only

Please tick to confirm your organisation's FATCA status under the UK-US IGA

- Active Non-Financial Foreign Entity (NFFE)
- Passive Non-Financial Foreign Entity (NFFE), please complete the relevant Self Certification Forms for each controlling person. In the case of trusts this may include; settlors, trustees and any named beneficiaries. In the case of Companies this may include: owners, managing officials, and any person who own or control more than 25% of the capital, profits or voting rights. Forms can be downloaded online at octopusinvestments.com/reportingforms
- Direct Reporting Non-Financial Foreign Entity (NFFE), if sponsored please provide the details of the sponsoring entity:
 Name

 GIIN

<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"/>
----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------	----------------------
- Please tick this box to confirm that the sponsoring entity has agreed to act as the sponsoring entity for your organisation.

Section 6 – Tax residency status

Part III – All entities/branches classification under the Common Reporting Standard

Section A – To be completed by Financial Institutions only

Please tick to confirm your organisation's status under the Common Reporting Standard

Financial Institution – Investment Entity.

An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution. Please complete the relevant Self Certification Forms for each controlling person. In the case of trusts this may include; settlors, trustees and any named beneficiaries. In the case of Companies this may include: owners, managing officials, and any person who own or control more than 25% of the capital, profits or voting rights. Forms can be downloaded online at octopusinvestments.com/reportingforms

Other Investment Entity

Or

Financial Institution – Depository Institution, Custodial Institution or Specified Insurance Company

Section B – To be completed by Non-Financial Institutions only

Please tick to confirm your organisation's status under the Common Reporting Standard

Active Non-Financial Entity (NFE) – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation
If you have ticked, please provide the name of the established securities market on which the corporation is regularly traded:

If you are a Related Entity of a regularly traded corporation, please provide the name of the regularly traded corporation that the Entity above is a Related Entity of:

Active Non-Financial Entity (NFE) – a Government Entity or Central Bank

Active Non-Financial Entity (NFE) – an International Organisation

Active Non-Financial Entity (NFE) – other than above (for example a start-up NFE or a non-profit NFE)

Passive Non-Financial Entity (NFE), please complete the relevant Self Certification Forms for each controlling person. In the case of trusts this may include; settlors, trustees and any named beneficiaries. In the case of Companies this may include: owners, managing officials, and any person who own or control more than 25% of the capital, profits or voting rights. Forms can be downloaded online at octopusinvestments.com/reportingforms

This page is intentionally left blank

This page is intentionally left blank

This page is intentionally left blank

This page is intentionally left blank

Tax Residency Self-Certification Form for Controlling Person

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

octopusinvestments



Octopus Investments is required by UK law to collect information about the tax residency and tax classification status of its investors. In certain circumstances it may be necessary for us to share this information with HM Revenue and Customs (HMRC), which is also obliged to share relevant information with tax authorities in other jurisdictions.

Please note, each Controlling Person should complete a Self-Certification Form. In the case of trusts this may include; settlors, trustees and any named beneficiaries. In the case of Companies this may include: owners, managing officials, and any person who own or control more than 25% of the capital, profits or voting rights.

Please complete all sections as directed.

You can either photocopy this form, download and print an additional copy from [octopusinvestments.com/reportingforms](https://www.octopusinvestments.com/reportingforms) or call our Client Relations Team on 0800 316 2295 who will send you one by post.

If you have any questions about tax residence or classification, we recommend that you contact your adviser

Section 1 – About the Controlling Person			
* Title (Mr/Mrs/Miss/Ms/Other)	<input type="text"/>		
* First name(s)	<input type="text"/>		
* Last name	<input type="text"/>		
* Date of birth DD MM YYYY	<input type="text"/>	<input type="text"/>	<input type="text"/>
* Country of birth	<input type="text"/>		
* Country(ies) of citizenship	<input type="text"/>	<input type="text"/>	
* Telephone numbers	Country code	Telephone number	
Home:	<input type="text"/>	<input type="text"/>	
Work:	<input type="text"/>	<input type="text"/>	
Mobile:	<input type="text"/>	<input type="text"/>	
* Address line 1	<input type="text"/>		
* Address line 2	<input type="text"/>		
* Town/City	<input type="text"/>		
* County	<input type="text"/>		
* Country	<input type="text"/>		
* Postcode	<input type="text"/>	<input type="text"/>	<input type="text"/>
Please enter the legal name of the relevant entity Account Holder(s) of which you are a Controlling Person	Legal name of Entity 1	<input type="text"/>	
	Legal name of Entity 2	<input type="text"/>	
	Legal name of Entity 3	<input type="text"/>	

Section 1 – About the Controlling Person

Type of Controlling Person

(Please only complete this section if you are tax resident in one or more Reportable Jurisdictions)

Please provide the Controlling Person's Status by ticking the appropriate box.	Entity 1	Entity 2	Entity 3
Controlling Person of a corporation, a partnership, a pension fund or a charity.			
Control by ownership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Control by other means	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Senior managing official	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Controlling Person or trust.			
Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Beneficiary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Controlling Person of a legal arrangement (non-trust). A legal arrangement is any entity which is neither a legal entity (such as a company or partnership) nor a trust. Examples of a legal arrangement include, but are not limited to, unincorporated clubs and associations.			
Settlor-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trustee-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Protector-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Beneficiary-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section 2 – Tax Residency Status

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

- No – please go straight to **Section 3**
- Yes – please complete the table below

2.2 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.

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

Section 3 – Declaration

Investor declaration

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

I declare that to the best of my knowledge and belief, the information I have provided in this form is true, correct and complete.

I understand that the information contained in this form and any information about the Investor and their accounts may be reported to the tax authorities of the country in which these accounts are maintained. They may also be exchanged with tax authorities of another country or countries in which the Controlling Person is a tax resident depending on the Intergovernmental Agreements (IGAs) that are in place.

* **Controlling Person name**

* **Controlling Person signature**

* **Capacity**

(Note: If you are not the Controlling Person please indicate the capacity in which you are signing the form. If signing under a power of attorney please also attach a certified copy of the power of attorney.)

* **Date signed**

DD MM YYYY

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Tax Residency Self-Certification Form for Controlling Person

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

octopusinvestments



Octopus Investments is required by UK law to collect information about the tax residency and tax classification status of its investors. In certain circumstances it may be necessary for us to share this information with HM Revenue and Customs (HMRC), which is also obliged to share relevant information with tax authorities in other jurisdictions.

Please note, each Controlling Person should complete a Self-Certification Form. In the case of trusts this may include; settlors, trustees and any named beneficiaries. In the case of Companies this may include: owners, managing officials, and any person who own or control more than 25% of the capital, profits or voting rights.

Please complete all sections as directed.

You can either photocopy this form, download and print an additional copy from octopusinvestments.com/reportingforms or call our Client Relations Team on 0800 316 2295 who will send you one by post.

If you have any questions about tax residence or classification, we recommend that you contact your adviser

Section 1 – About the Controlling Person			
* Title (Mr/Mrs/Miss/Ms/Other)	<input type="text"/>		
* First name(s)	<input type="text"/>		
* Last name	<input type="text"/>		
* Date of birth DD MM YYYY	<input type="text"/>	<input type="text"/>	<input type="text"/>
* Country of birth	<input type="text"/>		
* Country(ies) of citizenship	<input type="text"/>	<input type="text"/>	
* Telephone numbers	Country code	Telephone number	
Home:	<input type="text"/>	<input type="text"/>	
Work:	<input type="text"/>	<input type="text"/>	
Mobile:	<input type="text"/>	<input type="text"/>	
* Address line 1	<input type="text"/>		
* Address line 2	<input type="text"/>		
* Town/City	<input type="text"/>		
* County	<input type="text"/>		
* Country	<input type="text"/>		
* Postcode	<input type="text"/>	<input type="text"/>	<input type="text"/>
Please enter the legal name of the relevant entity Account Holder(s) of which you are a Controlling Person	Legal name of Entity 1	<input type="text"/>	
	Legal name of Entity 2	<input type="text"/>	
	Legal name of Entity 3	<input type="text"/>	

Section 1 – About the Controlling Person

Type of Controlling Person

(Please only complete this section if you are tax resident in one or more Reportable Jurisdictions)

Please provide the Controlling Person's Status by ticking the appropriate box.	Entity 1	Entity 2	Entity 3
Controlling Person of a corporation, a partnership, a pension fund or a charity.			
Control by ownership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Control by other means	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Senior managing official	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Controlling Person or trust.			
Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Beneficiary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Controlling Person of a legal arrangement (non-trust). A legal arrangement is any entity which is neither a legal entity (such as a company or partnership) nor a trust. Examples of a legal arrangement include, but are not limited to, unincorporated clubs and associations.			
Settlor-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trustee-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Protector-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Beneficiary-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section 2 – Tax Residency Status

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

- No – please go straight to **Section 3**
- Yes – please complete the table below

2.2 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.

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

Section 3 – Declaration

Investor declaration

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

I declare that to the best of my knowledge and belief, the information I have provided in this form is true, correct and complete.

I understand that the information contained in this form and any information about the Investor and their accounts may be reported to the tax authorities of the country in which these accounts are maintained. They may also be exchanged with tax authorities of another country or countries in which the Controlling Person is a tax resident depending on the Intergovernmental Agreements (IGAs) that are in place.

* **Controlling Person name**

* **Controlling Person signature**

* **Capacity**

(Note: If you are not the Controlling Person please indicate the capacity in which you are signing the form. If signing under a power of attorney please also attach a certified copy of the power of attorney.)

* **Date signed**
DD MM YYYY

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Tax Residency Self-Certification Form for Controlling Person

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

octopusinvestments



Octopus Investments is required by UK law to collect information about the tax residency and tax classification status of its investors. In certain circumstances it may be necessary for us to share this information with HM Revenue and Customs (HMRC), which is also obliged to share relevant information with tax authorities in other jurisdictions.

Please note, each Controlling Person should complete a Self-Certification Form. In the case of trusts this may include; settlors, trustees and any named beneficiaries. In the case of Companies this may include: owners, managing officials, and any person who own or control more than 25% of the capital, profits or voting rights.

Please complete all sections as directed.

You can either photocopy this form, download and print an additional copy from [octopusinvestments.com/reportingforms](https://www.octopusinvestments.com/reportingforms) or call our Client Relations Team on 0800 316 2295 who will send you one by post.

If you have any questions about tax residence or classification, we recommend that you contact your adviser

Section 1 – About the Controlling Person			
* Title (Mr/Mrs/Miss/Ms/Other)	<input type="text"/>		
* First name(s)	<input type="text"/>		
* Last name	<input type="text"/>		
* Date of birth DD MM YYYY	<input type="text"/>	<input type="text"/>	<input type="text"/>
* Country of birth	<input type="text"/>		
* Country(ies) of citizenship	<input type="text"/>	<input type="text"/>	
* Telephone numbers	Country code	Telephone number	
Home:	<input type="text"/>	<input type="text"/>	
Work:	<input type="text"/>	<input type="text"/>	
Mobile:	<input type="text"/>	<input type="text"/>	
* Address line 1	<input type="text"/>		
* Address line 2	<input type="text"/>		
* Town/City	<input type="text"/>		
* County	<input type="text"/>		
* Country	<input type="text"/>		
* Postcode	<input type="text"/>	<input type="text"/>	<input type="text"/>
Please enter the legal name of the relevant entity Account Holder(s) of which you are a Controlling Person	Legal name of Entity 1	<input type="text"/>	
	Legal name of Entity 2	<input type="text"/>	
	Legal name of Entity 3	<input type="text"/>	

Section 1 – About the Controlling Person

Type of Controlling Person

(Please only complete this section if you are tax resident in one or more Reportable Jurisdictions)

Please provide the Controlling Person's Status by ticking the appropriate box.

Entity 1

Entity 2

Entity 3

Controlling Person of a corporation, a partnership, a pension fund or a charity.

Control by ownership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Control by other means	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Senior managing official	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Controlling Person or trust.

Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Beneficiary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Controlling Person of a legal arrangement (non-trust). A legal arrangement is any entity which is neither a legal entity (such as a company or partnership) nor a trust. Examples of a legal arrangement include, but are not limited to, unincorporated clubs and associations.

Settlor-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trustee-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Protector-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Beneficiary-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section 2 – Tax Residency Status

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

No – please go straight to **Section 3**

Yes – please complete the table below

2.2

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.

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

Section 3 – Declaration

Investor declaration
(To be completed by the Controlling Person named in Section 1, or registered Attorney(s))

I declare that to the best of my knowledge and belief, the information I have provided in this form is true, correct and complete.

I understand that the information contained in this form and any information about the Investor and their accounts may be reported to the tax authorities of the country in which these accounts are maintained. They may also be exchanged with tax authorities of another country or countries in which the Controlling Person is a tax resident depending on the Intergovernmental Agreements (IGAs) that are in place.

* **Controlling Person name**

* **Controlling Person signature**

* **Capacity**

(Note: If you are not the Controlling Person please indicate the capacity in which you are signing the form. If signing under a power of attorney please also attach a certified copy of the power of attorney.)

* **Date signed**
DD MM YYYY

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Tax Residency Self-Certification Form for Controlling Person

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

octopusinvestments

Octopus Investments is required by UK law to collect information about the tax residency and tax classification status of its investors. In certain circumstances it may be necessary for us to share this information with HM Revenue and Customs (HMRC), which is also obliged to share relevant information with tax authorities in other jurisdictions.

Please note, each Controlling Person should complete a Self-Certification Form. In the case of trusts this may include; settlors, trustees and any named beneficiaries. In the case of Companies this may include: owners, managing officials, and any person who own or control more than 25% of the capital, profits or voting rights.

Please complete all sections as directed.

You can either photocopy this form, download and print an additional copy from [octopusinvestments.com/reportingforms](https://www.octopusinvestments.com/reportingforms) or call our Client Relations Team on 0800 316 2295 who will send you one by post.

If you have any questions about tax residence or classification, we recommend that you contact your adviser

Section 1 – About the Controlling Person			
* Title (Mr/Mrs/Miss/Ms/Other)	<input type="text"/>		
* First name(s)	<input type="text"/>		
* Last name	<input type="text"/>		
* Date of birth DD MM YYYY	<input type="text"/>	<input type="text"/>	<input type="text"/>
* Country of birth	<input type="text"/>		
* Country(ies) of citizenship	<input type="text"/>	<input type="text"/>	
* Telephone numbers	Country code	Telephone number	
Home:	<input type="text"/>	<input type="text"/>	
Work:	<input type="text"/>	<input type="text"/>	
Mobile:	<input type="text"/>	<input type="text"/>	
* Address line 1	<input type="text"/>		
* Address line 2	<input type="text"/>		
* Town/City	<input type="text"/>		
* County	<input type="text"/>		
* Country	<input type="text"/>		
* Postcode	<input type="text"/>	<input type="text"/>	<input type="text"/>
Please enter the legal name of the relevant entity Account Holder(s) of which you are a Controlling Person	Legal name of Entity 1	<input type="text"/>	
	Legal name of Entity 2	<input type="text"/>	
	Legal name of Entity 3	<input type="text"/>	

Section 1 – About the Controlling Person

Type of Controlling Person

(Please only complete this section if you are tax resident in one or more Reportable Jurisdictions)

Please provide the Controlling Person's Status by ticking the appropriate box.	Entity 1	Entity 2	Entity 3
Controlling Person of a corporation, a partnership, a pension fund or a charity.			
Control by ownership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Control by other means	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Senior managing official	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Controlling Person or trust.			
Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Beneficiary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Controlling Person of a legal arrangement (non-trust). A legal arrangement is any entity which is neither a legal entity (such as a company or partnership) nor a trust. Examples of a legal arrangement include, but are not limited to, unincorporated clubs and associations.			
Settlor-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trustee-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Protector-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Beneficiary-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section 2 – Tax Residency Status

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

- No – please go straight to **Section 3**
- Yes – please complete the table below

2.2 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.

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

Section 3 – Declaration

Investor declaration

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

I declare that to the best of my knowledge and belief, the information I have provided in this form is true, correct and complete.

I understand that the information contained in this form and any information about the Investor and their accounts may be reported to the tax authorities of the country in which these accounts are maintained. They may also be exchanged with tax authorities of another country or countries in which the Controlling Person is a tax resident depending on the Intergovernmental Agreements (IGAs) that are in place.

* **Controlling Person name**

* **Controlling Person signature**

* **Capacity**

(Note: If you are not the Controlling Person please indicate the capacity in which you are signing the form. If signing under a power of attorney please also attach a certified copy of the power of attorney.)

* **Date signed**
DD MM YYYY

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---



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

- You've answered all the questions that apply to you.
- You have enclosed the necessary verification of identity documentation for all applicants.
- If you are paying by cheque, you have enclosed a cheque made payable to **'Octopus Portfolio Manager – Client Account'**. Banker's drafts or building society cheques must specifically mention the name the investment will be held in.
- Or, if you are paying via CHAPS/BACS, 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 the name the investment will be held in:**

Sort code:	40-03-28	Bank:	HSBC
Account No.	42509148	Branch:	Holborn
- You have completed **Section 5** – 'Account Charges'.



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.
- 2** Once your funds have been invested we will send you regular valuations. 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 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](https://www.octopusinvestments.com)



Octopus Investments,
33 Holborn,
London EC1N 2HT