

# Investment application form



# How to complete this Octopus Inheritance Tax Service application form

Before completing this application form, you should read the Octopus Inheritance Tax Service 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](http://apply.octopusinvestments.com).

## 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.

### First investor

### Second investor (if applicable)

**\* Title**

(Mr/Mrs/Miss/Ms/Other)

**\* First name(s)**

**\* Last name**

**\* Are you an existing Octopus investor?**

Yes

No

Yes

No

**\* If you wish to add to an existing investment, please provide the portfolio number**

**\* Date of birth**

DD MM YYYY

**\* 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**

Country code Telephone number

Country code Telephone number

Primary

Secondary

**\* National Insurance number**

**\* Email address**

**\* Address**

**\* Country**

**\* Postcode**

**\* Is there a Power of Attorney registered with us currently?**

Yes

No

If you need to register an Attorney(s), you'll need to complete our Registering a Power of Attorney pack. We'll also require 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.

Please call us on **0800 216 2295** for a copy of the pack.

**\* 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](http://www.octopusinvestments.com/privacy-policy).

## Section 2 – About the investment

### \* How much are you investing?

£  The minimum investment is £25,000

### \* Bank transfer or cheque/banker's draft (tick one box only)

#### Bank transfer

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

Account name:	Octopus Investments Client Money Account		
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 or third parties (including your spouse if they are not a joint applicant)).

#### 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 your spouse if they are not a joint applicant) or post-dated cheques. Banker's drafts and building society cheques must specifically mention the investor's name.

### \* Would you like to take a regular withdrawal from your portfolio?

No, please continue to **Section 3**

Yes, please specify a fixed amount £

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

(Annual payments are made every March, semi-annual payments are made every March and September and quarterly payments are made every March, June, September and December).

Please note, instructions given here will override any existing arrangement you may have. If you would like your existing arrangement to remain, leave this section blank.

### \* Please give us details of the bank account you would like future withdrawal proceeds to be paid into

**Account name**

**Bank or building society name**

**Account number**

**Sort code**

**Branch address**

**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 2067** to arrange setting up payment details.

**\* Company**

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

**\* First name(s)**

**\* 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 2067.

- 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 initial commission due will be paid by Octopus. Ongoing annual payments will be paid by selling shares from your portfolio. 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 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	%
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If no option is selected from the above no initial adviser charge will be applied.

**Ongoing adviser charge** (tick one box only)

Fixed amount per year	£	OR	Percentage	%
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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 assets from your portfolio.

Please go straight to **Section 6**. Your adviser needs to sign the declaration in **Section 8**.

#### 4.2 This is a direct investment. Please complete **Section 5** and a suitability questionnaire.

#### 4.3 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.

Ongoing payment 0.5%. We will make this payment twice a year (typically in January and July) by selling assets from your portfolio.

Please complete **Section 5** and a suitability questionnaire.

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

#### Special instructions

## Section 5 – Suitability and 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 4.2 or 4.3, above.

#### 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](https://octopusinvestments.com/suitabilityquestionnaire) or you can call 0800 316 2295 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.

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 6 – Tax Residency Status

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](https://www.octopusinvestments.com/reportingforms).

### \* 6.1 Are you tax resident, or do you complete tax returns, in any country other than the UK?

#### First investor

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

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 **6.2** below.

#### Second investor (if applicable)

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

Yes – please complete **6.2** below.

### 6.2 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.

Investor name

Country

Taxpayer Identification Number (TIN)

TIN not available

Investor name

Country

Taxpayer Identification Number (TIN)

TIN not available

Investor name

Country

Taxpayer Identification Number (TIN)

TIN not available

Investor name

Country

Taxpayer Identification Number (TIN)

TIN not available

Investor name

Country

Taxpayer Identification Number (TIN)

TIN not available



## Section 7 – Identity verification

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 joint, trustee case or a joint life 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).

**Print name**

**Job title**

**Adviser/intermediary signature**

**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 8 – 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 investor(s) that satisfies the requirements of COBS 9A suitability (strike through this bullet point if this is a non-advised investment).

**\* Adviser/intermediary name**

**\* Adviser/intermediary signature**

**\* Date signed** DD MM YYYY

## Section 9 – 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:

1. Have read and understand the current Octopus Inheritance Tax Service brochure and the risk factors explained in it.
2. Have read and understand the Terms and Conditions and agree to be bound by them.
3. Have provided accurate information, to the best of my knowledge.
4. Have read and understood the Octopus policies regarding best execution, conflicts of interest and gifts and benefits, all available at **octopusinvestments.com**.
5. Consent to Octopus providing information to my adviser until notified otherwise.
6. Consent to Octopus facilitating my adviser's fees and charges or intermediary payment as set out in **Section 4**.

#### \* First investor

\* Investor/Attorney signature

\* Date signed DD MM YYYY

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#### Second investor (if applicable)

Investor/Attorney signature

Date signed DD MM YYYY





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

You have arranged for payment as per **Section 2**.

You have completed **Section 4** – adviser/intermediary charges.

Unless this is a direct investment, your adviser has signed and dated where indicated in **Section 8**.

You (or your Attorney) have signed and dated where indicated in **Section 9**.

Your adviser has completed **Section 7**, **OR** you have enclosed the necessary verification of identity documentation:

- an Identity Verification Certificate **OR** one each of the following;
- a copy of identification (your passport or driving licence) **PLUS**;
- a copy of proof of address (driving licence; or bank statement/utility bill (not mobile phone bill) and no older than three months).

If you are acting under a Power of Attorney, you have provided:

- A completed Registering a Power of Attorney pack (please call us on **0800 316 2295** for a copy).
- 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).
- A certified copy of identification (passport or driving license) **AND** a certified copy of proof of address (driving license, bank statement or recent utility bill (excluding mobile phone) for each attorney.

If you are direct investors, or this is a non-advised investment, you have completed and enclosed the client suitability questionnaire (call **0800 316 2295** or email **investorsupport@octopusinvestments.com** for a copy).

Once complete please send your completed application form to:

**Octopus Investments Limited**  
**PO BOX 10847**  
**Chelmsford**  
**CM99 2BU**

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## What happens next?

- 1 We'll send a confirmation when your application is complete, and your funds will be invested as quickly as possible, usually within one week.
- 2 Once your funds have been invested we will send you confirmation.
- 3 You will receive a valuation statement every quarter. You can track your investment(s) at any time by visiting **portal.octopusinvestments.com**.

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0800 316 2295  
investorsupport@octopusinvestments.com  
**octopusinvestments.com**



**Send completed form to:**

Octopus Investments  
PO Box 10847  
Chelmsford CM99 2BU

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