Octopus Portfolio Manager

# Investment Account Application Form

## How to complete this application form

1. Please read the current Octopus Portfolio Manager brochure.
2. Write in BLOCK CAPITALS and use BLACK ink.
3. Make sure you answer all questions marked with an asterisk (*).
4. Leave blank any boxes that don't apply to you.
5. Tick the boxes that apply, like this: ✓
6. Don't forget to include your cheque/banker's draft.
7. Send your completed form to:

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

octopus investments

This form allows individuals and joint applicants to open an Octopus Portfolio Manager Investment Account, and to transfer investments from other providers. It cannot be used to transfer an ISA, Investment Bond or SIPP.

**The form has 9 sections:**

1. About the investor(s)
2. About the investment(s)
3. Transferring from another provider
4. About the adviser (to be completed by the adviser)
5. Account charges
6. Tax residency status
7. Adviser/intermediary declaration
8. Applicant declaration
9. Authorisation to transfer from another provider

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## Section 1 – About the investor(s)

**Do you want to open a joint account?**
- ☐ Yes – complete both the 'First applicant' and 'Joint applicant' sections of this form
- ☐ No – complete the 'First applicant' section only

| | **First investor** | **Second investor** (if applicable) |
|---|---|---|
| *** Title** (Mr/Mrs/Miss/Ms/Other) | | |
| *** First name(s)** | | |
| *** Last name(s)** | | |
| *** 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 | D D M M Y Y Y Y | D D M M Y Y Y Y |
| *** Country of birth** | | |
| *** Country(ies) of citizenship** | | |
| *** Nationality** | | |

*** Telephone numbers**

| | Country code | Telephone number | Country code | Telephone number |
|---|---|---|---|---|
| Home: | | | | |
| Work: | | | | |
| Mobile: | | | | |

| | First investor | Second investor |
|---|---|---|
| *** Email address** | | |
| *** Primary address** | | ☐ Same as first applicant |
| *** Country** | | |
| *** Postcode** | | |



## Section 1 – About the investor(s)

**Is there a registered Power of Attorney in place for this application?**
- ☐ No
- ☐ Yes – who should we send correspondence to?
  - ☐ The investor
  - ☐ The Attorney

Please note, if you are acting as Attorney, please include a 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.

Attorney Name:

Attorney date of birth: D D M M Y Y Y Y

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 **octopusinvestments.com/privacy-policy**

## Section 2 – About the investment(s)

**Do you want the account to be designated?** ☐ No ☐ Yes – please give us your reference

*** How much are you investing?** Amount £

*** 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 Portfolio Manager – Client 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 No.** | 42509148 | **Branch:** | Holborn |

Payments need to come from your personal account (we do not accept payments from business accounts)

**Which investment profile would you like to invest in?** (e.g. Investment Profile 4: Conservative Capital Growth)

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

Sort code

Account number

Bank address

Account holder name

Bank or building society name

Postcode

Building society roll number (if applicable)

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## Section 3 – Transferring from another provider

**Do you want to transfer any existing investments with another provider into your Octopus Portfolio Manager Investment Account?**

☐ No – **go to Section 4** ▶

☐ Yes – How many transfers? ______ Estimated total amount £ ______

Please provide details of your transfers in **Section 9** – Authorisation to transfer from another provider.

## Section 4 – About the adviser (to be completed by the adviser)

*** Company**

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

*** First name(s)**

*** Last name**

*** Telephone**

*** Address**

*** Country**

*** Postcode**

*** Email address**

*** FCA number**

**Are you part of a network/service provider?** ☐ No ☐ Yes – please give us the network/service provider name ______

Advisers are also required to sign the declaration in **Section 7**.

**Special instructions**





## Section 5 – Account charges

*** Initial adviser charge**
This is taken from your payment(s) and paid to your adviser before your funds are invested. For each payment type ticked, choose either fixed amount or percentage

☐ Transfers ☐ Fixed amount £ ______ **OR** ☐ Percentage ______ %

☐ Lump sum ☐ 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 ______ %

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

This 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.

**Octopus Annual Management Charge**

| Profile | Octopus Annual Management Charge |
|---|---|
| 1 | 0.15% + VAT (0.18%) |
| 2 | 0.40% + VAT (0.48%) |
| 3–10 | 0.65% + VAT (0.78%) |

This is an annual amount, accrued each day, based on the value of your portfolio. Octopus will take this charge quarterly by selling assets from your portfolio.

## Section 6 – Tax residency status

* 6.1 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?

**First investor**

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

**Second investor (if applicable)**

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

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 the table below. ☐ Yes – please complete the table 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(ies) | Taxpayer Identification Number (TIN) | TIN not available |
|---|---|---|---|
| | | | ☐ |
| | | | ☐ |
| | | | ☐ |
| | | | ☐ |



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## Section 7 – Adviser declaration

**By submitting this form, I agree that:**

- I have read and understood 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

D D M M Y Y Y Y

## Section 8 – 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 understood the current *Octopus Portfolio Manager Brochure, Fees and Charges* document and *Investment Profile Fact Sheet(s)*, and understand the risks associated with Octopus Portfolio Manager.
2. Have read and understood the *Octopus Portfolio Manager Terms and Conditions* and agree to be bound by them.
3. I have read and understood the Octopus policies regarding best execution, conflicts of interest and gift and benefits, all available at **octopusinvestments.com**.
4. Have considered whether I/we need financial and tax advice.
5. Understand that if I/we transfer some or all of my/our general investment accounts, Octopus Investments accepts no responsibility for any loss as a result of any delay between the submission and receipt of funds from the previous manager.
6. Consent to Octopus facilitating the fees and charges to my/our adviser as set out in Section 5.

| | *** First investor** | *** Joint investor** (if applicable) |
|---|---|---|
| *** Investor name** | | |
| *** Investor signature** | | |
| *** Date signed** DD MM YYYY | D D M M Y Y Y Y | D D M M Y Y Y Y |





## Section 9 – Authorisation to transfer from another provider

You can use this form to transfer investments into your Octopus Portfolio Manager Investment Account. Please note we cannot accept transfers of investment bonds or SIPPs. If you wish to transfer an ISA please use the separate ISA transfer form

| | **First investor** | **Joint investor** (if applicable) |
|---|---|---|
| *** Title** (Mr/Mrs/Miss/Ms/Other) | | |
| *** First name(s)** | | |
| *** Last name(s)** | | |
| *** Postcode** | | |

*** Your existing investment with another provider**

Name of manager

Telephone

Provider address

Address

Country

Postcode

Account number(s)

*** How much of your total general investment account holding do you want to transfer?**

All of it

**OR**

Some of it %

**OR**

Which holdings do you want to sell?

| Name of investment | Reference number | Amount |
|---|---|---|
| | | |
| | | |
| | | |

**I/we authorise my/our existing general investment account manager to:**

- transfer the investment indicated in this section, to Octopus Investments Limited (my/our new manager), by liquidating the assets and forwarding the proceeds
- give Octopus Investments Limited any information about my/our account
- accept any instructions from Octopus Investments Limited

This is subject to Octopus Investments' acceptance of my/our transfer application

| | **First investor** | **Joint investor** (if applicable) |
|---|---|---|
| *** Investor name** | | |
| *** Investor signature** | | |
| *** Date signed** DD MM YYYY | D D M M Y Y Y Y | D D M M Y Y Y Y |

## When you have completed the form, tick the following to confirm:

- [ ] You've answered all the questions that apply to you.
- [ ] You've completed **Section 6** – Tax Residency Status.
- [ ] If you are transferring from another provider, you have completed **Section 9** – 'Authorisation to transfer from another provider'.
- [ ] 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 utility bill (not mobile phone))

  The original signature should be on each page of the document (not a photocopy).
- [ ] If you are paying by cheque, you have enclosed a cheque from a personal account, made payable to 'Octopus Portfolio Manager – Client 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.
- [ ] Or, if you are paying via CHAPS/BACS, 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 No.** | 42509148 | **Branch:** | Holborn |

**Payments need to come from your personal account (we do not accept payments from business accounts).**

- [ ] You have added any special instructions that may apply within **Section 5** – 'Account Charges'.

## What happens next?

1. We will send you an acknowledgement that we have received your application, and your funds will be invested as quickly as possible.
2. Once your funds have been invested we will send you regular valuations. You can also check your account online through our secure website.





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## 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 Octopus Portfolio Manager, please call us on **0800 316 2295.** We're always happy to hear from you. We record calls to improve our customer service.

0800 316 2295
clientrelations@octopusinvestments.com
octopusinvestments.com

Octopus Investments,
33 Holborn,
London EC1N 2HT