

Octopus adviser amendment form

This form allows you to change:

- Your adviser, or
- An existing adviser charging arrangement, or
- From commission to adviser charges

The instructions you give in this form:

Replace any previous instructions given to us, and will remain in place until you tell us otherwise. Once we have made a payment to your adviser it is not possible to cancel the instruction to make that payment.

This form cannot be used to make a new investment.

To make an investment, please complete the relevant application form.

The form has 7 sections:

1. About the investor(s)
2. About the adviser/intermediary
3. Change adviser/intermediary for all investments
4. Amendments to non-VCT investments' charging arrangements
5. Amendments to VCT investments' charging arrangements
6. Adviser declaration
7. Investor declaration

How to complete the form

- Write in BLOCK CAPITALS and use BLACK ink
- Tick the boxes that apply, like this:
- Leave the boxes blank where they don't apply to you
- Check that you have answered all the questions that apply to you, giving as much information as possible
- Fields marked with a * are mandatory fields

Please note: Octopus is unable to facilitate adviser charges on VCT investments and Octopus EIS/Protected EIS investments where the investment is currently on a commissions charging basis.

Please contact Octopus for further information.

Once completed please send to:

Octopus Investments Limited
PO Box 10847
Chelmsford
CM99 2BU

Section 1 – About the investor(s)

	Primary investor	Secondary investor (if applicable)
* Title (Mr/Mrs/Miss/Ms/Other)	<input type="text"/>	<input type="text"/>
* First name(s)	<input type="text"/>	<input type="text"/>
* Last name	<input type="text"/>	<input type="text"/>
* Date of birth DD MM YYYY	<input type="text"/>	<input type="text"/>
* Telephone numbers	Home: <input type="text"/> Mobile: <input type="text"/>	Home: <input type="text"/> Mobile: <input type="text"/>
* Address	<input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/>
* Country	<input type="text"/>	<input type="text"/>
* Postcode	<input type="text"/>	<input type="text"/>
* National Insurance number	<input type="text"/> <input type="checkbox"/> Tick here if you don't have a National Insurance Number	<input type="text"/> <input type="checkbox"/> Tick here if you don't have a National Insurance Number
* Email address	<input type="text"/>	<input type="text"/>

Section 2 – About the adviser/intermediary (to be completed by the adviser/intermediary)

* Company																				
* Title (Mr/Mrs/Miss/Ms/Other)					* First name(s)															
* Last name																				
* Telephone number																				
* Email address																				
* Address																				
									* Postcode											
* Company FCA number										* Adviser FCA number										
* Are you part of a network/service provider?	<input type="checkbox"/> No <input type="checkbox"/> Yes – please give us the network/service provider name																			

Section 3 – Change adviser/intermediary for all investments

Please transfer the **authority** of **all my investments** in Octopus products to my new adviser/intermediary, who is named in section 2 above, including any trail commission and/or adviser charging arrangements.

Please complete **Sections 4** and **5** below to change the **adviser** charges for one or more investments.

If you do not need to amend any charges please go to **Section 6**.

Section 4 – Changes to non-VCT investments' adviser charging arrangements

This section allows you to amend charges for individual non-VCT investments.

Portfolio number	Ongoing adviser charges			
		Fixed amount per year	or	Percentage
	£		or	%
	£		or	%
	£		or	%
	£		or	%
	£		or	%
	£		or	%
	£		or	%
	£		or	%

Section 5 – Changes to VCT investments' adviser charging arrangements

This section allows you to amend charges for individual VCT investments.
 Ongoing adviser charges can only be set up for investments with existing ongoing adviser charge arrangements.
 If you have investments with existing ongoing adviser charge arrangements and do not specify new charges below, we will assume you want the full 0.5% allocated to you as additional shares.

VCT name	Ongoing adviser charges		= 0.5%
	To my adviser	To me as additional shares	
<input type="text"/>	<input type="text"/> %	+ <input type="text"/> %	= 0.5%
<input type="text"/>	<input type="text"/> %	+ <input type="text"/> %	= 0.5%
<input type="text"/>	<input type="text"/> %	+ <input type="text"/> %	= 0.5%
<input type="text"/>	<input type="text"/> %	+ <input type="text"/> %	= 0.5%
<input type="text"/>	<input type="text"/> %	+ <input type="text"/> %	= 0.5%
<input type="text"/>	<input type="text"/> %	+ <input type="text"/> %	= 0.5%
<input type="text"/>	<input type="text"/> %	+ <input type="text"/> %	= 0.5%
<input type="text"/>	<input type="text"/> %	+ <input type="text"/> %	= 0.5%

Section 6 – Adviser declaration

By submitting this form, I AGREE THAT:

- I have read and understand the Octopus Terms of Business for Intermediaries (available at octopusinvestments.com)
- 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 will be providing an ongoing service to the investor
- I confirm that I will continue to satisfy the requirements of COBS 9 suitability with this client's investment(s) where relevant
- I have informed the investor of any changes to Octopus annual management charges (as defined in the latest product brochures)
- If re-registering adviser charges, I have disclosed the level of adviser charges to the investor
- If re-registering trail commission:
 - I have not provided any advice that would cause this to become legacy commission under the RDR rules
 - I have disclosed the level of commission to the investor
 - There are no contractual reasons (e.g. restrictive covenants) that would prevent the re-registration

* Adviser name

* Adviser signature

* Date
 DD MM YYYY

Section 7 - Investor declaration

• I/we instruct Octopus Investments to pay the fee(s) detailed in this form to my/our adviser/intermediary, who is named in section 2 above, from the date that Octopus receives this form.

	Primary investor	Secondary investor (if applicable)
* Investor name	<input type="text"/>	<input type="text"/>

* Investor signature	<input type="text"/>	<input type="text"/>
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* Date signed	<input type="text"/>	<input type="text"/>
DD MM YYYY		

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 questions, please call us on **0800 316 2295**. We're always happy to hear from you.



0800 316 2295
clientrelations@octopusinvestments.com
octopusinvestments.com



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