

How to complete this OITSPPlus application form

Before completing this application form, you should read the **OITSPPlus** brochure. Make sure you have read and understood the eligibility criteria found on page 9. You need to take financial advice before deciding to invest.

If you don't meet the criteria, you won't be eligible to apply for OITSPPlus. Please speak to your financial adviser about our other estate planning solutions that may better suit your needs.

Once completed, you can email this to us at investorsupport@octopusinvestments.com, or post to: **Octopus Investments Limited, PO Box 10847, Chelmsford CM99 2BU**. We'll also need a copy of your passport alongside your application.

Section 1 – About the investor(s)

Your financial adviser will have advised you whether to make a single or joint application. Holding this investment in joint names will have legal and estate planning consequences. Please speak to your adviser again if you are unsure about what is best for you.

First investor**Title****First name(s)**

Last name

Are you an existing Octopus investor? ☐ Yes ☐ No

If you wish to add to an existing investment, please provide the portfolio number

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

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)

Telephone numbers (include country code)

Primary

Secondary

Email address

Address

Country**Postcode**

Second investor (if applicable)**Title****First name(s)**

Last name

Are you an existing Octopus investor? ☐ Yes ☐ No

If you wish to add to an existing investment, please provide the portfolio number

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

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)

Telephone numbers (include country code)

Primary

Secondary

Email address (each applicant will need an individual email address)

Address

Country**Postcode**

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?

First investor

☐ 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.

Second investor (if applicable)

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

☐ 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.

Investor name

Country

Taxpayer Identification Number (TIN)

TIN not available

☐

Investor name

Country

Taxpayer Identification Number (TIN)

TIN not available

☐

Investor name

Country

Taxpayer Identification Number (TIN)

TIN not available

☐

Section 2 – Declaration of Trust

2.1 – Claims Settlement into Trust

By completing and signing **Section 9** of this application form, you (the Investor(s)) acknowledge that the Insurer will pay any sum due on an accepted claim made on your death under the Insurance Policy to Octopus Legacy Trustees Limited (the Trustee) in accordance with the terms of the trust, which are outlined in **Section 6** of the terms and conditions. You acknowledge that the Trustee has accepted its role as set out in the terms and conditions. The Trustee will then pay the sum(s) due to your beneficiaries.

Your application will not be accepted if this section is not completed.

2.2 – Expression of wishes

I/We would like to make known to the Trustee (acting under the Settlement) my wishes regarding who I/we would like to benefit from the Settlement. I/We ask that the Trustee consider the following individuals when exercising their discretion. Beneficiaries must be aged 18 or over.

Beneficiary 1

Title	First name(s)	Last name
Relation to investor		% share of Settlement
		%
Telephone numbers Primary (include country code)		Secondary (include country code)
Email address		
Address		
Country		Postcode

Beneficiary 2

Title	First name(s)	Last name
Relation to investor		% share of Settlement
		%
Telephone numbers Primary (include country code)		Secondary (include country code)
Email address		
Address		
Country		Postcode

Section 3 – About the investment

How much are you investing?

£

The minimum investment is £25,000. The maximum total amount you can contribute to OITSPPlus is £1,000,000.

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 any spouse) 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 transfer will incur an initial fee and may be subject to dealing fees and tax charges. If you transfer from an ISA portfolio, you'll lose the ISA wrapper and its tax benefits.

My portfolio number is:

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

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 charges

Please indicate the level of initial adviser charges and/or ongoing adviser charges agreed. If you have not agreed that Octopus will facilitate charges to your adviser then please indicate 'Nil'. Any initial adviser charge agreed with your adviser will be taken from your investment amount before your funds are invested. The investment amount cannot exceed the maximum investment of £250,000 to facilitate initial charges.

Initial adviser charge (tick one box only)

☐ Fixed amount £ OR ☐ Percentage %

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

Ongoing adviser charge (tick one box only)

☐ Fixed amount per year £ OR ☐ Percentage %

☐ Please tick here if you're topping up an existing portfolio and you'd like to keep your adviser charges as they are.

Please note, any ongoing adviser charges provided above will replace any existing arrangement for the whole portfolio.

The amount or percentage stated above (whichever is relevant) 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 monthly by selling shares from your portfolio.

Please go straight to **Section 6**.

Please refer to the OITSPPlus brochure for information about Octopus charges.

Special instructions

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

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. **Please note, even if you choose to complete this section, we'll also need a copy of the investor's passport in advance of any future claims.**

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).

First investor

I AGREE THAT:

- The information in **Section 1** above was obtained by me in relation to the customer.
- The evidence that I have obtained to verify the identity of the first 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 signature

Print name

Date signed (dd mm yyyy)

Second investor (if applicable)

I AGREE THAT:

- The information in **Section 1** above was obtained by me in relation to the customer.
- The evidence that I have obtained to verify the identity of the second 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 signature

Print name

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 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 investor(s) that satisfies the requirements of COBS 9A suitability.

Adviser signature

Print name

Date signed (dd mm yyyy)

Section 8 – Health declaration

This health declaration will form part of any future claim assessment. Please ensure the questions are answered accurately to the best of your knowledge and belief. Failure to provide correct and complete information may invalidate your insurance cover.

As the investor(s) named in **Section 1**:

Yes, I confirm

I/We confirm that during the last five years (from the date of this declaration), I/we have not been diagnosed with, or received active treatment, for any of the following conditions:

- Cancer
- Heart Disease
- Stroke
- Dementia &/or Alzheimer's
- Chronic Lung Condition

☐

I/We confirm that I/we have not been diagnosed with a terminal illness where a U.K. registered doctor has deemed the illness incurable or beyond further medical treatment, and is expected to result in death within 24 months from the date of diagnosis.

☐

Section 9 – Investor signature

To be completed by the investor(s) named in **Section 1**.

By signing this form, I HEREBY DECLARE THAT I:

- Have read and understand the current OITSPPlus brochure and the risk factors explained in it.
- Have read and understand the Terms and Conditions and agree to be bound by them.
- Have read and understand how we collect and use personal data at octopusinvestments.com/privacy-notice/.
- Have provided accurate information, to the best of my knowledge.
- I declare that I have answered the health declaration correctly to the best of my knowledge and belief. I accept that any incorrect information would affect my insurability under the cover provided.
- Have read and understood the Octopus policies regarding best execution, conflicts of interest and gifts and benefits, all available at octopusinvestments.com.
- Consent to Octopus providing information to my adviser until notified otherwise.
- Consent to Octopus facilitating my adviser's fees and charges as set out in **Section 5**.

First investor

Investor signature

Print name

Date signed (dd mm yyyy)

Second investor (if applicable)

Investor signature

Print name

Date signed (dd mm yyyy)

Applications signed by a Power of Attorney won't be accepted.



Before sending us your application, please review the quick checklist below to help us process your application as quickly as possible:

- ☐ You have completed the trust declaration in **Section 2**.
- ☐ You have arranged for payment as per **Section 3**.
- ☐ You have completed **Section 5** – Adviser charges.
- ☐ 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).We'll also need a copy of your passport (even if your adviser has completed **Section 6**), in advance of any future insurance claim.
- ☐ Your adviser has signed and dated where indicated in **Section 7**.
- ☐ You have completed the health declaration in **Section 8**.
- ☐ You have signed and dated where indicated in **Section 9**.
- ☐ Once completed, please email this to us at investorsupport@octopusinvestments.com, or post to:
Octopus Investments Limited
PO BOX 10847
Chelmsford
CM99 2BU

What happens next?

- 1 We'll send a confirmation when your application is complete.
- 2 Once your funds have been invested we will send you confirmation.
- 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.



0800 316 2295
investorsupport@octopusinvestments.com
[octopusinvestments.com](https://portal.octopusinvestments.com)



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