Octopus AIM Inheritance Tax ISA

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Apply online

Application and ISA transfer form

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octopus investments

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How to complete this application form

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Before completing this application form, you should read the Octopus AIM Inheritance Tax ISA brochure. Please complete this form in **block capitals** using **black ink**. Ensure you answer all the questions marked with an '*'. Leave blank any boxes that don't apply to you. Once completed, please send this form – along with your investment – to: **Octopus Investments Limited**, **PO Box 10847**, **Chelmsford CM99 2BU**. Alternatively you might find it easier to complete your application online. To do so visit **apply.octopusinvestments.com**.

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Section 1 – About the investor	
* Title (Mr/Mrs/Miss/Ms/Other)	
* Last name	
* Are you an existing Octopus client? If you are adding to an existing Octopus AIM IHT ISA, ple	ase provide the portfolio number here
Yes No	
* Date of birth DD MM YYYY	* National Insurance number
* Country of birth	
* Country(ies) of citizenship	
* Nationality	
* Dual nationality or non British national unique identifier code (N/A for British nationals)	
If you hold dual nationality or are not a British national, please contact our Investor Support team on C identifier code you will need to provide for us to process your application.	0800 316 2295 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:	
Secondary:	
* Email address	
* Primary address	
* Country	* Postcode
* Is there a registered Power of Attorney in place for this application?	
No Yes - who should we send correspondence to? The investor The Attorney	
* Attorney name	* Attorney date of birth DD MM YYYY
* Attorney country of birth	* Attorney National Insurance Number
* Address	
* Country	* Postcode
Please note, if you are acting as Attorney (POA), please include an original or certified copy of the POA documents for each Attorney. In all cases Octopus will need to verify the identity of all Attorneys and n	
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Yes

No

You can unsubscribe at any time.

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* 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?

*To find out more about the businesses that make up the Octopus Group, take a look at www.octopusinvestments.com/privacy-policy

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* Are you making a nev	w ISA subscripti	on?			
No Yes – amoun	t £				
Your ISA subscription and amount cannot exceed t				stment of £20,000. But ple	ase note that your ISA subscriptio
he minimum amount fo	or topping up you	ur existing Octopus Al	M Inheritance Tax IS	A is also £20,000.	
Please specify which	tax year this su	bscription applies to	o (e.g. 2021/2022)		
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Do you want to transfer any existing ISA investments with other providers into your Octopus AIM Inheritance Tax ISA?

Number of ISA transfers Estimated total amount **£**

Please provide details of your transfers in the 'Authorisation to transfer from another provider' forms, later in this application. Your ISA subscription and/or transfer(s) must add up to at least the minimum investment of £20,000.

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

No Yes - regular withdrawals can only be paid into a bank account. Make sure you've entered your account details below.

How much do you want to withdraw? £		Starting from			(MM YYYY)
How often would you like the above amount to be paid?	Monthly	Quarterly	Semi-annually	Annually	

Please give us details of the bank account you would like any future proceeds and/or regular withdrawals to be paid into Account name

Bank or building society name				
Account number	Sort code			
Branch address				
Country		F	Postcode	
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Secti	on 5 – Tax Residency Statu	c										
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	Are you tax resident, or do you con	nplete tax	returns in c	iny count	ry other	than th	e UK?					
	No – please tick this box and go	o straight [.]	to Section	5 .								
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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 at **octopusinvestments.com/aimisa-questionnaire**/,

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4.2

4.3

Initial commission

This is a direct investment

or you can call us on **0800 316 2295** for a copy.

or you can call us on **0800 316 2295** for a copy.

This is a non-advised investment through an intermediary

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Section 6 – 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 applicant that satisfies the requirements of COBS 9A suitability (strike through this bullet point if this is a non-advised investment).

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Print name

Adviser/intermediary signature	
	Date signed DD MM YYYY

Section 7 – Investor declaration

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

By signing this form I HEREBY DECLARE THAT:

- 1. I have read and understand the current Octopus AIM Inheritance Tax ISA brochure and understand the risk factors explained in it.
- 2. I have read and understand the Terms and Conditions and agree to be bound by them.
- 3. I have provided accurate information, to the best of my knowledge.
- 4. I have read and understood the Octopus policies regarding best execution, conflicts of interest and gift and benefits, all available at **octopusinvestments.com**.
- 5. I consent to Octopus facilitating the fees and charges to my adviser as previously agreed, as per Section 4.
- 6. All subscriptions made, and to be made, belong to me.
- 7. I am 18 years of age or over.

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- 8. Where I am making an ISA subscription, 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.
- 12. 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.
- 13. (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

* Investor	r/Attorne	y signatu	ıre												
					Date	e sign	ed DD M	MYYY	(

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Octopus AIM Inheritance Tax ISA

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Authorisation to transfer from another provider

You can use this form to transfer an existing ISA into your Octopus AIM Inheritance Tax ISA. If you are transferring more than one ISA, please complete a new authorisation form for each ISA you are transferring. This form must be used in conjunction with either the full Octopus AIM Inheritance Tax ISA application form or top-up form, depending on whether you are opening a new portfolio or adding to your existing investment. Please complete all fields.

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Go to **octopusinvestments.com/resources/applications/** to find copies of these forms.

Section 1 – About the	investor					
Title (Mr/Mrs/Miss/Ms/Other)	First name(s)					
Last name						
Date of birth DD MM YYYY		Postcode		Natio	nal Insurance nu	mber
Section 2a – Authorisc	ation to transfer yo	our ISA in ful	I			
I have a (tick one box only)	Stocks and Shares ISA	A OR (Cash ISA			
Please transfer	Estimated value of transf	fer £				
If you'd like to transfer your ISA	in part, please complete	Section 2b.				
Section 2b – Authorisc	ation to partially tr	ansfer your	ISA			
Please transfer	% of my total ISA holdin	ig OR ple	ease transfer spec	ific tax years as det	tailed below.	
<i>(</i>						_
Tax year (e.g. 2022/23)		/		/		/
Specific value of partial tran	nsfers £		£		£	
Please choose how you woul	-					
Sell proportionally across a	ll funds (excluding suspen	ded funds) C	DR Sell from	n the specific funds	s below	
Fund name						
	% of my holding OR	Amount of sho	ares			
Fund name						
	% of my holding OR	Amount of sho				
			1163			
Fund name						
	% of my holding OR	Amount of sho	ares			
Fund name						
	% of my holding OR	Amount of sho	ares			
Fund name						
	% of my holding OR	Amount of sho	ares			

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Company name		
ccount number of the ISA to be trans	erred	
ort code (If your ISA is held by a bank)	Telephone number	
ddress		
ountry		Postcode

I hereby instruct my current ISA Manager to transfer the ISA referred to in this form, to Octopus Investments Limited (my new Manager) by liquidating the assets and forwarding the proceeds to Octopus Investments Limited. 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

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Date signed DD MM YYYY

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Octopus AIM Inheritance Tax ISA

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Authorisation to transfer from another provider

You can use this form to transfer an existing ISA into your Octopus AIM Inheritance Tax ISA. If you are transferring more than one ISA, please complete a new authorisation form for each ISA you are transferring. This form must be used in conjunction with either the full Octopus AIM Inheritance Tax ISA application form or top-up form, depending on whether you are opening a new portfolio or adding to your existing investment. Please complete all fields.

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Go to **octopusinvestments.com/resources/applications/** to find copies of these forms.

Section 1 – About the investor								
Title (Mr/Mrs/Miss/Ms/Other)	First name(s)							
Last name								
Date of birth DD MM YYYY		Postcode		National Insura	nce number			
Section 2a – Authoris	ation to transfer yo	our ISA in full						
I have a (tick one box only)	Stocks and Shares ISA	OR Cas	h ISA					
Please transfer	Estimated value of transf	er £						
If you'd like to transfer your ISA	A in part, please complete :	Section 2b.						
Section 2b – Authorise	ation to partially tr	ansfer your IS/	4					
Please transfer	% of my total ISA holdin	a OR please	e transfer specific tax v	vears as detailed belov	ν.			
	,		, ,					
Tax year (e.g. 2022/23)		/		/	/			
Specific value of partial tra	nsfers £		£	£				
Please choose how you would like your current ISA funds to be sold down								
Sell proportionally across all funds (excluding suspended funds) OR Sell from the specific funds below								
Fund name								
	% of my holding OR	Amount of shares						
Fund name								
	% of my holding OR	Amount of shares						
Fund name								
	% of my holding OR	Amount of shares						
Fund name								
	% of my holding OR	Amount of shares						
Fund name								
	% of my holding OR	Amount of shares						

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Company name		
ccount number of the ISA to be trans	erred	
ort code (If your ISA is held by a bank)	Telephone number	
ddress		
ountry		Postcode

I hereby instruct my current ISA Manager to transfer the ISA referred to in this form, to Octopus Investments Limited (my new Manager) by liquidating the assets and forwarding the proceeds to Octopus Investments Limited. 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

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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:

Unless this is a direct investment, your adviser or intermediary has signed and dated where indicated in **Section 6**.

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You (or your Attorney) have signed the declaration 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 or a copy certified on every page with wet signature, printed name and date of certification by either a solicitor (active on the Law Society/ SRA Register), a Notary Public (active on the Notaries Society register) or a stockbroker (an investment professional whose firm is a member of a Recognised Stock Exchange). We also require a Tax Residency self certification form and national insurance number for all Attorneys linked.

If you are a direct investor or this is a non-advised investment, you have completed and enclosed the client suitability questionnaire (available at **octopusinvestments.com** or you can call **0800 316 2295** for a copy).

If you are transferring from another provider, you have completed the 'Authorisation to transfer from another provider' form.

Once complete please send your completed application form to:

Octopus Investments Limited PO Box 10847 Chelmsford CM99 2BU

What happens next?

- We will send you an acknowledgement that we have received your application, and will request any transfer of funds from your current ISA manager(s).
- We will start investing your funds as soon as we receive the minimum investment amount. It can take up to eight weeks until your money is fully invested.

3 We will send you confirmation once your funds have been invested.

4 We will send you a quarterly report on your portfolio. 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, please call us on **0800 316 2295**. We're always happy to hear from you.

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0800 316 2295 investorsupport@octopusinvestments.com octopusinvestments.com



Send completed form to: Octopus Investments PO Box 10847 Chelmsford CM99 2BU

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