

Aegon General Investment Account re-registration form for pension schemes

In this form, Aegon means Cofunds Limited. 'I,' 'you,' 'your' or 'my' refers to the trustees named in section 2 of this application form.


Use this form to transfer funds into a new or an existing 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 scheme administrator named in section 1.3 and the Trustees named in section 2.

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

You must have been provided with an illustration, Aegon Platform terms and conditions, Aegon GIA key features, and a Key Investor Information Document (KIID) or a Key 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 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.

You'll also need to complete an Aegon GIA re-registration authority form, found at the end of this form and on our website www.cofunds.aegon.co.uk, for each GIA you are transferring.

The number of re-registration authorities attached is

1. Pension scheme details

1.1 Pension scheme details

Email address

Are you an existing Aegon customer?

Yes – tell us your existing customer number

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No – please complete section 1.2 and 1.3.

Pension Scheme Tax Reference Number

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

1.2 Registered office address

Postcode

Designation

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

Correspondence address (if different to above)

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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I don't have a National Insurance number

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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I don't have a National Insurance number

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. 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 have an existing Aegon GIA with us, we'll apply your existing income option for any income units/shares you hold with us.

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.

4. Intermediary details (for intermediary use only)

4.1 Intermediary name

Firm name

Please detail any adviser or service charges below.

4.2 **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 £ p.a. or % p.a.

Is Value Added Tax (VAT) to be added to the above? Yes No

If any charge chosen in this section is to be subject to 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.

4.3 **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

5. Confirmation of verification of identity (For intermediary use only)

In this section 5, 'I' refers to the intermediary named in section 4.

I confirm that:

- 5.1 The information in section 1 was obtained by me in relation to the customer.
- 5.2 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 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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6. 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.

Scheme administrator

- Mail
- Phone
- SMS
- Email

First Trustee

- Mail
- Phone
- SMS
- Email

6. How we treat your personal information – continued

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.

7. Declaration

General declaration

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 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 and 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:

Where I have not given an existing customer number in section 1, I apply for the Aegon GIA and services outlined in the application and agree to be bound by the Aegon Platform terms and conditions. Where I have given an existing customer number in section 1, I instruct Aegon to apply the transfer funds into the Aegon GIA.

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.

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.

And 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 the Aegon Platform terms and conditions that are relevant to this application.

7. Declaration – continued

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 their 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, subscriptions, 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
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Date

D	D	M	M	2	0	Y	Y
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Second Trustee

X	X
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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
COF 380108 07/18



For customers | Aegon Platform

Aegon General Investment Account (GIA) re-registration authority

In this form, Aegon means Cofunds Limited.

Use this form to re-register investments from another investment/plan manager into an Aegon General Investment Account (GIA).

Important

You must send this form along with a completed and signed Aegon GIA re-registration application form.

If you're re-registering funds from multiple investment/plan managers and/or with separate designations to your Aegon GIA, you'll need to send a re-registration authority for each investment.

All details must match those held by the existing investment/plan manager. Any differences could cause delays to the requested transfer by re-registration.

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

1. Details of investments to be re-registered

Please list all investments that you hold with the investment/plan manager that you want to re-register to Aegon, including the Sedol codes. Please ensure the investments you choose to re-register are available through Aegon.

Please note we're unable to accept the re-registration of any investments which pay a commission to your intermediary.

Account reference with the existing investment/plan manager

Full investment manager name and investment name	Sedol code (this is shown in your Key Investor Information Documents (KIID))

If you've chosen income units/shares, please make sure you complete the income section of the Aegon GIA re-registration application form to indicate how the income should be applied.

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							
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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
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Primary account holder signature

Capacity (if applicable)

Second account holder

Date

D	D	M	M	2	0	Y	Y
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Second holder signature



3. Authorisation – continued

Capacity (if applicable)

Third account holder

Date

D	D	M	M	2	0	Y	Y
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Third holder signature

Capacity (if applicable)

Fourth account holder

Date

D	D	M	M	2	0	Y	Y
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Fourth holder signature

