

# Aegon General Investment Account re-registration application form for trusts

In this form (except section 9) 'I', 'you' and 'your' means the trustees of the trust named in section 1, or in relation to sections 6 and 7 only, the appointed intermediary, and 'Aegon', 'we' or 'our' means Cofunds Limited.

Use this form to transfer funds from another provider into an Aegon General Investment Account (GIA).

You must have been provided with an illustration, Aegon GIA key features, the Aegon Platform terms and conditions and a Key Investor Information Document (KIID) or a Key Information Document for each fund you're investing in from us before completing this form. If you haven't we can't process your request. Please contact us on 0345 604 4001 to request an illustration.

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

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

You'll also need to complete an Aegon GIA re-registration authority form, found after this form and on our website [www.cofunds.aegon.co.uk](http://www.cofunds.aegon.co.uk), for each plan you are transferring.

The number of re-registration authorities attached is

## 1. Trust details

### 1.1 Trust name

Are you an existing Aegon customer?

Yes – tell us your existing customer number and go to 1.4

No – please complete section 1.2

### 1.2 Type of trust (eg Discretionary, Bare, Will)

Principal Trustee name

Contact address

Postcode

Email address

We'll use your email address to contact you about your plan. We might also use it to keep you informed about our products and services but only where you've consented to this.

Please download and complete the Entity self-certification form and the Trust and identity verification form on our website and attach them to this form. ☒

1.3 Use this section to specify a unique reference for this account. You can designate an account using alphanumeric characters.

Designation

This section is optional. Please ensure the reference doesn't make a meaningful word.

## 1. Trust details – continued

---

1.4 Did you get advice before completing this form?

Yes     No

Tick this box to confirm that you've had the opportunity to read the Aegon GIA key features, terms and conditions and fund specific information and/or Key Investor Information Documents (KIIDs) relating to your investment/and Aegon Platform terms and conditions and illustrations.

## 2. Investment income options

---

If there are any income-generating investments being re-registered, 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 have an existing Aegon GIA with us:

- We'll apply your existing income option for any income units/shares you currently hold with us.
- If you wish to take consolidated natural income and you're currently taking regular withdrawals, please select 'consolidated natural income' below and we'll cancel your existing regular withdrawals.

Please tick one of the following options:

**Reinvest in fund (default)** – reinvest any income received back into the same investment.

**Leave in cash** – pay any income into the Aegon GIA cash facility.

**Consolidated natural income** – pay any income received to your nominated trust bank account as a monthly payment but only if income is received from investments. (Complete section 5 to nominate a trust bank account.)

### 3. Regular withdrawals

---

This section lets you take a regular withdrawal from your Aegon GIA.

You can't take regular withdrawals if you have chosen to:

- make a regular payment into your Aegon GIA.
- take consolidated natural income in section 2.

Regular withdrawal amount

Do you want your regular withdrawal to increase each year?

- No
- Yes by the Retail prices index
- Yes by a fixed amount 1% - 5%

 %

Or

Percentage of product value

 %

Percentages are calculated as a monetary amount based on the product value when the withdrawal is processed.

For example, if you select to receive withdrawals of 10% on a monthly basis, we'll calculate 10% of your product value each month and then divide this by twelve. This means that your monthly withdrawal amounts will vary.

#### Withdrawal frequency

- Monthly
- Quarterly
- Half yearly
- Yearly

#### Payment day

- 9th     18th     27th

Your withdrawal will be paid out of your product on the day selected and will take approximately three additional business days to clear into your chosen account.

#### Start date

Please choose the month in which you want to make your first withdrawal.

D	D	M	M	2	0	Y	Y
---	---	---	---	---	---	---	---

If we receive this form within ten working days of the requested start date, we'll start withdrawals from the following month.

### 4. Cash facility top-up instruction

---

This section lets you tell us what investments we should sell if we need to automatically top up the cash in your cash facility to cover charges or regular withdrawals, where applicable.

If you don't select an option below, we automatically use the largest value investment available - you don't need to tell us to do this.

- Nominate an existing investment to sell from
- Change from a nominated fund to the largest value investment available.

Nominated fund name

Sedol code (this is shown in your Key Investor Information Documents (KIIDs))

## 5. Bank details for payments out of investments

---

Please provide details of the trust bank/building society account consolidated natural income, or regular withdrawals are to be paid to.

If this is the first payment to your nominated bank account, you may need to give us a certified copy of your bank statement (as proof of signature). We'll contact you if we need this.

Name of Bank/Building society

Bank/Building Society account number

Account name

Building Society roll number (if applicable)

Branch sort code

-

Payments to building society accounts may take up to 10 days longer than payments to bank accounts.

## 6. Intermediary details (for intermediary use only)

---

6.1 Intermediary name

Firm name

Please detail any adviser or service charges below.

6.2 Ongoing adviser charge

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

Is the charge to be linked to a charge model?  Yes  No

If yes - Model name

If no - Ongoing adviser charge  £  or  %

Is VAT to be added to the above?  Yes  No

6.3 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

## 7. Confirmation of verification of identity (for intermediary use only)

---

I confirm that:

- 7.1 The information in section 1 was obtained by me in relation to the customer.
- 7.2 The evidence I have obtained to verify the identity of the customer: (tick only one)
- meets the standard evidence set out within the guidance for the UK Financial Sector issued by JMLSG, or
- exceeds the standard evidence - where the client is a Politically Exposed Person.

Name

Position

Date

D	D	M	M	2	0	Y	Y
---	---	---	---	---	---	---	---

Signature

## 8. How we treat your personal information

---

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.

- Mail
- Phone
- SMS
- Email

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.

## 9. Customer declaration

---

### In this declaration:

'We', 'us' or 'our' refer to the trustees of the trust named in section 1, and 'Aegon' refers to Cofunds Limited.

### General declaration

9.1 Aegon relies on the information contained in the following documents as they form the basis of the contract being applied for:

- the application;
- these declarations and any other declarations made when applying for an Aegon General Investment Account (GIA);
- the 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 contract note which will be given to us in accordance with the Aegon Platform terms and conditions), along with the key features document, the illustration, Key Investor Information Documents (KIIDs) and the declarations in this application, before completing this application form.

9.2 We confirm that we have had the opportunity to read the Aegon UK Retail order execution policy and we agree to its terms.

9.3 We confirm that we are habitually resident in the United Kingdom and we are not citizens or taxpayers of the USA.

9.4 We accept that Aegon has not and will not assess our suitability for the Aegon GIA or 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:

9.5 Where we do not have an existing Aegon GIA, we apply for the Aegon GIA and services outlined in the application, and agree to be bound by the Aegon Platform terms and conditions. We agree to the re- registration of investments to be applied to this new Aegon GIA.

9.6 We are 18 years and over.

9.7 Where we do have an existing Aegon GIA, we agree to the re-registration of investments to be applied to the existing Aegon GIA listed in section 1 of this form.

9.8 We agree to the Aegon GIA terms and conditions.

9.9 The information supplied in this application, and any supplementary forms related to it, including transactional data, is true 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.

9.10 And 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 Documents (KIIDs) and terms and conditions that are relevant to this application.

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

9.12 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 our appointed intermediary.

9.13 Where we have selected consolidated natural income in section 2 and are currently taking regular withdrawals from our existing Aegon GIA, we instruct Aegon to cancel the regular withdrawals.

9.14 Where we have requested regular withdrawals in section 3:

- i. The withdrawal amount we have chosen is the gross amount we want Aegon to pay to us and we authorise Aegon to pay us this amount in accordance with this instruction.
- ii. If the amount in the cash facility does not meet the amount of the regular withdrawal requested, we are aware that Aegon will sell the largest value investment to cover any shortfall unless we have otherwise instructed Aegon to sell selected investments in section 4.
- iii. We are aware that if any investments need to be sold to pay the regular withdrawal amount,

## 9. Customer declaration – continued

we may be liable for Capital Gains Tax.

- 9.15 We will provide details through self-certification of all countries in which we are resident for tax purposes. If we do not provide these details, we will be reportable to HM Revenue & Customs (HMRC) as undocumented.
- 9.16 Where required under UK law, Aegon can share information about us and the Aegon GIA to HMRC, who will then share that information with tax authorities in the relevant countries and territories.

### We authorise Aegon to:

- 9.17 Hold cash, subscriptions, investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash.
- 9.18 Arrange any transfer of an existing GIA held with a different provider to the Aegon GIA as and when we request Aegon to do so.
- 9.19 Obtain details from the existing GIA provider(s) and authorise the giving of any such details to Aegon.
- 9.20 Accept investment and disinvestment instructions from our appointed intermediary and to accept instruction from our appointed intermediary with regard to all aspects of the running of the Aegon GIA.
- 9.21 Make any payments specified by us (including any ongoing adviser charge or service charge set out in section 6.2 and 6.3) to our 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 our appointed intermediary.

The contract note will confirm the actual amount of the payment that is deducted and paid to our appointed intermediary. If we disagree with the fee or charge then we must advise our appointed intermediary of this. We agree that once any adviser charge has been deducted from our Aegon GIA, Aegon cannot return it to us and we will have to discuss any refund of the adviser charge direct

with our intermediary.

Date

D	D	M	M	2	0	Y	Y
---	---	---	---	---	---	---	---

Print name

Trustee signature

Date

D	D	M	M	2	0	Y	Y
---	---	---	---	---	---	---	---

Print name

Trustee signature

Date

D	D	M	M	2	0	Y	Y
---	---	---	---	---	---	---	---

Print name

Trustee signature

Date

D	D	M	M	2	0	Y	Y
---	---	---	---	---	---	---	---

Print name

Trustee signature





## 2. Designation

---

Please enter, if applicable, the unique identifier (designation) that's applied to the investments you want to re-register held by the existing investment/plan manager. It's normally a combination of alpha/numeric characters and is common when you hold multiple GIAs with an investment/plan manager.

## 3. Authorisation

---

Aegon GIA number (if applicable)

8							
---	--	--	--	--	--	--	--

Name of existing investment/plan manager

Existing Investment/plan manager address

Postcode

I/We authorise the investment/plan manager named on this authority to re-register the investments detailed in section 1 to Lochside Nominees Ltd with immediate effect. Please forward confirmation to Aegon Cofunds Administration, PO Box 17491, Edinburgh, EH12 1PB.

I/We authorise Aegon to submit all information contained in this re-registration authority to the Registrar of the investment/plan manager named above and request that the register be updated as necessary to give effect to this transfer by re-registration. I confirm that the re-registration of the investments listed will not change the beneficial ownership from (or among) the current holder(s).

You should enter your role such as partner, shareholder etc, if applicable, in the capacity field if you are a joint holder of the investment.

Capacity (if applicable)

Primary account holder

Date

D	D	M	M	2	0	Y	Y
---	---	---	---	---	---	---	---

Primary account holder signature

Capacity (if applicable)

Second account holder

Date

D	D	M	M	2	0	Y	Y
---	---	---	---	---	---	---	---

Second holder signature



### 3. Authorisation – continued

---

Capacity (if applicable)

Third account holder

Date

D	D	M	M	2	0	Y	Y
---	---	---	---	---	---	---	---

Third holder signature

Capacity (if applicable)

Fourth account holder

Date

D	D	M	M	2	0	Y	Y
---	---	---	---	---	---	---	---

Fourth holder signature

