

# Aegon General Investment Account (GIA) application for registered pension schemes

In this form Aegon means Cofunds Limited.

## What is this form for?

Use this form to apply for an Aegon General Investment Account (GIA) to be held on behalf of a registered pension scheme. The Aegon GIA will be held on behalf of the registered pension scheme by the Trustees named in section 3.

You must have been provided with an illustration, key features document and terms and conditions before completing this form. If you haven't, we will not be able to process your request. Please contact us on 0345 604 4001 to request an illustration, key features document and terms and conditions. Call charges will vary.

If you want to add money into an Aegon GIA that you already hold you should complete an **Aegon GIA top-up form**. If you want to perform a re-registration to an Aegon GIA, you'll also need to complete an **Aegon GIA re-registration authority form**, for each arrangement you are transferring.


## Who should complete this form?

This form should be completed and signed by the Administrator named in section 2 and the Trustees named in section 3.

## How to complete this form

Please complete this form in BLOCK CAPITALS and ballpoint pen and return it to: Aegon Cofunds Administration, PO Box 17491, Edinburgh, EH12 1PB.

If you need any assistance in completing this application form, please contact your usual representative or call us on 0345 604 4001 for support.

Whenever you see this icon , you may have to send us additional information.

## Funding the GIA

Please provide details of how this GIA will be funded in this application form. However, please do not send any funds to us until we have contacted you to confirm that all of our requirements have been met to proceed with this application. If funds are received before our requirements are met, they may be returned to source.

## Application submission checklist

The following documents must be submitted with the application, ensuring that Deeds are fully certified. Failure to do so will result in delays to the application.

- Certified copy of the Trust Deed
- Certified copy of any amendments to Trust Deed
- Certified Deeds relating to all changes in the Trustees
- Certified copy of PSTR Certificate
- Certified copy of the authorised signatory list for the scheme administrator and if applicable, the corporate trustee
- FATCA/CRS Entity Self Certification Form

If you disclose information about a third party as part of this application, please ensure that you have their permission and have informed them of the purposes of the collection of this information before doing so.

Aegon will conduct electronic searches of all parties named in this application. Please note that we may require additional information and documentation to enable us to complete anti-money laundering and Know Your Customer due diligence prior to opening the account.

### Common reasons for application delays

We will process your application as quickly as possible, but delays in processing may occur because of the following:

- Not receiving the initial Trust Deed and/or any later Trust Deeds
- Full information is not provided
- As part of our due diligence, Aegon will check the company registration details held at Companies House. If the information held by Companies House is not up to date, we may not be able to proceed with an application.

## 1. Registered pension scheme details

Full name of UK registered pension scheme

HMRC pension scheme tax reference

Date pension scheme registered

D	D	M	M	Y	Y	Y	Y
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Pension scheme address inc postcode

Postcode

Name of the account e.g. The Trustees of...

Use this section to specify a unique reference for this account. You can designate an account using alphanumeric characters. This section is optional. Please ensure the reference doesn't make a meaningful word.

Is the registered pension scheme?

- A Small Self-Administered Pension Scheme (SSAS)
- A Self-Invested Personal Pension (SIPP)

Does the pension scheme hold any other GIAs with Aegon?

## 2. Pension scheme administrator

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All correspondence will be sent to the pension scheme administrator

Is the administrator of the pension scheme a company?  Yes  No

If yes, please complete sections 2.1 and 2.2. If the scheme administrator is an individual or group of individuals, please complete sections 2.2 and 2.3.

### 2.1. Scheme administrator company details

Company name

Company registration number

Is the company FCA registered?

Yes  No

If yes, please provide the FCA registration number

Registered company address inc postcode

Postcode

Is the pension scheme administrator also a trustee?

Yes  No

Correspondence address inc postcode

Postcode

### 2.1.1. Scheme administrator director details

Please provide details of all directors of the scheme administrator where it is a company

Full name

Residential address inc postcode

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

Full name

Residential address inc postcode

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

## 2. Pension scheme administrator continued

### 2.1.1. Scheme administrator director details continued

Full name

Residential address inc postcode

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

Full name

Residential address inc postcode

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

Full name

Residential address inc postcode

Postcode

Date of birth

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Nationality

Full name

Residential address inc postcode

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

### 2.2. Scheme administrator contact details

Contact full name

Contact telephone number

Contact email address

We may use your email address and phone number to contact you about your product. We might use them to keep you informed about our products and services but only if you've consented to this.

Correspondence address inc postcode

Postcode

## 2. Pension scheme administrator continued

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### 2.3. Individual scheme administrator details

Please provide details of the individual scheme administrators

Full name

Residential address inc postcode

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

Full name

Residential address inc postcode

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

Full name

Residential address inc postcode

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

Full name

Residential address inc postcode

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

Full name

Residential address inc postcode

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality





### 3. Pension scheme trustees continued

#### 3.3. Individual pension scheme trustees details

Please provide details of any individual scheme trustees

Full name

Residential address inc postcode

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

Full name

Residential address inc postcode

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

Full name

Residential address inc postcode

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

Full name

Residential address inc postcode

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

Full name

Residential address inc postcode

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Nationality

If required, please provide details of any additional Trustees on a separate sheet.



## 4. Funding the investment

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### 4.1 Funding information

Please do not send any funds to us until we have contacted you to confirm that all of our requirements have been met to proceed with this application. If funds are received before our requirements are met, they may be returned to source.

How will you be funding the investment into the Aegon GIA?

Cheque, single payment amount

Monthly Direct Debit, regular payment amount

Start date

D	D	M	M	Y	Y	Y	Y
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Please download and complete the **Direct Debit Instruction - GIA** and send it to us with your application. We require 17 working days to establish any Direct Debit collection after all application requirements have been met before your first chosen date, otherwise your first collection will be the month after.

Bank transfer, regular payment amount

For a bank transfer, you can find our bank details along with your illustration.

We may contact you to ask you for documentary evidence of where the funds you are investing have come from.

### 4.2. Bank account details

If the pension scheme has its own bank account, please provide details of the UK-based bank account that will be used to facilitate all payments in and out of this wrapper.

Bank name

Account name

Branch sort code

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Account number

- We will not accept payments from any other source other than this bank account.
- All payments will be made back to this bank account

## 5. Investment details

In this section, you need to tell us how you'd like to invest the money into the Aegon GIA. Your intermediary should complete section 5.3 if you're investing in a model portfolio.

The investment choices you make can be applied to all future investment choices in this product.

Use the investment choices below as the new default investment selection.


If you select different investments for your regular and single contribution/transfer payments you can't select the default investment strategy and rebalancing options.

### 5.1. Single payments

Please complete this section if you're making a single payment.

The funds should match the illustration you received from Aegon. If they don't match, we won't be able to process your request. If you want to invest in different investments, please contact us for a new illustration.

Full investment manager name, investment name and share class	Sedol code (this is shown in your Key Investor Information Documents (KIIDs))	% to be invested
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
GIA cash facility	n/a	%
<b>Total amount</b>	n/a	<b>100%</b>

If you need to add additional investments please provide the information on a separate sheet of paper in the format above, sign and date it and attach it to this form 

## 5. Investment details continued

### 5.2. Regular payments

Please complete this section if you're making regular payments.

Use the same investment selection as detailed in the single payment section.

Investment in the funds shown in the table below.

The investments in the table below, should match the illustration you received from Aegon. If they don't match, we won't be able to process your request. If you want to invest in different investments, please contact us for a new illustration.

Full investment manager name, investment name and share class	Sedol code (this is shown in your Key Investor Information Documents (KIIDs))	% to be invested
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
GIA cash facility	n/a	%
<b>Total amount</b>	n/a	<b>100%</b>

If you need to add additional investments please provide the information on a separate sheet of paper in the format above, sign and date it and attach it to this form ☒

### 5.3. Model portfolio (for intermediary use only)

If you're setting up a new Aegon GIA product:

Name of existing model portfolio

### 5.4. Auto rebalancing

Do you want to set up rebalancing on your investments?

Yes

No

Please confirm the frequency of rebalancing?

Quarterly

Yearly

## 6. Investment income options

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If you have income generating investments, this section lets you choose how any income distributions paid from those investments should be dealt with when we receive them from the investment provider. We'll apply your selection to all income generating investments you hold within the Aegon GIA. If you make no selection we will apply the default which is to reinvest any income.

Please tick one of the following options:

- Reinvest in funds (default)** – reinvest any income received back into the same fund.
- Leave in cash** – pay any income into the GIA cash facility

## 7. Intermediary details (intermediary use only)

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### 7.1 Intermediary name

Firm name

If you'd like to take an ad-hoc adviser charge for this transaction, amend your client's ongoing adviser charge or service charge, please complete the **Adviser charging form**.

Please detail any adviser or service charges below.

### 7.2 Adviser charges

This section must be completed if you want to take adviser charges.

If any charge chosen in this section is to be subject to Value Added Tax (VAT), we'll add VAT to the selected 'Amount', or where 'Percentage' is selected, we'll calculate the charge amount and then add the VAT to it. This applies to section 7.2.1 and 7.2.2

#### 7.2.1 Initial adviser charge on the single payment

Enter the amount of percentage to be deducted. Tick one box only.

Amount

Percentage of the lump sum payment

Is this subject to VAT?

Yes  No

### 7.2.2 Ongoing adviser charge

Use this section to set up a monthly ongoing adviser charge.

Is this charge to be linked to a charge model?

Yes  No

If yes – please confirm Model name

If no – Ongoing adviser charge

 pa %pa

Is this subject to VAT?

Yes  No

### 7.3 Service charge

This section lets you agree and set up a monthly service charge model to your client's Aegon GIA to pay you a service charge.

Service charge model name

## 8. How we treat your personal information

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If information about a third party is disclosed as part of this application, please ensure that you have their permission and have informed them of the purposes of the collection of this information before doing so.

Here at Aegon, we're committed to protecting and respecting your privacy. We collect your personal information so that we can verify your identity, set up your plan and provide ongoing administration. We need this information to carry out our obligations and to provide you with the products and services under the terms of your contract with us. Without it, we wouldn't be able to provide you with a plan.

As part of our administration process, we work with carefully selected service providers (in other words suppliers) that carry out certain functions on our behalf. We only share the appropriate level of personal information necessary to enable our suppliers to carry out their services and they need to keep the information safe and protected at all times. Our suppliers must only act on our instructions and can't use your personal information for their own purposes.

The personal information we collect may be transferred to, and stored at a destination outside the European Economic Area (EEA). This could be to other companies within the Aegon Group or to our service providers. Where any such processing takes place, appropriate controls are in place to make sure your information is protected.

We may disclose your information to licensed credit reference and/or fraud prevention agencies to help make financial or insurance proposals and claims decisions (this will be during the application or enrolment process and on an ongoing basis), for you and anyone you're linked with financially or other members of your household. Our enquiries or searches may be recorded.

You can find more information on how we use and share your personal information, including how long we keep it and details of your rights at [customerdashboard.aegon.co.uk/site-info/privacy-and-cookie-policy/](https://customerdashboard.aegon.co.uk/site-info/privacy-and-cookie-policy/) or by contacting us to request a copy.

We'd like to keep you up-to-date with information about our news, products and services. If you'd like to hear more from us, please tick the relevant box below.

By ticking the box(es), you're consenting to receiving marketing messages in this way from us. You can change your mind and unsubscribe at any time simply by contacting us. For more information on how to do this go to [customerdashboard.aegon.co.uk/site-info/privacy-and-cookie-policy/](https://customerdashboard.aegon.co.uk/site-info/privacy-and-cookie-policy/)

We won't pass your information to other companies outside of the Aegon Group for marketing purposes.

- Mail
- Phone
- SMS
- Email

The party receiving marketing messages will be the contact named in section 2.2 of this application.

## 9. Declaration

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In this declaration:

'We', 'you', 'your' or 'our' refers to the trustees named in section 3 of this application form and 'Aegon' refers to Cofunds Limited.

### General declaration

Aegon relies on the information contained in the following documents as they form the basis of the contract between you and Aegon:

- the application;
- these declarations and any other declarations made when applying for the Aegon GIA
- the first contract note, and
- the Aegon Platform terms and conditions.

We confirm that we have had the opportunity to read these documents carefully (other than the first contract note which will be given to us in accordance with the Aegon Platform terms & conditions), along with the key features document, the personal illustration, key investor information documents and the declarations in this application, before completing this application process.

We confirm that we have had the opportunity to read the Aegon UK Retail Order Execution Policy and we agree to its terms.

We confirm that we are habitually resident in the United Kingdom.

We accept that Aegon has not and will not assess our suitability for the Aegon GIA or any investment decisions we make. This means we will not benefit from the protection of the Financial Conduct Authority's rules on assessing suitability in relation to Aegon.

### We declare that:

We apply for the Aegon GIA in our capacity as Trustees to the pension scheme, detailed in section 1 of this application form, and services outlined in the application and agree to be bound by the Aegon Platform terms and conditions.

We will hold the Aegon GIA on behalf of the pension scheme detailed in section 1 of this application form.

We will be responsible for complying with all applicable regulation and law applying to pension schemes.

We will inform Aegon of any changes to the information provided in this application, for example, but not limited to, changes to the pension scheme rules and/or the Trustees of the scheme.

We are all over 18 years of age.

The information supplied in this application, and any supplementary forms related to it, including transactional data, is correct and complete to the best of our knowledge and belief. We are aware that it is a serious offence to knowingly provide false or misleading information on the application.

We confirm that, if we have not received face to face advice from an appointed intermediary in connection with this application, we have received and had the opportunity to read the key features document, illustration, key investor information document(s) and terms and conditions that are relevant to this application.

Where regulations allow, we nominate the appointed intermediary to receive correspondence in relation to the investments. This instruction will remain in force unless the appointed intermediary has informed Aegon that they wish for this correspondence to be sent directly to us, or we have informed you that we no longer have an appointed intermediary to whom Aegon can send these.

Any payment into the Aegon GIA, including contributions and transfers, will be placed in the cash facility. Thereafter, investments will be purchased in accordance with the investment instructions given by us or the appointed intermediary.

Where we are applying for an Aegon GIA through self-certification, we will provide certification of the entity's classification for FATCA and CRS purposes. Depending on the classification, this may also involve us providing details of all countries in which we are resident for tax purposes. If we do not provide the details required, we will be reportable to HM Revenue & Customs (HMRC) as undocumented. Where required to under UK law, Aegon can share information about us and our Aegon GIA to HMRC, who will then share this information with tax authorities in the relevant countries and territories.

## 9. Declaration continued

We declare that we are signing on behalf of the registered pension scheme named in section 1 and we have authority from all relevant parties named in this application to proceed and for electronic searches of all parties named in this application to be undertaken. We also declare that those same parties have been made aware of this declaration.

### We authorise Aegon to:

Hold cash, contributions, investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash.

Arrange any transfer of an existing GIA held with a different provider to this Aegon GIA, as and when we request that Aegon do so. If applicable, we agree to the re-registration of investments to be applied to this new Aegon GIA.

Obtain details from the existing GIA provider(s) and authorise the giving of any such details to Aegon.

Accept investment and disinvestment instructions from the appointed intermediary and to accept instructions from the appointed intermediary with regard to all aspects of the running of the Aegon GIA.

Make any payments specified by us to the appointed intermediary on our behalf from the Aegon GIA. We agree that these payments reflect the terms of the agreement we have entered into with the appointed intermediary. The contract note will confirm the actual amount of the payment that is deducted and paid to the appointed intermediary. If we disagree with the payment then we must advise the appointed intermediary of this.

### Scheme administrator

Signature

X	X
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Date

D	D	M	M	2	0	Y	Y
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### First trustee

Signature

X	X
---	---

Date

D	D	M	M	2	0	Y	Y
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### Second trustee

Signature

X	X
---	---

Date

D	D	M	M	2	0	Y	Y
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### Third trustee

Signature

X	X
---	---

Date

D	D	M	M	2	0	Y	Y
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### Fourth trustee

Signature

X	X
---	---

Date

D	D	M	M	2	0	Y	Y
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## 9. Declaration continued

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Fifth trustee

Signature

X	X
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Date

D	D	M	M	2	0	Y	Y
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Sixth trustee

Signature

X	X
---	---

Date

D	D	M	M	2	0	Y	Y
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Please do not send any funds to us until we have contacted you to confirm that all of our requirements have been met to proceed with this application. If funds are received before our requirements are met, they may be returned to source.

