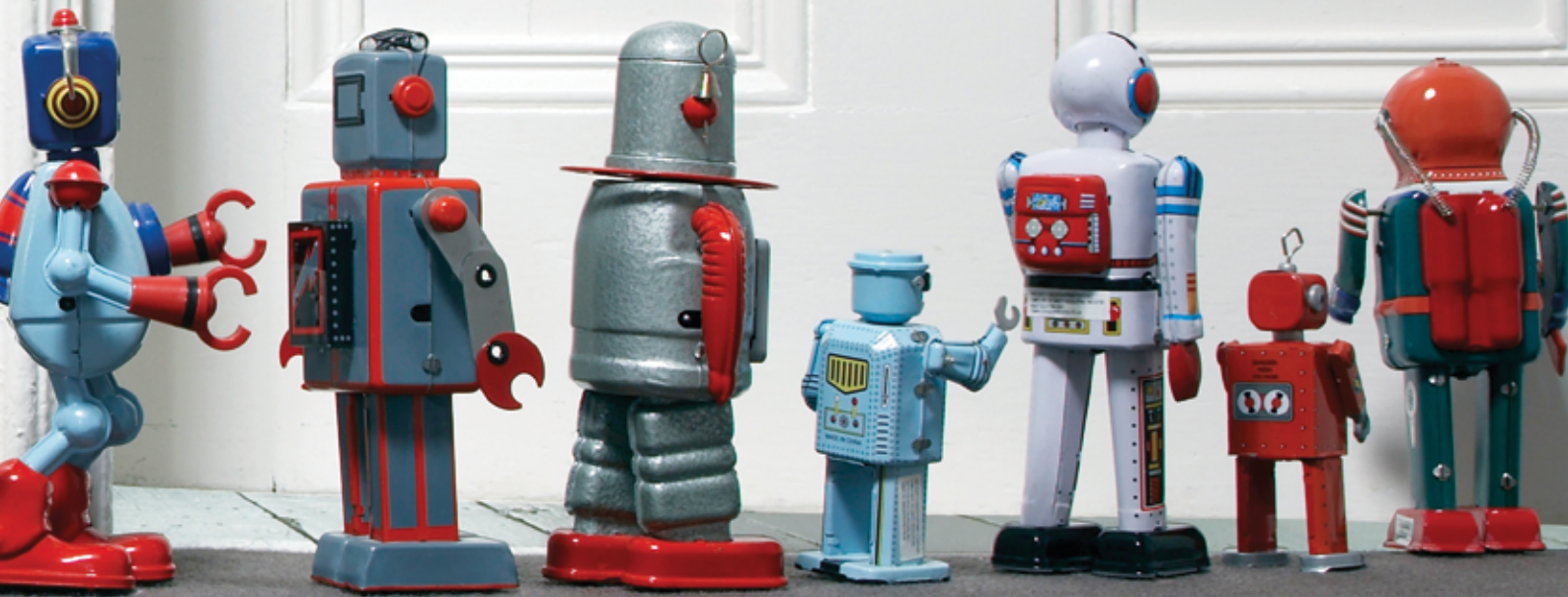


Apply
online

Application and ISA transfer form



How to complete this application form

Before completing this application form, you should read the Octopus AIM Inheritance Tax ISA 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

* **Title** (Mr/Mrs/Miss/Ms/Other) * **First name(s)**

* **Last name**

* **Are you an existing Octopus client?** If you are adding to an existing Octopus AIM IHT ISA, please provide the portfolio number here
Yes No

* **Date of birth** DD MM YYYY

* **National Insurance number**

* **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** Country code Telephone number

Primary:

Secondary:

* **Email address**

* **Primary 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.

* 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 at any time. Yes No

*To find out more about the businesses that make up the Octopus Group, take a look at www.octopusinvestments.com/privacy-policy

Section 2 – About the investment

* Are you making a new ISA subscription?

No Yes – amount £

Your ISA subscription and/or transfer(s) must add up to at least the minimum investment of £20,000. But please note that your ISA subscription amount cannot exceed the maximum ISA allowance for the tax year.

The minimum amount for topping up your existing Octopus AIM Inheritance Tax ISA is also £20,000.

* Please specify which tax year this subscription applies to (e.g. 2021/2022)

/

* Cheque/banker's draft, bank transfer or transfer of funds? (tick one box only)

Cheque/banker's draft

Please enclose a cheque from a personal account, made payable to 'Octopus Investments Client Money Account'. We do not accept cheques from business accounts, third parties (including your spouse) or post-dated cheques. Banker's drafts or building society cheques must specifically mention the investor's name.

Bank transfer

Please transfer your investment to the following account after first sending in your completed application form and identification, making sure that you **reference the payment with your name**:

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).

Transfer of funds

Please transfer funds from another Octopus portfolio, account number _____ on a one-off basis. I am aware this may incur tax charges before funds are invested in my ISA.

Do you want to transfer any existing ISA investments with other providers into your Octopus AIM Inheritance Tax 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 subscription and/or transfer(s) must add up to at least the minimum investment of £20,000.

* Do you want to take out a fixed amount from your portfolio as a regular withdrawal?

No Yes – regular withdrawals can only be paid into a bank account. Make sure you've entered your account details below.

How much do you want to withdraw? £ Starting from (MM YYYY)

How often would you like the above amount to be paid? Monthly Quarterly Semi-annually Annually

Please give us details of the bank account you would like any future proceeds and/or regular withdrawals to be paid into

Account name

Bank or building society name

Account number

Sort code

Branch address

Country

Postcode

Section 3 – 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 2295** to arrange setting up payment details.

*** Company**

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

*** First name**

*** 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**

Section 4 – Adviser/intermediary charges

*** What type of investment is this?**

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 agreed that Octopus will not facilitate charges to your adviser, then please leave this section blank. For each payment type ticked, choose either fixed amount or percentage.

Initial adviser charge

ISA subscription	Fixed amount £	OR	Percentage	%
Transfers	Fixed amount £	OR	Percentage	%

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

Any initial adviser charge agreed with your adviser will be taken from your ISA subscription before your funds are invested. The amount of your ISA subscription cannot exceed the maximum ISA allowance for that tax year to facilitate initial charges.

Ongoing adviser

Fixed amount per year £ OR Percentage %

Please note if you are adding to an existing Octopus AIM Inheritance Tax ISA, any ongoing adviser charges noted here will replace any existing arrangements.

Your adviser needs to sign the declaration in **Section 6**.

4.2 This is a direct investment

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/aimisa-questionnaire/, or you can call us on **0800 316 2295** for a copy.

Initial commission

4.3 This is a non-advised investment through an intermediary

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/aimisa-questionnaire/, or you can call us on **0800 316 2295** for a copy.

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

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

Special instructions

Section 5 – Tax Residency Status

*** 5.1** 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.

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

No – please tick this box and go straight to **Section 6**.

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 **5.2** below.

Or

Are you acting as Power of Attorney?

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

Yes – please complete **5.2** below.

5.2 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.

Country

Taxpayer Identification Number (TIN)

TIN not available

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 6 – 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 9A suitability (strike through this bullet point if this is a non-advised investment).

Print name

Adviser/intermediary signature

Date signed DD MM YYYY

Section 7 – Investor declaration

To be completed by the investor named in Section 1, or registered Attorney(s)

By signing this form I HEREBY DECLARE THAT:

1. I have read and understand the current Octopus AIM Inheritance Tax ISA brochure and understand the risk factors explained in it.
2. I have read and understand the Terms and Conditions and agree to be bound by them.
3. I have provided accurate information, to the best of my knowledge.
4. I have read and understood the Octopus policies regarding best execution, conflicts of interest and gift and benefits, all available at **octopusinvestments.com**.
5. I consent to Octopus facilitating the fees and charges to my adviser as previously agreed, as per **Section 4**.
6. All subscriptions made, and to be made, belong to me.
7. I am 18 years of age or over.
8. Where I am making an ISA subscription, I have not subscribed and will not subscribe to another Stocks and Shares ISA in the same year that I subscribe to this ISA. I have not subscribed, and will not subscribe, more than the appropriate overall subscription limit in a Cash ISA and a Stocks and Shares ISA in the same tax year.
9. Where I am making a transfer, I understand that Octopus Investments accepts no responsibility for any loss incurred as a result of any delay between my submission and Octopus Investments' receipt of the application form.
10. I am resident in the United Kingdom 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.
11. 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.
12. 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.
13. (For applications under Power of Attorney) I am authorised to act on behalf of the investor, and the investor is not able to complete the application form by reason of:
 - mental disorder or incapacity, or
 - physical disability, illness or old age, or
 - he or she is a member of the armed forces on active service in a war zone

*** Investor name**

*** Investor/Attorney signature**

Date signed DD MM YYYY

Authorisation to transfer from another provider

You can use this form to transfer an existing ISA into your Octopus AIM Inheritance Tax ISA. If you are transferring more than one ISA, please complete a new authorisation form for each ISA you are transferring. **This form must be used in conjunction with either the full Octopus AIM Inheritance Tax ISA application form or top-up form, depending on whether you are opening a new portfolio or adding to your existing investment. Please complete all fields.**

Go to octopusinvestments.com/resources/applications/ to find copies of these forms.

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 2a – Authorisation to transfer your ISA in full

I have a (tick one box only)

Stocks and Shares ISA OR

Cash ISA

Please transfer

Estimated value of transfer £

If you'd like to transfer your ISA in part, please complete **Section 2b**.

Section 2b – Authorisation to partially transfer your ISA

Please transfer

% of my total ISA holding

OR

please transfer specific tax years as detailed below.

Tax year (e.g. 2022/23)

/

|

/

/

Specific value of partial transfers £

£

£

Please choose how you would like your current ISA funds to be sold down

Sell proportionally across all funds (excluding suspended funds)

OR

Sell from the specific funds below

Fund name

% of my holding

OR

Amount of shares

Fund name

% of my holding

OR

Amount of shares

Fund name

% of my holding

OR

Amount of shares

Fund name

% of my holding

OR

Amount of shares

Fund name

% of my holding

OR

Amount of shares

Section 3 – Details of current ISA Manager

Company name

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

Authorisation to transfer from another provider

You can use this form to transfer an existing ISA into your Octopus AIM Inheritance Tax ISA. If you are transferring more than one ISA, please complete a new authorisation form for each ISA you are transferring. **This form must be used in conjunction with either the full Octopus AIM Inheritance Tax ISA application form or top-up form, depending on whether you are opening a new portfolio or adding to your existing investment. Please complete all fields.**

Go to octopusinvestments.com/resources/applications/ to find copies of these forms.

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 2a – Authorisation to transfer your ISA in full

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Please transfer

Estimated value of transfer £

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Section 2b – Authorisation to partially transfer your ISA

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% of my total ISA holding OR

please transfer specific tax years as detailed below.

Tax year (e.g. 2022/23)

/

|

/

/

Specific value of partial transfers £

£

£

Please choose how you would like your current ISA funds to be sold down

Sell proportionally across all funds (excluding suspended funds) OR

Sell from the specific funds below

Fund name

% of my holding OR

Amount of shares

Fund name

% of my holding OR

Amount of shares

Fund name

% of my holding OR

Amount of shares

Fund name

% of my holding OR

Amount of shares

Fund name

% of my holding OR

Amount of shares

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Company name

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

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Applicant 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:

Unless this is a direct investment, your adviser or intermediary has signed and dated where indicated in **Section 6**.

You (or your Attorney) have signed the declaration in **Section 7**.

You have enclosed the necessary verification of identity documentation 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 a direct investor or this is a non-advised investment, you have completed and enclosed the client suitability questionnaire (available at [octopusinvestments.com](https://www.octopusinvestments.com) or you can call **0800 316 2295** for a copy).

If you are transferring from another provider, you have completed the 'Authorisation to transfer from another provider' form.

Once complete please send your completed application form to:

Octopus Investments Limited
PO Box 10847
Chelmsford
CM99 2BU

What happens next?

- 1 We will send you an acknowledgement that we have received your application, and will request any transfer of funds from your current ISA manager(s).
- 2 We will start investing your funds as soon as we receive the minimum investment amount. It can take up to eight weeks until your money is fully invested.
- 3 We will send you confirmation once your funds have been invested.
- 4 We will send you a quarterly report on your portfolio. 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

Issued by Octopus Investments Limited, which is authorised and regulated by the Financial Conduct Authority. Registered office: 33 Holborn, London, EC1N 2HT. Registered in England and Wales No. 03942880. We record telephone calls. Issued: March 2023. CAM010789-2303