

Stocks and Shares ISA and ISA Transfer 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



This form allows individuals to open an Octopus Portfolio Manager Stocks and Shares ISA, and to transfer ISAs from other providers. It cannot be used to transfer an Investment Bond or SIPP.

The form has 9 sections:

1. About the investor
2. About the investment
3. Transferring from another provider
4. About the adviser (to be completed by the adviser)
5. Account charges
6. Tax Residency Status
7. Adviser/intermediary declaration
8. Applicant declaration
9. Authorisation to transfer from another provider

Section 1 – About the investor

* Title (Mr/Mrs/Miss/Ms/Other)	<input style="width: 100%;" type="text"/>		
* First name(s)	<input style="width: 100%;" type="text"/>		
* Last name	<input style="width: 100%;" type="text"/>		
* Existing Octopus investor?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
* If you are adding to an existing OPM ISA please provide the portfolio number here	<input style="width: 100%;" type="text"/>		
* Date of birth DD MM YYYY	<input type="text"/>	<input type="text"/>	<input type="text"/>
* Country of birth	<input style="width: 100%;" type="text"/>		
* Country(ies) of citizenship	<input style="width: 50%;" type="text"/>	<input style="width: 50%;" type="text"/>	
* Nationality	<input style="width: 50%;" type="text"/>	<input style="width: 50%;" type="text"/>	
* Telephone numbers	Country code	Telephone number	
Home:	<input style="width: 100px;" type="text"/>	<input style="width: 400px;" type="text"/>	
Work:	<input style="width: 100px;" type="text"/>	<input style="width: 400px;" type="text"/>	
Mobile:	<input style="width: 100px;" type="text"/>	<input style="width: 400px;" type="text"/>	
* Primary address line 1	<input style="width: 100%;" type="text"/>		
* Address line 2	<input style="width: 100%;" type="text"/>		
* Town/City	<input style="width: 100%;" type="text"/>		
* County	<input style="width: 100%;" type="text"/>		
* Country	<input style="width: 100%;" type="text"/>		
* Postcode	<input type="text"/>	<input type="text"/>	<input type="text"/>
* National Insurance number	<input type="text"/>	<input type="text"/>	<input type="text"/>
* Email address	<input style="width: 100%;" type="text"/>		

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Section 3 – Transferring from another provider

Do you want to transfer any existing investments with another provider into your Octopus Portfolio Manager Investment Account?

No – go to Section 4 ▶

Yes – How many transfers?

Estimated total amount £

Please provide details of your transfers in **Section 9** – Authorisation to transfer from another provider.

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

* Company

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

* First name(s)

* Last name

* Telephone

* Address

* Country

* Postcode

* Email address

* FCA number

* Are you part of a network/service provider?

No

Yes – please give us the network/service provider name

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

Section 5 – Account charges

* Initial adviser charge

For each payment type ticked, choose either fixed amount or percentage

Lump sum

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 lump-sum payment before your funds are invested.

The amount of your lump-sum payment cannot exceed the maximum ISA allowance for that tax year to facilitate initial charges.

* Ongoing adviser charge

(Tick one box only)

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 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.

Section 5 – Account charges

Special instructions

Section 6 – Tax residency status

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

No – 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.

* 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.

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

Section 7 – Adviser declaration

By submitting this form, I agree that:

- I have read and understood 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 applicant that satisfies the requirements of COBS 9 suitability.

* Adviser signature

* Print name

* Date signed

DD MM YYYY

D	D	M	M	Y	Y	Y	Y
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Section 8 – Investor declaration

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

These declarations apply to both new subscriptions into an ISA in the current tax year and ISA transfers from other plan managers. **By signing this form I HEREBY DECLARE THAT I:**

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 understood 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 5.

Declaration A – Lump Sum

By signing this form I HEREBY DECLARE THAT:

- i. All subscriptions made, and to be made, belong to me.
- ii. I am 18 years of age or over.
- iii. 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 Cash ISA and a Stocks and Shares ISA in the same tax year.
- iv. I am resident in the UK for tax purposes, or if not so resident 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 UK, 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.
- v. 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.
- vi. Where I invest using funds withdrawn from another Octopus Portfolio Manager account I am aware that the withdrawal may incur tax charges before the funds are invested in my ISA.

Declaration B – ISA Transfer

By signing this form I HEREBY DECLARE THAT:

- i. Hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash,
- ii. Make on my behalf any claims to relief from tax in respect of ISA investments, and
- iii. On my written request, transfer or pay to me, as the case may be, ISA investments, interest, dividends, rights or other proceeds in respect of such investments or any cash.
- iv. 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.
- v. I understand that this application is subject to acceptance by the ISA Manager.
- vi. I understand that, where I am transferring a Cash ISA, it will be transferred into a Stocks and Shares ISA.
- vii. You are not contractually bound until the ISA investment is made.

* Investor name

* Investor signature

* Date signed
DD MM YYYY

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

- You've answered all the questions that apply to you. You've completed **Section 6** – 'Tax Residency Status'.
- If you are transferring from another provider, you have completed **Section 9** – 'Authorisation to transfer from another provider'.
- 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))
- If you are paying by cheque, you have enclosed a cheque from a personal account, made payable to '**Octopus Portfolio Manager – Client 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.
- 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 your name:**

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

Payments need to come from your personal account (we do not accept payments from business accounts).
- You have added any special instructions that may apply within **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 valuation statements. You can also check your account online through our secure website.

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Section 9 – Authorisation to transfer from another provider

How to complete this application form

- 1 Please complete all sections as directed.
- 2 Once completed please send to:

Octopus Investments Limited
PO Box 10847
Chelmsford
CM99 2BU

octopusinvestments

Section 9 – Authorisation to transfer from another provider

You can use this form to transfer existing ISAs into your Octopus Portfolio Manager ISA.

* I have a	<input type="checkbox"/> Stocks and Shares ISA OR <input type="checkbox"/> Cash ISA
* This ISA is for	<input type="checkbox"/> The current tax year – I wish to transfer my current year’s ISA subscriptions. <input type="checkbox"/> A previous tax year – I wish to transfer my previous year’s ISA subscriptions.
* Please transfer my ISA	<input type="checkbox"/> In full OR <input type="checkbox"/> In part - please complete the below section
* Estimated value of ISA	£ <input type="text"/>
	ISA Investments to be transferred in part Please check with your existing ISA Manager that they can accommodate partial transfers. Please transfer <input type="text"/> % of my total ISA holding, OR Please transfer specific tax years as detailed below (example 2007/2008) 1. <input type="text"/> / <input type="text"/> 2. <input type="text"/> / <input type="text"/> 3. <input type="text"/> / <input type="text"/> 4. <input type="text"/> / <input type="text"/>
* Name	Details of ISA Manager <input type="text"/> * Account number of the ISA to be transferred <input type="text"/> * Sort code (if your ISA is held by a bank) <input type="text"/> * Telephone number <input type="text"/>
* Title (Mr/Mrs/Miss/Ms/Other)	Personal Details <input type="text"/> * First name(s) <input type="text"/> * Last name <input type="text"/> * Postcode <input type="text"/> * National Insurance Number <input type="text"/>
* Transfer instruction	Transfer Instruction Transfer instruction I hereby instruct my current ISA Manager to transfer the ISA(s) referred to in this section, to Octopus Investments Limited (my new Manager) by liquidating the assets and forwarding the proceeds to Octopus Investments Limited. This request is subject to Octopus Investments’ acceptance of my transfer application. I authorise my existing ISA Manager to provide Octopus Investments Limited with any information, written or non-written, concerning the ISA and to accept any instructions from them.
* Applicant signature	<input type="text"/>
* Date signed 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"/>

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* Name	Details of ISA Manager
* Account number of the ISA to be transferred	Address <input type="text"/>
* Sort code (if your ISA is held by a bank)	Address <input type="text"/>
* Telephone number	Country <input type="text"/>
	Postcode <input type="text"/>
* Title (Mr/Mrs/Miss/Ms/Other)	Personal Details
* First name(s)	<input type="text"/>
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* Account number of the ISA to be transferred	<input type="text"/>
* Sort code (if your ISA is held by a bank)	<input type="text"/>
* Telephone number	<input type="text"/>
* Title (Mr/Mrs/Miss/Ms/Other)	Personal Details <input type="text"/>
* First name(s)	<input type="text"/>
* Last name	<input type="text"/>
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* National Insurance Number	<input type="text"/>
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* Date signed DD MM YYYY	<input type="text"/>										

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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.



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



Octopus Investments,
33 Holborn,
London EC1N 2HT