

Investment application form



How to complete this AIM Inheritance Tax Service application form

Before completing this application form, you should read the Octopus AIM Inheritance Tax Service 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**.

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		Second investor (if applicable)	
* Title (Mr/Mrs/Miss/Ms/Other)			
* First name(s)			
* Last name			
* Are you an existing Octopus investor?		* Are you an existing Octopus investor?	
Yes	No	Yes	No
* If you wish to add to an existing investment, please provide the portfolio number			
* Date of birth DD MM YYYY			
* 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 0800 316 2295 to find out which unique identifier code you will need to provide for us to process your application.	
* Telephone numbers		* Telephone numbers	
Country code Telephone number		Country code Telephone number	
Primary			
Secondary			
* National Insurance number			
* Email address			
* 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 document and verification of identity documents for each Attorney. In all cases Octopus will need to verify the identity of all Attorneys and may run electronic searches to do so.

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You can unsubscribe at any time. ☒ Yes ☐ No

Section 2 – About the investment

£ The minimum investment is £25,000

Cheque/banker's draft

Bank transfer

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).

If this is the first time we will be paying your company adviser charges, please contact us on **0800 316 2295** to arrange setting up payment details.

* **Title** (Mr/Mrs/Miss/Ms/Other)

* First name(s)

* Last name

* Telephone number

* 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

Please read the following text and then complete either 4.1, 4.2 or 4.3. Failure to complete this section correctly could result in delays to the investment. If you have any questions please call us on 0800 316 2295.

- If you have received financial advice for this investment then this is an 'advised investment'. Please complete **Section 4.1**.
- If you are not submitting your application through an adviser or intermediary then this is a 'direct investment'. Please complete **Section 4.2**.
- 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 4.3**.

Please note, if you are topping up, the ongoing adviser charge listed here will be applied across the whole portfolio.

4.1 This is an advised investment

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 charge agreed with your adviser is taken from your payment(s) and paid to your adviser before your funds are invested.

Initial adviser charge (tick one box only)

Fixed amount	£	OR	Percentage	%
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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	%
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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 quarterly by selling assets from your portfolio.

Please go straight to **Section 6**. Your adviser needs to sign the declaration in **Section 7**.

4.2 This is a direct investment. Please complete **Section 5**.

4.3 This is a non-advised investment through an intermediary

Initial commission: % Ongoing commission: %

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

Please complete **Section 5**.

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

Special instructions

Section 5 – Suitability and source of wealth

Only to be completed if this is a direct or non-advised investment through an intermediary i.e. you have ticked either 4.2 or 4.3, above.

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 from the Application Forms page of the Document Library at **octopusinvestments.com** or you can call **0800 316 2295** 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.

Earned income	Ownership in a company	Inheritance	Gifts	Sale of property	Investment proceeds	Other
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If other, please specify:

(In some cases, further information and documentary evidence may be required.)

Section 6 – 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.

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

First investor

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

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 **6.2** below.

Second investor (if applicable)

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

Yes – please complete **6.2** below.

Power of Attorney (if applicable)

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

Yes – please complete **6.2** below.

* 6.2 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

Investor name

Country

Taxpayer Identification Number (TIN)

TIN not available

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 9 suitability (strike through this bullet point if this is a non-advised investment).

Print name

Adviser/intermediary signature

*** 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:

1. Have read and understand the current Octopus AIM Inheritance Tax Service brochure and the risk factors explained in it.
2. Have read and understand the Terms and Conditions and agree to be bound by them.
3. Have provided accurate information, to the best of my knowledge.
4. Have read and understood the Octopus policies regarding best execution, conflicts of interest and gifts and benefits, all available at **octopusinvestments.com**.
5. Consent to Octopus providing information to my adviser/intermediary until notified otherwise.
6. Consent to Octopus facilitating my adviser's fees and charges as set out in **Section 4**.

First investor

Second investor (if applicable)

*** Investor name**

*** Investor/Attorney
signature**

*** Date signed**
DD MM YYYY



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 a payment as per **Section 2**.

You have completed **Section 4** – adviser/intermediary charges.

Unless this is a direct investment, your adviser or intermediary has signed and dated where indicated in **Section 7**.

You (or your Attorney) have signed the declaration in **Section 8**.

You have enclosed the necessary verification of identity documentation for each applicant, 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 direct investors, 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).

Once complete please send your completed application form to:

Octopus Investments Limited
PO BOX 10847
Chelmsford
CM99 2BU

What happens next?

- 1 As soon as we receive your application we will send you an acknowledgment.
- 2 We will invest your money in a portfolio of qualifying shares. It will usually take up to eight weeks for your money to be fully invested.
- 3 Once your funds have been invested we will send you valuation statements every quarter. 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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