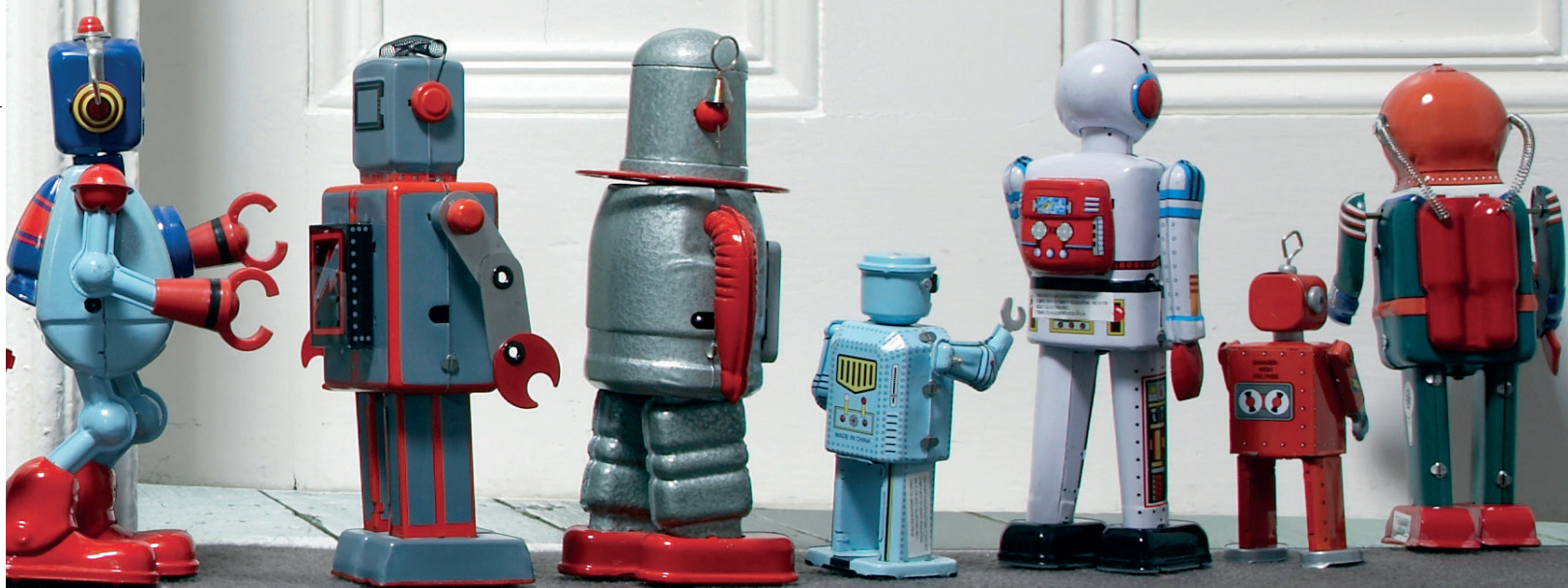


Octopus AIM Inheritance Tax ISA

Apply  
online

# Application and ISA transfer form



**octopus**investments  
A brighter way



## Octopus-IHT-AIM-ISA-application-form-retail-CAM010789-2303

22/03/2023 15:54

**\* 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 [www.octopusinvestments.com/privacy-policy](http://www.octopusinvestments.com/privacy-policy)

**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. 2021/2022)**

/

**\* Cheque/banker's draft, bank transfer or transfer of funds? (tick one box only)**☐ **Cheque/banker's draft**

Please enclose a cheque from a personal account, made payable to 'Octopus Investments Client Money 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 number:	22177056	Branch:	Holborn

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

☐ **Transfer of funds**

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

**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**

**Postcode**



## Octopus-IHT-AIM-ISA-application-form-retail-CAM010789-2303

\* Company

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[illegible]

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☐ No ☐ Yes – please give us the network/service provider name

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## 22/03/2023 15:54

#### 4.2 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. The questionnaire is available at [octopusinvestments.com/aimisa-questionnaire/](https://octopusinvestments.com/aimisa-questionnaire/), or you can call us on **0800 316 2295** for a copy.

### Initial commission

#### 4.3 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. The questionnaire is available at [octopusinvestments.com/aimisa-questionnaire/](https://octopusinvestments.com/aimisa-questionnaire/), or you can call us on **0800 316 2295** for a copy.

<div></div> ISA subscription	%	<div></div> Transfers	%
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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 5 – Tax Residency Status

\* 5.1

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](https://octopusinvestments.com/reportingforms).

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

☐ No – please tick this box and go straight to **Section 6**.

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 **5.2** below.

Or

Are you acting as Power of Attorney?

☐ No – please tick this box and go straight to **Section 7**.

☐ Yes – please complete **5.2** below.

## 5.2

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

## Country

## Taxpayer Identification Number (TIN)

TIN not available



# 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.**

Go to [octopusinvestments.com/resources/applications/](https://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 Insurance number

## Section 2a – 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 2b**.

## Section 2b – Authorisation to partially transfer your ISA

Please transfer

% of my total ISA holding

OR

please transfer specific tax years as detailed below.

Tax year (e.g. 2022/23)

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

Fund name

% of my holding

OR

Amount of shares

## Octopus-IHT-AIM-ISA-transfer-page-only-form-retail-CAM010801-2303

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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.



# 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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OR

please transfer specific tax years as detailed below.

Tax year (e.g. 2022/23)

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

Fund name

% of my holding

OR

Amount of shares

## Octopus-IHT-AIM-ISA-transfer-page-only-form-retail-CAM010801-2303

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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.



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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**.
- ☐ 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**

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## What happens next?

- 1 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).
- 2 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.

## 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.



0800 316 2295  
investorsupport@octopusinvestments.com  
**octopusinvestments.com**



### Send completed form to:

Octopus Investments  
PO Box 10847  
Chelmsford CM99 2BU

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