

FP Octopus Investments UCITS
Funds
ISA Transfer Application Form

For completion by the introducing intermediary
(if applicable)

Advised Investment*

Non-advised Investment*

*Please tick as appropriate

Please ensure you complete this ISA transfer application form fully, including:

- Signing the “Declaration” on page 7, having read the terms and conditions;
- The “Politically Exposed Person” section on page 9;
- The transfer authority (or multiple transfer authorities, if you wish to transfer ISAs from multiple different providers) on pages 11 to 12;
- Finally, please read the checklist entitled “Please make sure you have” on page 10.

If you have elected to take up a monthly savings plan, please also complete and return the Direct Debit mandate to us which may be found at the back of this application form.

Please return your completed application form to: FundRock Partners Limited – Octopus, PO Box 10359, Chelmsford, CM99 2AW

1. Personal Details (BLOCK CAPITALS please)

Title	Surname
Forename(s)	
Permanent Residential Address	
Postcode	
National Insurance Number*	
Telephone (daytime)	
Telephone (evening)	
Date of Birth	
Email address**	

If you do not have a National Insurance Number, please tick this box

*Your National Insurance Number (NINO), or National Pension Number and Date of Birth must be quoted. Your NINO should be available on either your payslip, form P45 or P60, a letter from HM Revenue & Customs (or DWP), or on your pension order book.

**By providing an email address above or otherwise to FundRock Partners Limited, the applicant (i) agrees to receive various fund documents at the email address specified above, from the ACD from time to time and (ii) undertakes to keep FundRock Partners Limited informed of any change to such email address. The applicant may at any time request a hardcopy of any such communications and/or revoke (or have an authorised signatory revoke), in writing or other authorised manner, the consent given to receive such information electronically.

2. Investment Details

I apply to transfer my existing ISA(s) (and subscribe to a **FundRock Partners Stocks and Shares ISA** for the **20 / 20** tax year and each subsequent year until further notice*). (PLEASE COMPLETE THE TAX YEAR).

Please note that full information concerning the latest HMRC ISA rules and the maximum subscription for the current tax year can be found at www.gov.uk/individual-savings-accounts**

Investors should read the prospectus of FP Octopus Investments UCITS Funds (the “**Company**”) (the “**Prospectus**”), as well as the UCITS Key Investor Information Document and Supplementary Information Document for the relevant sub-fund(s) (“**Fund**”) before making an investment decision. Your rights and duties as well as your legal relationship with the Company are set out in the Prospectus. For a copy of the Prospectus, please write to FundRock Partners Limited – Octopus, PO Box 10359, Chelmsford, CM99 2AW or visit www.fundrock.com for details of how you can contact us.

Investors may invest either on a lump sum basis or via a regular savings plan. Please complete the relevant column below as per your investment preference in respect of the relevant share class of each Fund.

Fund	Share Class and Type (Minimum initial investment)	Investment of Transfer Proceeds	Lump Sum	Regular Monthly Savings Plan*** (a minimum investment of £100 per month applies if you are investing in one Fund only. If you are investing in multiple Funds, the minimum investment per month is £50 per Fund and £100 per month overall (i.e. across all Funds))
		% of Transfer Value to be Invested		
FP Octopus UK Future Generations Fund	C Class Accumulation GBP (£1,000)	% £		£
	C Class Income GBP (£1,000)	% £		£

FP Octopus UK Micro Cap Growth Fund	P Class Accumulation GBP (£1,000)	%	£	£
	P Class Income GBP (£1,000)	%	£	N/A
FP Octopus UK Multi Cap Income	I Class Accumulation GBP (£1,000)	%	£	£
	I Class Income GBP (£1,000)	%	£	£
Total Investment Amount		%	£	£

* If you want to transfer your existing ISA(s) but do not want to subscribe to an ISA for the current tax year please delete the wording marked with an asterisk.

** You can invest up to your ISA limit in a stocks and shares ISA with one provider, or you can split this amount between a stocks and shares ISA and a cash ISA with the same or different providers. Please ensure your contributions don't exceed the annual limits. This application is only for a stocks and shares ISA.

*** Collection date for regular monthly savings plan is the 10th of the month or the next business day if the 10th is not a business day.

3. Income Payments – to be completed if investing in Income Shares only

Holders of Income Shares are entitled to be paid the distributable income attributed to those Shares on any relevant interim and annual allocation dates.

Income arising to your Income Shares will be paid as a Direct Credit directly into your bank or building society account, please therefore complete the bank account details below. Please note that banks and building societies may not accept Direct Credits to some types of accounts.

If you have chosen Income shares and we do not have your bank details, you will automatically be issued with a cheque settlement.

Bank Account Details (used for income, distribution and redemption payments)									
Bank or Building Society									
Branch Title									
Name of Account Holder(s)									
Account Number									
Sort Code									
Building Society Roll Number (if applicable)									

4. Cancellation Rights

If your investment was arranged through a financial advisor, cancellation rights may apply. In these circumstances you will have 14 calendar days from the date the cancellation form is received in which to exercise your right to cancel. Details of how you might exercise these rights will be sent to you with your contract note confirming the details of your investment. You are entitled to receive any money you have paid to us, subject to a deduction of the amount, if any, that the value of your investment has fallen at the time your cancellation form is received by us.

FundRock Partners Limited may extend cancellation rights to other investors but is under no obligation to do so.

5. Data Protection

The way in which we may use personal information of individuals (“personal data”) is governed by the “**Data Protection Requirements**” which means all applicable data protection laws and regulations including, without limitation, (a) the General Data Protection Regulation (EU) 2016/679 (“**GDPR**”), (b) UK GDPR (as that term is defined by the Data Protection, Privacy and Electronic Communications (Amendments etc) (EU Exit) Regulations 2019) and the Data Protection Act 2018, and (c) any legislation that supplements or replaces the foregoing in the United Kingdom. Further details on our privacy policy and your rights under the Data Protection Requirements can be found on our website: <https://www.fundrock.com/policies-and-compliance/privacy-policy/>.

Information we collect from you or from other sources and what we do with it:

We will collect and process the following data about you depending on how or why you interact or communicate with us (e.g.,

filling in an application form, subscribing for or redeeming Shares or when you communicate with us by email, telephone or otherwise):

- (1) Your name and title, address, date of birth, e-mail address and phone number or other contact information; your signature, your tax number or "national insurance number"; your banking details, credit or debit card information or other payment or financial information; information about transactions you make in relation to a Fund including your holding in a Fund or the reference number in relation to your holding; your personal description and your photograph.

We will use this information to open your account, maintain the Register; process subscriptions, redemptions and exchanges of Shares and payments of dividends; perform controls on excessive trading and market timing; comply with applicable anti-money laundering rules or anti-terrorist financing rules; or comply with our reporting obligations to regulatory bodies or tax authorities as well as our obligations under other applicable laws and regulations, monitor calls and electronic communications to process and verify of instructions, or for investigation and fraud prevention purposes.

The legal basis for this processing of your personal data is our legitimate interests, namely the proper administration of your investment, the operation of the Company by us, our delegates and the service providers in relation to a Fund or the Company; the performance of the contractual obligations between you as a Shareholder and us; to provide you with information, products and services that you request from us; to notify you about changes to our services or to a Fund or the Company; and to comply with applicable laws and regulations.

You have the right to refuse to give us your personal data in which case we may at our discretion and where your refusal necessarily prevents us from completing our checks, diligence or other legal, regulatory or confirmatory matters, refuse to issue Shares to you; refuse to pay the proceeds of a redemption of Shares; refuse to pay income on Shares; or compulsorily redeem your holding.

- (2) With regard to each of your visits to our website, we will automatically collect certain information about you or your computer. We will do so for administration purposes and to analyse the use of our website and services. Further details are available in the Prospectus and on our website.

The legal basis for this processing is our legitimate interests, namely monitoring and improving our website and services.

We will combine the information that you give us with information that we receive from other sources and use this for the purposes set out above (depending on the types of information we receive).

We may also use your personal data to establish, exercise or defend claims in order to protect or assert our legal rights, your legal rights or the legal rights of others, obtain or maintain insurance coverage, manage risks, or obtain professional advice in order to protect our business.

Disclosure of your information

We may disclose your personal data to any member of our group of companies; our insurers or professional advisers; service providers to the Funds or Company; our service providers, delegates, suppliers, contractors, sub-contractors or business partners and third parties with whom we contract; our auditors, our bank, competent authorities including the FCA, tax authorities, courts and other bodies for reporting or as otherwise required by law; technical advisers or analytics and search engine providers that assist us in the improvement and optimisation of our website; credit reference agencies or other risk management agencies; third parties that provide security, email security, data governance, archiving and other information technology support services; any third party that you ask us to share your personal data with.

We may disclose your personal data to third parties in the event we sell or purchase a business or assets; if we are acquired by a third party; in the event that we propose to retire as Authorised Corporate Director of the Company, in which case we may disclose your personal data to the intended new Authorised Corporate Director prior to, and at the time of, the transfer in order for the new Authorised Corporate Director and their delegates to make certain preparations; or where we are under a duty to disclose or share your personal data in order to comply with any legal or regulatory obligation; or in order to enforce or apply the terms of use of our website (which can be found on our website) and other agreements; or to protect our rights, property, or safety, or that of our customers, or others.

International transfers of your personal data

If we or our service providers need to share your personal data with a recipient outside the UK or the European Economic Area ("EEA"), we will ensure that appropriate safeguards are in place including: model clauses that have been approved by the European Commission or the Secretary of State; a code of conduct or other certified mechanisms such as binding contractual rules ("Safeguards"). Your personal data may be transferred to third parties that we or our service providers use including certain banks that we or our service providers use or certain companies that provide certain services to our service providers such as the registrar of the Company. Such third parties include: a company located in India that provides operational support services, a company based in the USA that provides information technology security services, and a company based in the USA (but which has affiliates in multiple locations) that provides customer services software.

Retention and deletion of your personal data

We will not keep your personal data longer than is necessary for the purpose that we process it or for any purpose. We will generally retain your personal data for a minimum of 7 years, or for such period as is necessary for compliance with a legal obligation to which we are subject, or in order to protect your vital interests or the vital interests of another natural person.

Rights of an individual

As an individual, you have certain rights under the Data Protection Requirements. These include: (a) the right of access (b) the right to rectification (c) the right to erasure (d) the right to restrict processing (e) the right to object to processing (f) the right to data portability (g) the right to complain to a supervisory authority, and (h) the right to withdraw consent. Some of the rights are complex and only apply in specific circumstances. Further details are set out in the privacy policy published on our website.

Our details

You can contact us or our Data Protection Officer regarding the Data Protection Requirements or our privacy policy:

- (a) by post, to Hamilton Centre, Rodney Way, Chelmsford, England, CM1 3BY; or
- (b) by telephone (via the Administrator and Registrar), on +44 (0) 126 844 8634 or the contact number published on our website from time to time; or
- (c) by email, to **FP_Compliance@FundRock.com** or the email address published on our website from time to time. Further information is available on our website.

6. Declaration

- I apply to invest in a FundRock Partners Limited ISA invested in the FP Octopus Investments UCITS Funds for the tax year set out in Section 2 and for each subsequent tax year until further notice.
- All subscriptions made, and to be made, belong to me.
- I confirm that I am over 18 years of age.
- I have not subscribed and will not subscribe more than the overall subscription limit in total to a cash, a stocks & shares ISA, and to an innovative finance ISA in the same tax year.
- I have not subscribed and will not subscribe to another stocks and shares ISA in the same tax year that I subscribe to this stocks and shares ISA.
- 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 the Income Tax (Earning & 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 FundRock Partners 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.
- I confirm that I have read a copy of the Prospectus and relevant UCITS Key Investor Information Document(s), the Supplementary Information Document which includes the ISA Terms and Conditions, and agree to be bound by them and accept that they may be varied at FundRock Partners Limited's discretion.
- I declare that this application form has been completed to the best of my knowledge and belief. I agree to inform FundRock Partners Limited by post to "FundRock Partners Limited – Octopus, PO Box 10359, Chelmsford, CM99 2AW" should any personal details set out in this form, including the details provided in Section 3, need updating.
- I understand that you may require additional information from me in accordance with applicable anti-money laundering regulations and I/we acknowledge that electronic data sources may be used to check my identity under such regulations.
- I have read the data protection information contained in the Prospectus and in this document.
- I consent to my shares being compulsorily redeemed in accordance with the Prospectus in the event that these statements are not correct or become incorrect in the future.
- I authorise FundRock Partners Limited:
 - to hold my cash subscriptions, ISA investments, interest, dividends, 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.
- I hereby acknowledge that when I apply for shares in a fund there is a window of time between FundRock Partners Limited receiving subscription money from me and FundRock Partners Limited transferring the subscription money to the Depositary (as defined in the Prospectus) to be used to settle the creation of my shares. If FundRock Partners Limited transfers the subscription money to the Depositary, by the close of business on the Business Day (as defined in the Prospectus) following receipt, FundRock Partners Limited is permitted to use an exemption to the Financial Conduct Authority's client money rules (the "Client Money Rules") which means that FundRock Partners Limited is not required to ensure that money is protected in a ring-fenced bank account. If FundRock Partners Limited transfers the subscription money to the Depositary outside of this window then FundRock Partners Limited is required to protect the money in a ring-fenced bank account in accordance with the Client Money Rules.
- Similarly I acknowledge that when I make a redemption request for shares in a fund there is a window of time between FundRock Partners Limited receiving redemption money from the Depositary and FundRock Partners Limited transferring the redemption money to me. If FundRock Partners Limited transfers the redemption money to me/us by close of business on the Business Day following receipt, FundRock Partners Limited is permitted to use an exemption to the Client Money Rules which means that FundRock Partners Limited is not required to ensure that money is protected in a ring-fenced bank account. If FundRock Partners Limited transfers the redemption money to me outside of this window then FundRock Partners Limited is required to protect the money in a ring-fenced bank account in accordance with the Client Money Rules until such time as it is paid to me.
- Money which is not held as client money will not be protected in the event of the insolvency of FundRock Partners Limited. By agreeing to subscribe for shares in a fund, you consent to us operating the delivery versus payment exemption on subscriptions and redemptions as explained above.
- By signing this application form, I consent to the transfer of any client money held by FundRock Partners Limited to a third party where FundRock Partners Limited decides to transfer all or part of its business to that third party in accordance with the Client Money Rules. In such circumstances the sums transferred will be held by the third party in accordance with the Client Money Rules, or FundRock Partners Limited will exercise all due skill, care and diligence in assessing whether the third party will apply adequate measures to protect these sums. I acknowledge that by providing consent at this time neither FundRock Partners Limited nor the third party need obtain my prior consent to the specific transfer.

Applicant's Name (please print)	Applicant's Signature	Date
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8. Politically Exposed Person—Tick either A) or B)

Please read the categories below carefully and then complete the appropriate declaration sections below.

CATEGORY A)

I represent and warrant that, to the best of our knowledge, none of the following persons:

- 1) the investor;
- 2) any person controlling or controlled by the investor;
- 3) if the investor is a privately held entity, any person having a beneficial interest in the investor; or
- 4) any person for whom the investor is acting as agent or nominee in connection with this investment is a politically exposed person, as defined in the footnotes below.

OR

CATEGORY B)

I confirm that I meet the definition of a politically exposed person(s),* as defined in the footnotes below. I/We† will provide the necessary disclosures regarding source of wealth and, where relevant, the source of wealth of any applicable beneficial owners.

† **DELETE AS APPROPRIATE**

* **“politically exposed person” or “PEP”** means an individual:

- (i) who is or has, at any time in the preceding year, been entrusted with a prominent public function, including: (a) heads of state, heads of government, ministers and deputy or assistant ministers; (b) members of parliament or of similar legislative bodies; (c) members of the governing bodies of political parties; (d) members of supreme courts, of constitutional courts or of any judicial body the decisions of which are not subject to further appeal except in exceptional circumstances; (e) members of courts of auditors or of the boards of central banks; (f) ambassadors, charges d'affaires and high-ranking officers in the armed forces; (g) members of the administrative, management or supervisory bodies of state-owned enterprises; and (h) directors, deputy directors and members of the board or equivalent function of an international organisation;
- (ii) a family member of a person falling within (i) above, including: (a) a spouse or civil partner of such a person; (b) a child of such a person, or the spouse or civil partner of that child; and (c) a parent of such a person; or
- (iii) a known close associate of a person falling within (i) above, including: (a) any individual who is known to have joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations, with such a person; and (b) any individual who has sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the benefit of such a person.

<p>I FALL INTO CATEGORY A) or</p> <p>(Please tick as appropriate) B) <input type="checkbox"/></p>

Applicant's Name (please print)	Applicant's Signature	Date

Please make sure you have:

- Signed the application form;
- Made your investment requirements clear;
- Completed the separate Direct Debit Mandate for a monthly savings plan, if applicable;
- Completed the 'Politically Exposed Person' section, as appropriate;
- Completed the transfer authority (or multiple transfer authorities, if you wish to transfer ISAs from multiple different providers);
- Enclosed a cheque for the appropriate amount, payable to 'FundRock Partners Limited';
- In order to comply with the UK law on anti -money laundering, cheques must be drawn on your own account or a joint account with your spouse. If you ask your bank or building society or regulated financial adviser to draw the cheque, they must state on the cheque that the funds have been drawn from an account in your name. For example, the payee would be 'FundRock Partners Limited (Re: A. N. Other)'. Alternatively, ask them to write your name and address on the reverse of the cheque and add the bank/building society/financial adviser stamp and signature to confirm the money is drawn from your account. For a monthly savings plan, please ensure that verification of bank details is supplied with this application form.

Please return your completed application form and cheque to:

**FundRock Partners Limited – Octopus, PO Box
10359, Chelmsford, CM99 2AW**

If you have any questions regarding the completion of this form please contact FundRock Partners Limited on **+44 (0) 126 844 8634** or your financial adviser.

Intermediary Comments:

Intermediary Stamp:

FCA Number (FRN):

Agency ref:

Name of Registered Individual:

Transfer Authority(ies) (BLOCK CAPITALS please)

If you wish to transfer ISAs from different providers, you must complete one transfer authority form for each provider.

Existing ISA Plan Manager's Name and fulladdress	
Plan Reference	
The ISAs for the following tax years are to be transferred to the Stocks and Shares ISA e.g. 2018/2019 (Note: If all tax years are to be transferred, state "ALL")	
Type of ISA being transferred	Cash ISA ** Stocks & Shares ISA ** ** Delete as appropriate
Please indicate the approximate value of the ISA to be transferred	£
Please transfer my current ISA, detailed in this Transfer Authority Form, to FundRock Partners Limited. I understand that investments in my existing ISA will be liquidated and the proceeds transferred to FundRock Partners Limited, in accordance with ISA Regulations. Payment should be made to 'FundRock Partners Limited'.	
I authorise you to provide FundRock Partners Limited with any information they request regarding my ISA.	
Applicant's Name	
Applicant's Signature:	Date:

Existing ISA Plan Manager's Name and fulladdress	
Plan Reference	
The ISAs for the following tax years are to be transferred to the Stocks and Shares ISA e.g. 2018/2019 (Note: If all tax years are to be transferred, state "ALL")	
Type of ISA being transferred	Cash ISA ** Stocks & Shares ISA ** ** Delete as appropriate
Please indicate the approximate value of the ISA to be transferred	£
Please transfer my current ISA, detailed in this Transfer Authority Form, to FundRock Partners Limited. I understand that investments in my existing ISA will be liquidated and the proceeds transferred to FundRock Partners Limited, in accordance with ISA Regulations. Payment should be made to 'FundRock Partners Limited'.	
I authorise you to provide FundRock Partners Limited with any information they request regarding my ISA.	
Applicant's Name	
Applicant's Signature:	Date:

Existing ISA Plan Manager's Name and fulladdress	
Plan Reference	
The ISAs for the following tax years are to be transferred to the Stocks and Shares ISA e.g. 2018/2019 (Note: If all tax years are to be transferred, state "ALL")	
Type of ISA being transferred	Cash ISA ** Stocks & Shares ISA ** **Delete as appropriate
Please indicate the approximate value of the ISA to be transferred	£

Please transfer my current ISA, detailed in this Transfer Authority Form, to FundRock Partners Limited. I understand that investments in my existing ISA will be liquidated and the proceeds transferred to FundRock Partners Limited, in accordance with ISA Regulations. Payment should be made to 'FundRock Partners Limited'.

I authorise you to provide FundRock Partners Limited with any information they request regarding my ISA.

Applicant's Name

Applicant's Signature:

Date:



Instruction to your bank or building society to pay by Direct Debit

Please fill in the whole form using a ball point pen and send it to:

FundRock Partners Limited - Octopus
 PO Box 10359
 Chelmsford
 CM99 2WS

Service user number

6	9	2	3	7	1
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Name(s) of account holder(s)

Reference

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Instruction to your bank or building society

Please pay FundRock Partners Limited Direct Debits from the account detailed in this Instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this Instruction may remain with FundRock Partners Limited and, if so, details will be passed electronically to my bank/building society.

Bank/building society account number

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Branch sort code

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Name and full postal address of your bank or building society

To: The Manager	Bank/building society
Address	
Postcode	

Signature(s)

Date

Banks and building societies may not accept Direct Debit Instructions for some types of account

DD12

This guarantee should be detached and retained by the payer.

The Direct Debit Guarantee



- This Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits
- If there are any changes to the amount, date or frequency of your Direct Debit FundRock Partners Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request FundRock Partners Limited to collect a payment, confirmation of the amount and date will be given to you at the time of the request.
- If an error is made in the payment of your Direct Debit, by FundRock Partners Limited or your bank or building society, you are entitled to a full and immediate refund of the amount paid from your bank or building society
 - If you receive a refund you are not entitled to, you must pay it back when FundRock Partners Limited asks you to
- You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify us.