Octopus AIM Inheritance Tax ISA

Application and ISA transfer form

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How to complete this Octopus AIM Inheritance Tax ISA application form

Before completing this application form, you should read the **Octopus AIM Inheritance Tax ISA** brochure. Please complete all sections as directed. Once completed, please send this form, along with your investment, to: **Octopus Investments Limited**, **PO Box 10847**, **Chelmsford CM99 2BU**.

Section 1 – About the investor

Title | **First name(s)** | **Last name**

Are you an existing Octopus client?

☐ Yes ☐ No

If you are adding to an existing Octopus AIM IHT ISA, please provide the portfolio number here

Country of birth | **Country(ies) of citizenship**

Nationality If you hold dual nationality or are not a British national, we may contact you for further information.

Date of birth (dd mm yyyy) | **National Insurance number**

Telephone numbers Primary (include country code) | Secondary (include country code)

Email address

Primary address

Country | **Postcode**

Is there a Power of Attorney registered with us currently?

☐ Yes ☐ No

If you need to register an Attorney(s), you'll need to complete our 'Registering a Power of Attorney' pack. We'll also require an original or certified copy of the POA document and verification of identity documents for each Attorney. In all cases we'll need to verify the identity of each Attorney, and may run electronic searches to do so.

Please get in touch for a copy of the pack.

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, and may be transferred to the government of another territory in accordance with a relevant agreement. For further information please visit **octopusinvestments.com/reportingforms**.

1.1 **Are you a tax resident in any country outside the UK, or do you complete tax returns in any other country?**

☐ No – please tick this box and go straight to **Section 2**.

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 **1.2** below.

1.2 **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	Taxpayer Identification Number (TIN)	TIN not available
		☐
Country	**Taxpayer Identification Number (TIN)**	**TIN not available**
		☐
Country	**Taxpayer Identification Number (TIN)**	**TIN not available**
		☐

Section 2 – About the investment

Are you making a new ISA subscription?

☐ No ☐ Yes - amount **£**

Your ISA subscription and/or transfer(s) must add up to at least the minimum investment of £20,000. But please note that your ISA subscription amount cannot exceed the maximum ISA allowance for the tax year.

The minimum amount for topping up your existing Octopus AIM Inheritance Tax ISA is also £20,000.

Please specify which tax year this subscription applies to (e.g. 2024/25)

/

Bank transfer, cheque/banker's draft or transfer of funds (tick one box only)

☐ **Bank transfer**

Please transfer your funds to the following account after first sending in your completed application form, making sure that you **reference the payment with your surname and initials**. Payments need to come from your personal account. We do not accept payments from business accounts.

Account name	Sort code	Account number	Bank	Branch
Octopus Investments Client Money Account	40-03-28	22177056	HSBC	Holborn

Our bank details will never differ from those provided by us on your application. If you're ever asked to send money to a different account, contact us directly using the details on our website.

☐ **Cheque/banker's draft**

Please enclose a cheque from your personal account, made payable to '**Octopus Investments Client Money Account**'. We do not accept cheques from business accounts, third parties (including your spouse if they are not a joint applicant) or post-dated cheques. Banker's drafts and building society cheques must specifically mention the investor's name.

☐ **Transfer of funds**

Please transfer funds from another Octopus portfolio on a one-off basis. I am aware this may incur tax charges before funds are invested in my ISA.

My portfolio number is:

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.

Section 3 – Suitability and source of wealth (direct and non-advised only)

Client suitability questionnaire

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/ or you can call us for a copy.

What's the source of your wealth?

Please tell us how you acquired the money you plan to invest, select all that apply. In some cases, further information and documentary evidence may be required.

☐ Earned income ☐ Ownership in a company ☐ Inheritance ☐ Gifts ☐ Sale of property ☐ Investment proceeds ☐ Other

If other, please specify

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

If this is the first time we will be paying your company adviser charges, please contact us on **0800 316 2067** to arrange setting up payment details.

Company

Title | **First name(s)** | **Last name**

Telephone number (include country code) | **Email address**

Address

Country | **Postcode**

Company FCA number | **Adviser FCA number**

Are you part of a network/service provider?

☐ No ☐ Yes – please give us the network/service provider name | **Network/service provider FCA number**

Section 5 – Adviser/intermediary charges

What type of investment is this?

Please read the following text and then complete either 5.1, 5.2 or 5.3. Failure to complete this section correctly could result in delays to the investment.

- If you have received financial advice for this investment then this is an 'advised investment'. Please complete **Section 5.1**.
- If you are not submitting your application through an adviser or intermediary then this is a 'direct investment'. Please complete **Section 5.2**.
- If this is an 'execution only' investment and you have not received financial advice then this is a 'non-advised investment'. Any commission due will be paid by Octopus. Please complete **Section 5.3**.

☐ **5.1 This is an advised investment**

Please indicate the level of initial adviser charges and/or ongoing adviser charges agreed. If you have agreed that Octopus will not facilitate charges to your adviser, then please leave this section blank. For each payment type ticked, choose either fixed amount or percentage.

Initial adviser charge

ISA subscription ☐ 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 ISA subscription before your funds are invested. The amount of your ISA subscription cannot exceed the maximum ISA allowance for that tax year to facilitate initial charges.

Ongoing adviser charge

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

Please note, if you are adding to an existing Octopus AIM Inheritance Tax ISA, any ongoing adviser charges noted here will replace any existing arrangements for the whole portfolio.

Your adviser needs to sign the declaration in **Section 7**.

☐ **5.2 This is a direct investment**

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. Please make sure you have completed **Section 3** and a suitability questionnaire.

☐ **5.3 This is a non-advised investment through an intermediary**

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. Please make sure you have completed **Section 3** and a suitability questionnaire.

☐ ISA subscription _____ **%** ☐ Transfers _____ **%**

Standard terms will apply if left blank. Commission should not exceed our standard terms, otherwise this form may be rejected.

Please refer to the Octopus AIM Inheritance Tax ISA brochure for information about Octopus charges.

Special instructions

Section 6 – Identity verification (to be completed by adviser/intermediary)

You can use this section to provide identity verification for a private individual.* If you don't complete this section, we'll need you to provide us with an Identity Verification Certificate (IVC) or certified copies of the investor's identification.

By completing this section, you agree that on request from Octopus Investments, you will make the following immediately available:

- Any information about the customer (and any beneficial owner) that you obtained when applying client due diligence measures. These might be things like identity documents, utility bills or bank statements.
- Copies of any identification and verification data or documents on the identity of the customer (and any beneficial owner).

I/WE AGREE THAT:

- The information in **Section 1** above was obtained by me/us in relation to the customer.
- The evidence that I/we have obtained to verify the identity of the customer (**tick one box only**).
  - ☐ Meets the standard evidence set out within the guidance for the UK financial sector issued by the joint money laundering steering group.

    OR
  - ☐ Exceeds the standard evidence (written details of the further verification evidence taken are attached to this confirmation).

Adviser/intermediary signature

Print name

Job title

Date signed (dd mm yyyy)

*This form cannot be used to verify the identity of any customer that falls into one of the following categories:

- Those who are exempt from verification because they are an existing client of the advisory firm prior to the introduction of the requirement for such verification.
- Those who have been subject to simplified due diligence under the money laundering regulations.
- Those whose identity has been verified using the source of funds as evidence.

Section 7 – 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).

Adviser/intermediary signature

Print name

Date signed (dd mm yyyy)

Section 8 – Investor declaration

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

By signing this form, I HEREBY DECLARE THAT I:

- I have read and understand the current Octopus AIM Inheritance Tax ISA brochure and understand the risk factors explained in it.
- I have read and understand the Terms and Conditions and agree to be bound by them.
- I have provided accurate information, to the best of my knowledge.
- I have read and understood the Octopus policies regarding best execution, conflicts of interest and gift and benefits, all available at octopusinvestments.com.
- I consent to Octopus facilitating the fees and charges to my adviser as previously agreed, as per **Section 5**.
- All subscriptions made, and to be made, belong to me.
- I am 18 years of age or over.
- Where I am making an ISA subscription, I have not and will not subscribe more than my annual ISA allowance in the same tax year.
- 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.
- 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.
- 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.
- 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.

Investor/Attorney signature

Print name

Date signed (dd mm yyyy)

Octopus AIM Inheritance Tax ISA

Authorisation to transfer from another provider

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How to complete this form

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.**

Section 1 – About the investor

Title | **First name(s)** | **Last name**

Date of birth (dd mm yyyy) | **National Insurance number** | **Postcode**

Section 2 – Details of current ISA Manager

Company name | **Account number of the ISA to be transferred**

Sort code (If your ISA is held by a bank) | **Telephone number**

Address

Country | **Postcode**

Section 3a – Authorisation to transfer your ISA in full

I have a (tick one box only)

☐ Stocks and Shares ISA **OR** ☐ Cash ISA

Please transfer

Estimated value of transfer **£**

If you'd like to transfer your ISA in part, please complete **Section 3b**.

Section 3b – Authorisation to partially transfer your ISA

I have a (tick one box only)

☐ Stocks and Shares ISA **OR** ☐ Cash ISA

Please transfer

% of my total ISA holding **OR** please transfer specific tax years as detailed below.

Tax year (e.g. 2024/25) | / | / | /

Specific value of partial transfers **£**

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

Section 4 – Transfer instruction

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

Print name

Date signed (dd mm yyyy)

0800 316 2295
investorsupport@octopusinvestments.com
octopusinvestments.com

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

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Octopus AIM Inheritance Tax ISA

Authorisation to transfer from another provider

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How to complete this form

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.**

Section 1 – About the investor

Title | **First name(s)** | **Last name**

Date of birth (dd mm yyyy) | **National Insurance number** | **Postcode**

Section 2 – Details of current ISA Manager

Company name | **Account number of the ISA to be transferred**

Sort code (If your ISA is held by a bank) | **Telephone number**

Address

Country | **Postcode**

Section 3a – Authorisation to transfer your ISA in full

I have a (tick one box only)

☐ Stocks and Shares ISA **OR** ☐ Cash ISA

Please transfer

Estimated value of transfer **£**

If you'd like to transfer your ISA in part, please complete **Section 3b**.

Section 3b – Authorisation to partially transfer your ISA

I have a (tick one box only)

☐ Stocks and Shares ISA **OR** ☐ Cash ISA

Please transfer

% of my total ISA holding **OR** please transfer specific tax years as detailed below.

Tax year (e.g. 2024/25) | / | / | /

Specific value of partial transfers **£**

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

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Fund name

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Section 4 – Transfer instruction

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

Print name

Date signed (dd mm yyyy)

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Send completed form to:
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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:

- ☐ You have arranged for payment as per **Section 2**.
- ☐ You have completed **Section 5** – Adviser charges.
- ☐ Unless this is a direct investment, your adviser has signed and dated where indicated in **Section 7**.
- ☐ You (or your Attorney) have signed and dated where indicated in **Section 8**.
- ☐ Your adviser has completed **Section 6**, **OR** you have enclosed the necessary verification of identity documentation:
  - An Identity Verification Certificate **OR** one each of the following;
  - A copy of identification (your passport or driving licence) **PLUS**;
  - A copy of proof of address (driving licence; or bank statement/utility bill (not mobile phone bill) and no older than three months).
- ☐ If you are acting under a Power of Attorney, you have provided:
  - A completed 'Registering a Power of Attorney' pack.
  - The original Power of Attorney **OR** a copy certified on every page (with a wet signature), and a printed name and date of certification by either a solicitor (active on the Law Society/SRA Register), a Chartered Legal Executive (active on the CILEX Regulation Directory), 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).
  - A certified copy of identification (passport or driving license) **AND** a certified copy of proof of address (driving license, bank statement or recent utility bill (excluding mobile phone) for each attorney.
- ☐ If you are transferring from another provider, you have completed the 'Authorisation to transfer from another provider' form.
- ☐ If you are investing directly, or this is a non-advised investment, you have completed and enclosed the client suitability questionnaire.
- ☐ Once complete please send your completed application form to:

  Octopus Investments Limited
  PO BOX 10847
  Chelmsford
  CM99 2BU

What happens next?

1. We will send you a confirmation when your application is complete, and will request any transfer of funds from your current ISA manager(s).
2. Once received, we'll begin investing your funds in a portfolio of qualifying shares, which usually takes up to eight weeks.
3. You will receive a valuation statement every quarter. You can track your investment(s) at any time by visiting **portal.octopusinvestments.com**.

We have a range of ways to help make our communications accessible. If you'd like to know more, please get in touch.

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octopusinvestments.com

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