Octopus Inheritance Tax Service

Top-up form

OITS

octopus investments
A brighter way

How to complete this Octopus Inheritance Tax Service top-up form

Before completing this top-up form, you should read the **Octopus Inheritance Tax Service** brochure. Please complete all sections as directed. Once completed, please post this form – along with your investment – to: **Octopus Investments Limited**, **PO Box 10847**, **Chelmsford CM99 2BU**.

This form will automatically cancel any existing commission arrangements that are in place for your portfolio. If you wish to maintain any existing commission arrangements, you will need to open a new portfolio to invest your top-up into. To do this you will need to complete a new application form.

You should speak to your financial adviser to understand how this applies to your personal circumstances and to agree how to proceed.

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.

Existing portfolio number

☐ This investment has a registered Power of Attorney in place

☐ This investment is held in trust

First investor

Title

First name(s)

Last name

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

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

Section 2 – Lump sum top-ups

Lump sum top-up amount

£ _____ The minimum amount you can top up is £10,000.

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

☐ **Bank transfer**

Please transfer your investment to the following account after first sending in your completed top-up 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 dealing fees before funds are invested. If you transfer from an ISA portfolio, you'll lose the ISA wrapper and its tax benefits.

My portfolio number is: _____

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/suitabilityquestionnaire** 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 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 **%**

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

Ongoing adviser charge (tick one box only)

☐ Keep my adviser's charges as they are (note, this is not available for commission portfolios). Please go to **Section 8** Declaration,

OR

☐ Amend my adviser's charges for the whole portfolio (this will supersede existing adviser charges/commissions):

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

Please note, any ongoing adviser charges provided here 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.

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

☐ **5.2 This is a direct investment**

Please complete **Section 3** and a suitability questionnaire.

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

Initial commission ____ **%**

Standard terms will apply if left blank. Commission should not exceed our standard terms, otherwise this form may be rejected. Please note, your ongoing commission will remain the same.

Please complete **Section 3** and a suitability questionnaire.

Please refer to the Octopus Inheritance Tax Service 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, or if **this application is a trustee case**, 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).

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/intermediary signature

Adviser/intermediary name

Job title

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/intermediary signature

Adviser/intermediary 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 9 suitability.

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:

- Have read and understand the current Octopus Inheritance Tax Service 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 or intermediary payment as set out in **Section 5**.

First investor

Investor/Attorney signature

Print name

Date signed (dd mm yyyy)

Second investor (if applicable)

Investor/Attorney signature

Print name

Date signed (dd mm yyyy)

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

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

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