

Aegon GIA application for pension schemes form

In this form, Aegon means Cofunds Limited.

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 2.


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

If you want to add money into an Aegon GIA that you already hold you should complete an Aegon GIA top-up form.

To list additional Trustees, please use the Pension schemes trustee continuation form.

You must have been provided with an illustration and key documents from us 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.

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

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

1. Pension scheme details

1.1 Pension scheme details

Full name of scheme

Pension Scheme Tax Reference Number

Scheme address

<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>

Postcode

Designation

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.

Correspondence address (if different to above)

<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>

Postcode

2. Trustee details – continued

2.3 Second Trustee

Mr / Mrs / Miss / Ms / Other – please specify

Full forename(s)

Surname

Date of birth

D	D	M	M	Y	Y	Y	Y
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For tax purposes are you resident anywhere other than the UK?

No

Yes – please download and complete the Individual self-certification form on our website and attach it to this form. ☒

Are you an existing Aegon customer?

Yes – tell us your existing customer number

3							
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No – please complete section 2.4.

2.4 Only complete this section if you are a new Aegon customer.

National Insurance number

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Permanent residential address

Postcode

Email address

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

Gender

Male Female

2.5 Third Trustee

Mr / Mrs / Miss / Ms / Other – please specify

Full forename(s)

Surname

Date of birth

D	D	M	M	Y	Y	Y	Y
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For tax purposes are you resident anywhere other than the UK?

No

Yes – please download and complete the Individual self-certification form on our website and attach it to this form. ☒

Are you an existing Aegon customer?

Yes – tell us your existing customer number

3							
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No – please complete section 2.6.

2.6 Only complete this section if you are a new Aegon customer.

National Insurance number

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Permanent residential address

Postcode

Email address

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

Gender

Male Female

3. Funding the investment

I will be funding the investment into the Aegon GIA by:

Cheque, single payment amount £

Monthly Direct Debit, regular payment amount £

– please download and complete the Direct Debit Mandate – GIA

Start date

We must receive this form 17 working days 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.

Important note: Please ensure you enter the trust name as reference when you make the payment to ensure we can tie it up with your account.

Cheques must be made payable to Cofunds Limited. For building society cheque or banker's draft your name must appear on the front of the cheque or on the back of the cheque accompanied by the building society's or bank's official stamp and signature.

We might need to know where the money you are investing has come from. If we do, we'll contact you to ask you where the money has come from and for documentary evidence of this.

4. 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 4.3 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 contributions/transfer payments you can't select the default investment strategy and rebalancing options.

4.1 Single payment

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

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

4. Investment details – continued

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

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 ☒.

4.2 Regular payments

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

- Use the same investment selection as detailed in the single payment section.
- Invest in the funds shown in the table below.

The investments in the table below, should match the illustration you received from us. 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.

4. Investment details – continued

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

4.3 Model payment (For intermediary use only)

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

Name of existing model portfolio

4.4 Auto rebalancing

Set up rebalancing on my investments.

No Yes

Please confirm the frequency.

Frequency of rebalancing:

Quarterly Yearly

5. Investment income option

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 fund (default) – reinvest any income received back into the same fund.

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

6. Intermediary details (for intermediary use only)

6.1 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.

6.2 Initial Adviser Charge

This instruction must be completed if you want to take an initial adviser charge.

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 6.2 and 6.3.

Enter the amount or percentage to be deducted. Tick one option only.

 Amount Percentage of the lump sum payment %

Is this subject to VAT? Yes No

6.3 Initial adviser charge on regular contributions

Enter amount to be deducted. The charge can be paid over a maximum of 36 months.

 each month for months, totalling

Is this subject to VAT? Yes No

6.4 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

 p.a. or % p.a.

Is VAT to be added to the above? Yes No

6.5 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)

In this section 7, 'I' refers to the intermediary named in section 6.

I confirm that:

- 7.1 The information in section 2 was obtained by me in relation to the customer.
- 7.2 The evidence I have obtained to verify the identity of the customer: (tick one)

meets the standard evidence set out within the guidance for the UK Financial Sector issued by Joint Money Laundering Steering Group (JMLSG), or

exceeds the standard evidence – where the client is a Politically Exposed Person.

Name

Position

Date

D	D	M	M	Y	Y	Y	Y
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Signature

X	X
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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/ 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.

8. How we treat your personal information – continued

Scheme administrator

First Trustee

- Mail
- Phone
- SMS
- Email

Second Trustee

- Mail
- Phone
- SMS
- Email

Third Trustee

- 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/

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

9. Declaration

In this declaration:

'I', 'you', 'your' or 'my' refers to the trustees named in section 2 of this application form and 'Aegon', 'we' or 'our' 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.

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

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

I confirm that I am habitually resident in the United Kingdom.

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

I declare that:

I apply for the Aegon GIA in my capacity as Trustee to the pension scheme, detailed in section 1.1 of this application form, and services outlined in the application and agree to be bound by the Aegon Platform terms and conditions.

I will hold the Aegon GIA on behalf of the pension scheme detailed in section 1.1 of this application form.

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

I am 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 my knowledge and belief, I am aware that it is a serious offence to knowingly provide false or misleading information on the application.

9. Declaration – continued

I confirm that, if I have not received face to face advice from an appointed intermediary in connection with this application, I 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, I nominate my appointed intermediary to receive correspondence in relation to my investments. This instruction will remain in force unless my appointed intermediary has informed Aegon that they wish for this correspondence to be sent directly to me, or I 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 me or my appointed intermediary.

Where I am applying for an Aegon GIA through self-certification, I will provide details of all countries in which I am resident for tax purposes. If I do not provide these details, I will be reportable to HM Revenue & Customs (HMRC) as undocumented.

Where required to under UK law, Aegon can share information about me and my Aegon GIA to HMRC, who will then share this information with tax authorities in the relevant countries and territories.

I authorise Aegon to:

Hold my 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 my Aegon GIA, as and when I request that Aegon do so.

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

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

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

Scheme administrator

X	X
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Date

D	D	M	M	2	0	Y	Y
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First Trustee

X	X
---	---

Date

D	D	M	M	2	0	Y	Y
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Second Trustee

X	X
---	---

Date

D	D	M	M	2	0	Y	Y
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Third Trustee

X	X
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Date

D	D	M	M	2	0	Y	Y
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Aegon is a brand name of both Scottish Equitable plc (No. SC144517) registered in Scotland, registered office: Edinburgh Park, Edinburgh EH12 9SE, and Cofunds Limited, Registered in England and Wales No.3965289, registered office: Level 43, The Leadenhall Building, 122 Leadenhall Street, London, EC3V 4AB. Both are Aegon companies. Scottish Equitable plc is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Cofunds Limited is authorised and regulated by the Financial Conduct Authority (FCA). Their FCA Financial Services Register numbers are 165548 and 194734 respectively. © 2018 Aegon UK plc
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