

# Application form for companies

Octopus Cash

## Important information

Before completing this application form, make sure you have read and fully understand our **terms & conditions**: [www.octopuscash.com/terms](http://www.octopuscash.com/terms)

Please scan and send your application form to [support@octopuscash.com](mailto:support@octopuscash.com), or post to **Octopus Cash, 8th Floor, 33 Holborn, London, EC1N 2HT**.

# CASH

by **octopus**investments

## Please read: how to complete this form

This application comprises three parts:

1. Main application
2. Tax residency self-certification form for entities
3. Tax residency self-certification form for controlling persons

**All companies will need to complete parts one and two. We will need personal details for all active directors, and for beneficial owners controlling 25% or more, as listed on Companies House. Depending on your answers in part two, you may also have to complete part three.**

## Tax residency self-certification: FAQs...

We're required by law to gather additional information on all entities which hold a financial account with us. The tax residency self-certification form (part two of this application) allows us to do so.

Some of the form might look a bit tricky in places, and so we've provided some guidance to the frequently asked questions below. But if you're unsure, you should speak to your tax adviser.

### What's all this talk of 'foreign'? My company is British?

We gather this information to assess your company's overseas tax obligations as part of certain Intergovernmental Agreements (IGAs). It's to these international governments – for example the US – that you are considered foreign.

### Is my company a financial or a non-financial entity?

Your company is a financial entity if it meets one of these criteria:

- You accept cash deposits
- 20% or more of your income derives from holding financial assets on behalf of others
- You trade in money market instruments, manage individual and collective portfolios, or invest, administer or manage money on behalf of others
- 50% or more of your gross income derives from investing, reinvesting or trading in financial assets

If you're a financial entity, you will either already have a Global Intermediary Identification Number (GIIN), or will have to apply to the IRS to receive one.

**N.B. Investment advisers that provide pure management services and do not 'hold' assets for others are generally not considered financial institutions**

**For more guidance notes, a glossary and answers to all frequently asked questions, visit: [www.octopusinvestments.com/reportingforms](http://www.octopusinvestments.com/reportingforms)**

### Is my company active or passive – and what type?

Your company is an active institution if you meet one of these criteria:

- You're a trading company where less than 50% of your gross income is 'passive' – i.e. formed of dividends, interest, annuities, currency movements, rents and royalties or capital gains
- You're a company trading in property – where rents and capital gains are part of the active conduct of your business
- Your stock is traded on a public market – or you're a related entity of one whose stock is
- You're a holding company for an active business (but not an investment fund – such as private equity or VC fund – designed to acquire or fund companies for investment purposes)
- You're a non-profit organisation

These are just some of the more common types of business we come across. There are other criteria for active businesses, so if you don't fit within one of the above, please consult the longer definition in our guidance notes and glossary to be sure.

### Do I need to fill out the self-certification form for controlling persons (part three of this form)?

You only have to complete this part if your company has certified itself as a 'passive non-financial institution' in part two – otherwise you can leave blank. If this is the case, you'll need to complete forms for each controlling person, too.

**Part one**

# **Main application**

**This part should be completed by all applicants**

## Company details

Company name

Company number

Country of incorporation: United Kingdom

Registered address line 1

Registered address line 2

Town/city

Postcode

## Section 2 – Personal details: needed for all active directors, and for beneficial owners controlling 25% or more, as listed on Companies House (more space on pp.6-7)

Title

First name

Last name

Email address

Home address line 1

Home address line 2

Town/city

Postcode

Date of birth

D

D

M

M

Y

Y

Y

Y

Country of birth

Country(ies) of citizenship

## Your deposit

### Amount to save

In a 35-day  
notice account

£

For a one-year  
fixed term

£

We need your bank details so we know where to return your money.

Bank account number

Sort code

 -  - 

**Adviser charges:** please confirm below any fees you have agreed to pay your financial adviser

Up-front charge

%

Ongoing charge

%

## Funding your account

### How will you be funding your deposit?

**Bank transfer**

You'll be set up quicker if you fund your account by bank transfer. Please scan and email your completed form to [support@octopuscash.com](mailto:support@octopuscash.com). We'll then get back in touch with a unique reference when we're ready for you to transfer the deposit amount. Our bank details are:

Account number	94558278
Sort code	40-05-30

**Don't forget**, the payment will need to come from your company account.

**Cheque**

Please make the cheque for the deposit amount payable to '**Octopus Cash**'. Then post – with your completed application form – to **Octopus Cash, 8th Floor, 33 Holborn, London EC1N 2HT**.

**Make sure you send the cheque from your company account – and don't make it payable to Octopus Investments.**

## Section 5 – Saver declaration: only one director's signature required

### Please tick to confirm...

I agree to the deposit and charges, have read and accept the terms and summary box ([octopuscash.com/summarybox](https://octopuscash.com/summarybox)), and understand that I won't be able to access my money during the one-year term and understand that I on't be able to access my money during the one-year term.

Director's signature

Date

The section below should be completed  
by your financial adviser

## Adviser/intermediary details

Is this an execution only case?

Y  N

If yes, please include with your monthly invoices and send to [support@octopuscash.com](mailto:support@octopuscash.com)

Title

First name

Last name

Email address

Company name

Company postcode

Company FCA number

Personal FCA number

Bank account number

Sort code

(We'll send your adviser charges here. If your client isn't paying you adviser charges, you can leave these fields blank.)

## Additional space for section 2

**Personal details: needed for all active directors, and for beneficial owners controlling 25% or more, as listed on Companies House**

Title	First name	Last name
Email address		
Home address line 1		
Home address line 2		
Town/city		Postcode
Date of birth	D D M M Y Y Y Y	Country of birth
Country(ies) of citizenship		

Director's declaration (if your company requires more than one signatory )

I agree to the deposit and charges, have read and accept the terms and summary box, and understand that I won't be able to access my money during the one-year term

Signature

Date

Title	First name	Last name
Email address (if you have one)		
Home address line 1		
Home address line 2		
Town/city		Postcode
Date of birth	D D M M Y Y Y Y	Country of birth
Country(ies) of citizenship		

Director's declaration (if your company requires more than one signatory )

I agree to the deposit and charges, have read and accept the terms and summary box, and understand that I won't be able to access my money during the one-year term

Signature

Date

## Additional space for section 2

### Personal details: needed for all active directors, and for beneficial owners controlling 25% or more, as listed on Companies House

Title	First name	Last name
Email address		
Home address line 1		
Home address line 2		
Town/city		Postcode
Date of birth	D D M M Y Y Y Y	Country of birth
Country(ies) of citizenship		

#### Director's declaration (if your company requires more than one signatory )

I agree to the deposit and charges, have read and accept the terms and summary box, and understand that I won't be able to access my money during the one-year term

Signature

Date

Title	First name	Last name
Email address (if you have one)		
Home address line 1		
Home address line 2		
Town/city		Postcode
Date of birth	D D M M Y Y Y Y	Country of birth
Country(ies) of citizenship		

#### Director's declaration (if your company requires more than one signatory )

I agree to the deposit and charges, have read and accept the terms and summary box, and understand that I won't be able to access my money during the one-year term

Signature

Date

Part two

# **Tax Residency Self-Certification Form for Entities**



Recent regulatory changes mean we have to hold additional information on all entities holding a financial account with us. An entity is either a trust, a corporation, a partnership, a pension fund or a charity.

We therefore need you to complete a short form declaring the following important pieces of information:

1. Details about your entity
2. Whether your entity is liable to pay tax or complete a tax return in a country outside of the UK (its 'tax residency status')
3. Your entity's classification under the new rules

**Why have these regulations been introduced?**

The UK Government has signed a number of Intergovernmental Agreements (IGAs). The purpose of these agreements is to prevent account holders from using foreign banks and other financial organisations to avoid paying tax on their income and assets. These IGAs involve entering into an automatic information exchange as part of a commitment to combat tax evasion.

**Tax Residency Self-Certification**

The purpose of this form is to enable us to obtain the relevant data and comply with UK law and guidance. In order to do this, we need you to complete this form so that we can determine how your entity is treated under the IGAs.

See **page two** for some more notes on how to complete this form. If you have any other questions, please contact your tax adviser or visit [octopusinvestments.com/reportingforms](https://octopusinvestments.com/reportingforms) for fuller guidance notes, a glossary and answers to frequently asked questions.

**Section 1 – About the entity**

<b>Entity/Organisation name</b>			
<b>Country of incorporation/formation</b>			
<b>Registered address</b>			
<b>Country</b>		<b>Postcode</b>	
<b>Address for communications, if different</b>			
<b>Country</b>		<b>Postcode</b>	
<b>Indicate the name of any Controlling Person(s) of the entity</b>	In the case of trusts this may include, but is not limited to: settlors, trustees and any named beneficiaries; and in the case of companies this may include, but is not limited to: owners, managing officials, and any person who owns or controls more than 25% of the capital, profits or voting rights.		

**Section 2 – Tax Residency status**

**Please note, if your organisation is a branch you should consider this at the branch level, not at the legal entity level**

Is the entity tax resident, or do you complete tax returns on behalf of the entity, in any country other than the UK?

No – please go straight to **Section 3**.

Yes – please list the country(ies), other than the UK, in which the entity is 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.

Countries	Taxpayer Identification Number (TIN)	TIN not available
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

### Section 3 – All Entities/Branches FATCA classification under the UK-US IGA

#### A – TO BE COMPLETED BY FINANCIAL INSTITUTIONS ONLY

Global Intermediary Identification Number (GIIN)

Name of sponsoring entity, if applicable

If unable to provide a GIIN, please tick the reason why your organisation does not have a GIIN

- It is a Financial Institution in an IGA Partner Jurisdiction and has not yet obtained a GIIN
- It is a Financial Institution in a non-IGA Partner Jurisdiction that has not yet applied for a GIIN, but intends to apply for a GIIN
- It is a Financial Institution in a non-IGA Partner Jurisdiction that has applied for, but has yet to receive a GIIN
- It is an Exempt Beneficial Owner
- It is a Certified Deemed Compliant Financial Institution
- It is a Non-Participating Foreign Financial Institution

#### B – TO BE COMPLETED BY NON – FINANCIAL INSTITUTIONS ONLY

Please tick to confirm your organisation's FATCA status under the UK-US IGA

- Active Non-Financial Foreign Entity (NFFE)
- Passive Non-Financial Foreign Entity (NFFE) – please complete the relevant Self Certification Forms for each controlling person, which can be found in the next part of this application form. (In the case of trusts this may include: settlors, trustees and any named beneficiaries. In the case of companies this may include: owners, managing officials, and any person who owns or controls more than 25% of the capital, profits or voting rights.)
- Direct Reporting Non-Financial Foreign Entity (NFFE) – if sponsored please provide the details of the sponsoring entity:  
Name:  
  
GIIN:
- Please tick this box to confirm that the sponsoring entity has agreed to act as the sponsoring entity for your organisation.

### Section 4 – All Entities/Branches classification under the Common Reporting Standard

#### A – TO BE COMPLETED BY FINANCIAL INSTITUTIONS ONLY

Please tick to confirm your organisation's status under the Common Reporting Standard

##### Financial Institution – Investment Entity

- An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution. Please complete the relevant Self Certification Forms for each controlling person – found in the next part of this application form. (In the case of trusts this may include: settlors, trustees and any named beneficiaries. In the case of companies this may include: owners, managing officials, and any person who owns or controls more than 25% of the capital, profits or voting rights.)
- Other Investment Entity

OR

- Financial Institution** – Depository Institution, Custodial Institution or Specified Insurance Company

#### B – TO BE COMPLETED BY NON – FINANCIAL INSTITUTIONS ONLY

Please tick to confirm your organisation's status under the Common Reporting Standard

- Active Non-Financial Entity (NFE) – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation.  
If you have ticked, please provide the name of the established securities market on which the corporation is regularly traded:
- If you are a Related Entity of a regularly traded corporation, please provide the name of the regularly traded corporation that the Entity above is a Related Entity of:
- Active Non-Financial Entity (NFE) – a Government Entity or Central Bank
- Active Non-Financial Entity (NFE) – an International Organisation
- Active Non-Financial Entity (NFE) – other than above
- Passive Non-Financial Entity (NFE) – please complete the relevant Self Certification Forms for each controlling person. (In the case of trusts this may include: settlors, trustees and any named beneficiaries. In the case of companies this may include: owners, managing officials, and any person who owns or controls more than 25% of the capital, profits or voting rights.) Download forms at [octopusinvestments.com/reportingforms](https://www.octopusinvestments.com/reportingforms)

## Section 5 – Declaration

**Saver declaration** I declare that to the best of my knowledge and belief, the information I have provided in this form is true, correct and complete.

I understand that the information contained in this form and any information about the Saver and any Reportable Accounts may be reported to the tax authorities of the country in which these accounts are maintained. They may also be exchanged with tax authorities of another country or countries in which the Saver is a tax resident depending on the Intergovernmental Agreements (IGAs) that are in place.

**Name of applying entity**

**Signature**

**Name of signatory**

**Position of signatory**

**Telephone number for signatory**

Country code

Telephone number

Part three

# **Tax Residency Self-Certification Form for Controlling Person**

Octopus Investments is required by UK law to collect information about the tax residency and tax classification status of its investors. In certain circumstances it may be necessary for us to share this information with HM Revenue and Customs (HMRC), which is also obliged to share relevant information with tax authorities in other jurisdictions.

Please note, each Controlling Person should complete a Self-Certification Form. In the case of trusts this may include: settlors, trustees and any named beneficiaries. In the case of companies this may include: owners, managing officials, and any person who owns or controls more than 25% of the capital, profits or voting rights.

You can either photocopy this form, download and print an additional copy from [octopusinvestments.com/reportingforms](https://octopusinvestments.com/reportingforms) or call our Client Relations Team on **0800 316 2295** who will send you one by post.

If you have any questions about tax residence or classification, we recommend that you contact your adviser.

Section 1 – About the Controlling Person			
<b>Title</b> (Mr/Mrs/Miss/Ms/Other)	<input type="text"/>		
<b>First name(s)</b>	<input type="text"/>		
<b>Last name</b>	<input type="text"/>		
<b>Date of birth</b> DD MM YYYY	<input type="text"/>		
<b>Country of birth</b>	<input type="text"/>		
<b>Country(ies) of citizenship</b>	<input type="text"/>		
<b>Telephone numbers</b>	<b>Country code</b>	<b>Telephone number</b>	
Home:	<input type="text"/>	<input type="text"/>	
Work:	<input type="text"/>	<input type="text"/>	
Mobile:	<input type="text"/>	<input type="text"/>	
<b>Address</b>	<input type="text"/>		
<b>Country</b>	<input type="text"/>		<b>Postcode</b> <input type="text"/>
<b>Please enter the legal name of the relevant entity Account Holder(s) of which you are a Controlling Person</b>	Legal name of Entity 1	<input type="text"/>	
	Legal name of Entity 2	<input type="text"/>	
	Legal name of Entity 3	<input type="text"/>	

**Type of Controlling Person**  
(Please only complete this section if you are tax resident in one or more Reportable Jurisdictions)

Please provide the Controlling Person's status by ticking the appropriate box.	Entity 1	Entity 2	Entity 3
Controlling Person of a corporation, a partnership, a pension fund or a charity.			
Control by ownership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Control by other means	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Senior managing official	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Controlling Person or trust.			
Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Beneficiary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Controlling Person of a legal arrangement (non-trust). A legal arrangement is any entity which is neither a legal entity (such as a company or partnership) nor a trust. Examples of a legal arrangement include, but are not limited to, unincorporated clubs and associations.			
Settlor-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Trustee-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Protector-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Beneficiary-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other-equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Section 2 – Tax Residency status**

2.1 Are you tax resident, or do you complete tax returns, in any country other than the UK?  
 No – please go straight to **Section 3**.  
 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.

2.2 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.

Country(ies)	Taxpayer Identification Number (TIN)	TIN not available
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>
		<input type="checkbox"/>

## Section 3 – Declaration

### Saver declaration

(To be completed by the Controlling Person named in Section 1, or registered Attorney(s))

I declare that to the best of my knowledge and belief, the information I have provided in this form is true, correct and complete.

I understand that the information contained in this form and any information about the Saver and their accounts may be reported to the tax authorities of the country in which these accounts are maintained. They may also be exchanged with tax authorities of another country or countries in which the Controlling Person is a tax resident depending on the Intergovernmental Agreements (IGAs) that are in place.

Controlling Person name

Controlling Person signature

### Capacity

(Note: If you are not the Controlling Person please indicate the capacity in which you are signing the form. If signing under a power of attorney please also attach a certified copy of the power of attorney.)

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, please call us on **0800 294 6848**. We're always happy to hear from you.



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**octopuscash.com**



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