

How to complete this form

This form is designed for investors who wish to transfer from an existing Octopus portfolio into a new product. Please complete all sections as directed. Once completed, you can email this to us at investorsupport@octopusinvestments.com, or post to: **Octopus Investments Limited, PO Box 10847, Chelmsford CM99 2BU.**

Some important information

- If you've updated any personal details, or your adviser has changed, please get in touch before submitting this form.
- Please ensure that you've read and understood the charges applicable to the new product.
- If you transfer from an ISA portfolio, you'll lose the ISA wrapper and its tax benefits.
- This transfer may incur tax charges and dealing fees.
- Joint portfolios can only be transferred to another joint portfolio. This form does not support transfers between joint and sole ownership.
- We'll need to run identity verification. If we require further documentation, we'll get in touch.

Section 1 – Transfer details

First investor

Title **First name(s)**

Last name

Second investor (if joint)

Title **First name(s)**

Last name

Portfolio reference(s)

If you enter more than one portfolio reference here, we'll automatically transfer all of them into a single new portfolio, or an existing one you've chosen.

Please transfer funds from the portfolio above on a one-off basis

Partial transfer £ OR %

OR

100% transfer

Name of the product you're transferring into

Octopus Inheritance Tax Service Octopus AIM Inheritance Tax Service Octopus AIM Inheritance Tax ISA

If you have an existing portfolio that you'd like the proceeds transferred into, please confirm the portfolio reference

Section 2 – Adviser charges (to be completed by the adviser/intermediary, if applicable)

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.

Keep the ongoing charges that are currently in place on my existing portfolio. No initial adviser charge will apply (note, this option isn't available for commission portfolios).

OR

Initial adviser charge (tick one box only)

Fixed amount £ OR Percentage %

Ongoing adviser charge (tick one box only)

Fixed amount per year £ OR Percentage %

Section 3 – Adviser declaration (to be completed by the adviser/intermediary, if applicable)

By submitting this form, I AGREE THAT:

- I have read and understand the Octopus Terms of Business for Intermediaries (where applicable).
- 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.

Adviser signature

Print name

Company name

Date signed (dd mm yyyy)

Individual FCA number

Company FCA number

Section 4 – Investor declaration

By signing this form, I HEREBY DECLARE THAT I:

- Have read and understand the relevant product brochure and the risk factors explained in it.
- Have read and understand the Terms and Conditions and agree to be bound by them.
- Have provided accurate information, to the best of my knowledge.
- 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 facilitating my adviser's fees and charges as set out in **Section 2**.
- Consent to Octopus providing information to my adviser until notified otherwise.

First investor

Investor/Attorney signature

Print name

Date signed (dd mm yyyy)

Second investor (if joint)

Investor/Attorney 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