Octopus AIM Inheritance Tax Service

# Top-up form

octopus investments

A brighter way

## How to complete this application form

Before completing this application form, you should read the Octopus AIM 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**.

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.

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## Section 1 – About the investor(s)

* **Existing portfolio number**

☐ This investment has a registered Power of Attorney in place. ☐ This investment is held in trust.

| | **First investor** | | **Second investor** (if applicable) | |
|---|---|---|---|---|
| * **Title** (Mr/Mrs/Miss/Ms/Other) | | | | |
| * **First name(s)** | | | | |
| * **Last name** | | | | |
| * **Date of birth** DD MM YYYY | | | | |
| * **Country of birth** | | | | |
| * **Country(ies) of citizenship** | | | | |
| * **Nationality** | | | | |
| * **Telephone numbers** | Country code | Telephone number | Country code | Telephone number |
| Primary | | | | |
| Secondary | | | | |
| * **National Insurance number** | | | | |
| * **Email address** | | | | |
| * **Address** | | | | |
| * **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 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 – Lump sum top-ups

* **Lump sum top-up amount £** ______ The minimum amount you can top up is £20,000.

* **Cheque/banker's draft or bank transfer** (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 if they are not a joint applicant) or post-dated cheques. Banker's drafts or building society cheques must specifically mention the investors' name.

☐ **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 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).

## 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** | *** Company FCA number** | *** Adviser FCA number**

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

*** Telephone number** | *** Email address**

*** Address**

*** Country** | *** Postcode**

*** 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 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)

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

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 quarterly by selling assets from your portfolio.

Please go straight to **Section 6**, where your adviser needs to sign the declaration.

**4.2** ☐ **This is a direct investment**. Please complete **Section 5**.

**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. Please note, your ongoing commission will remain the same.

Please complete **Section 5**.

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

**Special instructions**



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## 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 from the Application Forms page of the Document Library at **octopusinvestments.com** 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 – Adviser declaration

**Only to be completed if this is an advised investment. 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 signature**

*** Print name**

*** Date signed** DD MM YYYY

## Section 7 – Investor declaration

To be completed by the investor(s) 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 AIM 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 facilitating my adviser's fees and charges as set out in **Section 4**.

| | **First investor** | **Second investor** (if applicable) |
|---|---|---|
| *** Investor name** | | |
| *** Investor/Attorney signature** | | |
| *** Date signed** 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 other questions about the Octopus AIM Inheritance Tax Service, 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: May 2024.
CAM012827-2405



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