

Top Up 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 make a lump-sum top up to an existing Investment Account or ISA. If you wish to set up a new ISA or Investment Account please complete the relevant form. Please note, if you wish to contribute to your existing ISA and a full tax year has elapsed since you last made a contribution to your ISA, you will need to complete a new application form and this form should not be used.

The form has 6 sections:

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

Commission portfolios

This form will automatically cancel any existing commission arrangements that are in place for your portfolio. If you wish to maintain any existing commission arrangements, you will need to open a new portfolio to invest your top up into. To do this you will need to complete a new application form.

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)

* Existing portfolio number	<input type="text"/>		Please let us know if either of the following apply to the existing investment:
			<input type="checkbox"/> This investment has a registered Power of Attorney in place.
			<input type="checkbox"/> This investment is held in Trust.
* Title (Mr/Mrs/Miss/Ms/Other)	First investor	Joint investor (if applicable)	
	<input type="text"/>	<input type="text"/>	
* First name(s)	<input type="text"/>	<input type="text"/>	
* Last name	<input type="text"/>	<input type="text"/>	
* Date of birth DD MM YYYY	<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/>	<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/>	
* Country of birth	<input type="text"/>	<input type="text"/>	
* Country(ies) of citizenship	<input type="text"/>	<input type="text"/>	
	<input type="text"/>	<input type="text"/>	
* Nationality	<input type="text"/>	<input type="text"/>	
	<input type="text"/>	<input type="text"/>	
* Has any of your personal information changed?	<input type="checkbox"/> Yes – if any of your personal information has changed, please call us on 0800 316 2295 . <input type="checkbox"/> No		
* Email address	<input type="text"/>	<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 octopusinvestments.com/privacy-policy		

Section 2 – About the investment

* Lump sum investment amount

£

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

Cheque/banker's draft
Please enclose 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.

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 No.	42509148	Branch:	Holborn

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

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.

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

*Have your adviser details changed?

No

Yes - If your adviser details have changed, please call us on **0800 316 2295**.

Section 4 – 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**
(choose either a fixed amount or percentage)

Fixed amount £ OR Percentage %

This is taken from your payment(s) and paid to your adviser before your funds are invested. Choose either fixed amount or percentage.

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

* **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 5: 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.

Section 5 – 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

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 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 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 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 a lump sum top up, 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.
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.
13. 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.
14. (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

* Investor name	First investor	Joint investor (if applicable)
	<input type="text"/>	<input type="text"/>
* Investor signature	<input type="text"/>	<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"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>



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

- 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 completed **Section 4** – '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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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)



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London EC1N 2HT