

Octopus Titan VCT ISA application and ISA transfer form



How to complete this application form

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 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**.

Before completing this application form, you should read the prospectus dated November 2022, which includes the Terms and Conditions of the Offer. The Offer will close exactly a year after the prospectus open date unless the fundraising reaches capacity at an earlier date. You should also read the Octopus VCT Nominee Service Terms and Conditions.

Please note that HM Revenue & Customs (HMRC) places restrictions on buying and selling shares in the same VCT within a six-month period. This means that if you have sold, or will sell, existing shares in Octopus Titan VCT within the six months before or after this investment, you will not be able to claim any upfront tax relief.

Please note that Octopus Titan VCT ISA applications will not be allotted ahead of the ex-dividend date.

Section 1 – About the investor

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

* First name(s)

* Last name

* Are you an existing Octopus client? * Country of birth

Yes No

* Country(ies) of citizenship

* Nationality

* Date of birth DD MM YYYY

* National insurance number

* Telephone numbers Country code Telephone number

Primary:

Secondary:

* Email address

* Address

County

* Country

* Postcode

* 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 anytime by emailing **support@octopusinvestments.com**. Yes No

*To find out more about the businesses that make up the Octopus Group take a look at **octopusgroup.com/**. To learn more about how Octopus collects and uses personal data please visit **octopusinvestments.com/privacy-notice/**.

Section 2 – About the investment

*** Please provide the number and total value of existing ISA investments you would like to transfer into Octopus Titan VCT 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 transfer(s) must add up to at least the minimum investment of £3,000.

Please note, we can only accept the transfer of previous years' ISA subscriptions. Transfers which include your current year subscription will have to be returned to your previous ISA manager.

Section 3 – Dividend reinvestment or payment

*** Dividend reinvestment or payment?** (You must select one of these options)

Any dividends paid by the VCT can be reinvested as additional VCT shares, or received as cash payments into your bank account. Please select your preferred option. If you select the dividend payment option, please complete the bank details section as well. It's important to note that any dividends paid out into your bank account will subsequently fall outside of your ISA wrapper.

Reinvest dividends

By completing this section, you confirm that you've read and understood the Terms and Conditions of the Dividend Reinvestment Scheme as set out in annex 1 of the prospectus.

Please note that reinvested dividends will count towards your £200,000 annual VCT allowance – the amount on which you can claim tax relief.

Pay out dividends

Please provide details of the bank account you would like future dividends to be paid into (the bank account must be in your name).

Sort code

Account number

Account holder name

If you hold existing Octopus Titan VCT shares through your ISA, your instruction to reinvest or pay out dividends here overrides any previous dividend instructions you have given us relating to existing Octopus Titan VCT investments held through your ISA.

If you are a direct investor, please go straight to Section 5.3.

However, we always recommend you talk to a qualified financial adviser before making any investment decision.

Section 4 – Adviser/intermediary (to be completed by your adviser/intermediary)

Company

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

First name(s)

Last name

Telephone

* 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 payment

* What type of investment is this? (You must complete one section only)

All Octopus fees and charges are outlined in both the prospectus and the brochure. The VCT can also facilitate payments to your financial adviser/intermediary. Please complete either Section 5.1, 5.2, 5.3 or 5.4. Failure to complete one of these sections correctly could result in delays to your investment. If you have any questions, please call us on **0800 316 2295**.

If fields are left blank in the completed section, a 0% charge or commission will apply. Commission and charges should not exceed our standard terms (given in the Octopus Titan VCT brochure and prospectus), otherwise this form may be rejected.

5.1 This is an advised investment with an initial adviser charge and/or an ongoing adviser charge

Please indicate the level of initial charges and/or ongoing charges you have agreed with your adviser. If you have agreed with your adviser that you are not paying the maximum available adviser charge, the remaining amount will be rebated to you as additional shares, as outlined in the prospectus.

To my adviser:

Initial: % (maximum available charge of 2.5%)

Ongoing: % (maximum available charge of 0.5%)

Please go straight to **Section 7** – Tax residency status.

5.2 This is an advised investment with an initial adviser charge and no ongoing adviser charge

Please indicate the level of initial adviser charge you have agreed with your adviser. If you have agreed that you are not paying the maximum available adviser charge, the remaining amount will be rebated to you as additional shares, as outlined in the prospectus.

To my adviser:

Initial: % (maximum available charge of 4.5%)

Please go straight to **Section 7** – Tax residency status.

5.3 This is a direct investment with no adviser or intermediary involvedPlease complete **Section 6** – Source of wealth.**5.4 This is a non-advised investment through an intermediary and you have not received financial advice**

Initial commission: % Ongoing commission: %

If your execution-only intermediary chooses not to take the full upfront commission, the difference will instead be used to purchase additional VCT shares for you.

Please complete **Section 6** – Source of wealth.**Special instructions****Section 6 – 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 5.3 or 5.4.****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
If other, please specify

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

Section 7 – Tax residency status

*** 7.1** We are legally required to collect information about the tax residency and classifications of each investor. This information may be shared with HMRC, and may be transferred to the government of another territory in accordance with relevant agreements. For further information, please visit octopusinvestments.com/reportingforms.

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

No – tick this box and please go straight to **Section 8 – Investor declaration**.

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 – tick this box and please complete the table below.

7.2 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, 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**

Section 8 – Investor declaration

By signing this form, I HEREBY DECLARE THAT:

1. My decision to invest has been made on the basis of the information in the Octopus Titan VCT prospectus, Key Information Document (KID) and the Octopus VCT Nominee Service Terms and Conditions. Please visit **octopusinvestments.com/titan/** to access these documents.
2. I have read and understood the Octopus policies regarding best execution, conflicts of interest and gift and benefits, all available at **octopusinvestments.com**.
3. I have provided accurate information, to the best of my knowledge.
4. I consent to Octopus providing information to my adviser (where relevant) until notified otherwise.
5. I consent to Octopus facilitating my adviser's fees and charges (where relevant) as set out in **Section 5**.
6. I am resident in the UK for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform Octopus Investments Limited if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties.
7. I understand that Octopus Investments Limited accepts no responsibility for any loss incurred as a result of any delay between my submission and Octopus Investments Limited's receipt of the application form.
8. I hereby authorise Octopus Investments Limited to be my ISA manager and directly, or through its appointed Nominee, to hold my cash subscription, ISA investments, interest, distributions and any other rights or proceeds in respect of those investments and any other cash, to make on my behalf any claims to relief from tax in respect of ISA investments and on my written request to transfer or pay to me, as the case may be, ISA investments, interest, distributions, rights or other proceeds in respect of such investments or any cash.
9. Where I invest using funds withdrawn from another Octopus account, I am aware that the withdrawal may incur tax charges or other charges before the funds are invested in my ISA.

* **Investor name**

* **Investor signature**

* **Date signed** DD MM YYYY

Please continue to authorisation to transfer from another provider

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Please continue to next section

Authorisation to transfer from another provider

Use this form to transfer an existing ISA into Octopus Titan VCT ISA. If you are transferring more than one ISA, please complete a new authorisation form for each ISA you are transferring. **This form should be used in conjunction with the Octopus Titan VCT ISA application and ISA transfer form.** Go to octopusinvestments.com/resources/applications to download additional copies of this form. **Please complete all fields.**

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 2 – Authorisation to transfer from another provider

I have a (tick one box only) ☐ Stocks and shares ISA, **OR** ☐ Cash ISA

Please transfer my ISA (please note we only take transfers from previous tax years)

In full * **Estimated value of transfer** £

In part – please complete the below section, and check with your existing ISA manager that they can accommodate a partial transfer.

ISA INVESTMENTS TO BE TRANSFERRED IN PART

Please transfer % of my total ISA holding, OR please transfer specific tax years as detailed below.
Please note we only take transfers from previous tax years e.g. 2020/21 or earlier.

1. / 2. / 3. / 4. /

Section 3 – Details of current ISA manager

* **Company**

* **Account number of the ISA to be transferred**

Sort code (If your ISA is held by a bank) * **Telephone number**

* **Address**

* **Country**

* **Postcode**

Section 4 – Transfer instruction

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.

* **Applicant signature**

* **Date signed** DD MM YYYY

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Authorisation to transfer from another provider

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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 2 – Authorisation to transfer from another provider

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*** Applicant signature**

*** Date signed** DD MM YYYY

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

You've provided the number of ISA transfers and the estimated total amount as per **Section 2** of the **Octopus Titan VCT ISA application and ISA transfer form**.

You've signed and dated where indicated in **Section 8** of the **Octopus Titan VCT ISA application and ISA transfer form**.

You've signed and dated where indicated in **Section 4** of the **authorisation to transfer from another provider form**.

Once completed, please send your application form to:

Octopus Investments Limited
PO BOX 10847
Chelmsford
CM99 2BU

What happens next?

- 1 We'll let you know when we've received your application form and then when we've received your funds from your current ISA provider, and if we need any further information from you.
- 2 After that, we will allot your VCT shares at the next available date. These dates are usually listed on our website. This process can take several months.
- 3 We'll write to you to let you when your shares have been allotted.
- 4 You will then receive your income tax certificates along with access to a guide that explains how to claim your income tax relief. This will be sent by the VCT's registrar, Computershare. Usually this will happen within 21 working days of the allotment. We'll hold your VCT shares electronically in an ISA using a nominee account, so you won't receive a share certificate.

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



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Octopus Investments
PO Box 10847
Chelmsford CM99 2BU