



Aegon ISA transfer application form

In this form, Aegon means Cofunds Limited and 'I', 'me', 'my', 'you' and 'your' refer to the applicant named in section 1. Use this form to transfer investments from an ISA held with another ISA manager to an Aegon ISA. The Aegon ISA is a Stocks and Shares ISA.

You must have been provided with an illustration, Aegon Platform terms and conditions, Aegon ISA key features, 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.

If you transfer from a Lifetime ISA (LISA) to this Aegon ISA, your LISA status will be lost along with any other benefits specific to the LISA. As your Aegon ISA is not a LISA, there may be a government charge applied to the amount transferred.

If you're applying for a new Aegon ISA, we'll automatically set up a new individual Aegon GIA unless a suitable one exists.

Please complete this form in BLOCK CAPITALS and in ballpoint pen and return it and any additional information to: ISA Ltd, 16 High Street, Kegworth, Derby, DE74 2DA

Whenever you see this icon , you may have to send us additional material with this form.

You'll also need to complete an Aegon ISA transfer authority form for each ISA you're transferring.

You'll find a copy on our website www.cofunds.aegon.co.uk

The number of transfer authorities attached is

1. Customer details

1.1 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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1.2 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 to this form. 

1.3 Are you an existing Aegon customer?

☐ Yes – tell us your existing customer number.

3							
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☐ No – please complete section 1.4

Only complete 1.4 if you're a new Aegon customer.

1.4 Please tell us:

National Insurance number

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You should be able to find your National Insurance number on a payslip, from a P45 or P60, or a letter from HM Revenue & Customs (HMRC).

☐ I **don't** have a National Insurance number

Permanent residential address

Postcode

Email address

Gender

☐ Male ☐ Female

1. Customer details – continued

1.5 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 ISA key features and fund specific information and/or KIIDs relating to your investment.

2. Transfer in details

In this section, you need to tell us how you'd like to invest the transfer payment into your Aegon ISA. Your intermediary should complete section 2.2 if you're investing in a model portfolio.

2.1 Please tick one of the following options:

☐ Use my default investment strategy.

☐ Invest in the investments 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 in the table below, please contact us for a new illustration.

Full investment manager name, investment name and share class	SEDOL code (this is shown in your KIIDs)	% to be invested
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
Aegon ISA cash facility	n/a	%
Total amount	n/a	100%

2. Transfer in details – continued

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

☐ Use the investment choices above as my new default investment selection.

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.

2.2 Model portfolio (For intermediary use only)

If the customer is setting up a new Aegon ISA product:

Name of existing model portfolio

2.3 Auto-rebalancing

Auto-rebalancing (for intermediary use only)

☐ No ☐ Yes. Please confirm the frequency.

Frequency of rebalancing

☐ Quarterly ☐ Yearly

3. Investment income options

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 ISA.

The flexible ISA subscription rules introduced on 6 April 2016 don't apply to our Aegon ISA. This means if you make a withdrawal (consolidated natural income and/or regular withdrawals) from this Aegon ISA you won't be able to replace it without it counting against your annual ISA allowance for the current tax year.

If you have an existing Aegon ISA with us:

- For any income units or share you hold and you don't tick one of the boxes, we'll apply your existing income option
- If you want 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 fund.

☐ **Leave in cash** – pay any income into the ISA cash facility.

☐ **Consolidated natural income** – pay any income received to your nominated bank account as a monthly payment. (Complete section 5 to nominate a bank account.)

If you choose consolidated natural income or regular withdrawals, this will count as a withdrawal from your Aegon ISA.

4. Regular withdrawals

This section lets you take a regular withdrawal from your ISA.

You can't take regular withdrawals if:

- you're making regular payments into your ISA.
- you chose consolidated natural income in section 3.

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 of 1% to 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 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.

M	M	2	0	Y	Y
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If we receive this form within ten working days of the requested start date, we'll start withdrawals from the following month.

5. Bank details for payments out of investments

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

Payments can only be made to a personal account in your name.

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

Name of bank/building society

Account name

Branch sort code

 – –

Bank/building society account number

Building society roll number (if applicable)

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
ISA Ltd, 16 High Street, Kegworth, Derby, DE74 2DA	

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 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 6.2.1 and 6.3.

6.2.1 Initial adviser charge on the single payment

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

☐	Amount	£
☐	Percentage of the lump sum payment	%

Is this subject to Value Added Tax (VAT)? ☐ Yes ☐ No

VAT will be added to the amount entered or added after the amount has been calculated.

6.3 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.

6.4 Service charge

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

Service charge model name

7. Confirmation of Verification of Identity (for intermediary use only)

In this section, 'I', 'me' refers to the Intermediary named in this section 7.

- 7.1 The customer information in section 1 has been verified by me.
- 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 Joint Money Laundering Steering Group (JMLSG), or
☐	exceeds the standard evidence - where the client is a Politically Exposed Person.

(Written details of the further verification evidence taken are attached to this confirmation.)

Name

Position

Date

D	D	M	M	2	0	Y	Y
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Signature

X
X

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.

- ☐ 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

Customer declaration

- 9.1 I acknowledge that Aegon relies on the information contained in the following documents as they form the basis of the contract for opening an, or subscribing to an existing, Aegon ISA.
- the application;
 - these declarations and any other declarations made when applying for an, or subscribing to an existing, Aegon ISA and, where relevant, an Aegon GIA ;
 - the contract note for the Aegon ISA, and where relevant, the first contract note for the Aegon GIA; and
 - the Aegon Platform terms and conditions.
- 9.2 I confirm that I have had the opportunity to read these documents carefully (other than the contract note(s) which will be given to me in accordance with the Aegon Platform terms and conditions), along with the key features document(s), my personal illustration, Key Investor Information Documents and the declarations in this application, before completing this application process.
- 9.3 I confirm that I have had the opportunity to read the Aegon UK Retail Order Execution Policy and I agree to its terms.
- 9.4 I confirm that I am habitually resident in the United Kingdom.
- 9.5 I accept that the information and documents I have been provided with should not be taken as advice or a recommendation from Aegon.
- 9.6 I accept that Aegon has not and will not assess my suitability for opening an, or subscribing to an existing, Aegon ISA or any investment decisions I make. Except where I have received advice from an intermediary, this means I will not benefit from the protection of the Financial Conduct Authority's rules on assessing suitability. If I have any doubts about the suitability of the Aegon ISA, I should speak to an intermediary where I have not already done so.
- I declare that:**
- 9.7 Where I do not have an Aegon ISA capable of accepting the transfer payment:
- I apply to subscribe for a stocks and shares ISA for the tax year 2019/2020 and each successive year until further notice.
- I apply for an Aegon ISA, and where relevant an Aegon GIA, and services outlined in the application and agree to be bound by the Aegon Platform terms and conditions.
- 9.8 Where I do have an Aegon ISA capable of accepting the transfer payment, I apply to make this transfer payment to my existing Aegon ISA as detailed in section 1.
- 9.9 All subscriptions made, and to be made, to the Aegon ISA belong to me.
- 9.10 I am 18 years of age or over.
- 9.11 Except where allowed by legislation, I have not subscribed/made payments to, and will not subscribe/make a payment more than the overall subscription limit in total to any combination of permitted ISA types in the same tax year.
- 9.12 Except where allowed by legislation, I have not subscribed, and will not subscribe, to another stocks and shares ISA in the same tax year that I subscribe to this stocks and shares ISA.
- 9.13 I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties, which by virtue of Section 28 of Income Tax (Earnings and Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in civil partnership with, a person who performs such duties. I will inform Aegon if I cease to be so resident or perform such duties or be married to, or in civil partnership with, a person who performs such duties.
- 9.14 I agree to the Aegon ISA and, where relevant, the Aegon GIA, terms and conditions.
- 9.15 The information supplied in the application, and supplementary forms related to it, including transactional data, is true 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.
- 9.16 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 the Aegon Platform terms and conditions that are relevant to this application.

9. Declaration – continued

- 9.17 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.
- 9.18 Any payment into my Aegon ISA or, where relevant, my Aegon GIA, including contributions and transfers, will be placed in the appropriate cash facility. Thereafter, investments will be purchased in accordance with the investment instructions given by me, or my intermediary where I have appointed one in relation to my Aegon ISA or, where relevant, my Aegon GIA.
- 9.19 Where I have selected consolidated natural income in section 3 and am currently taking regular withdrawals from my existing Aegon ISA, I instruct Aegon to cancel the regular withdrawals.
- 9.20 Where I am applying for an Aegon GIA, through self-certification I have or 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.
- 9.21 Where required to under UK law, Aegon can share information about me and my Aegon GIA to HMRC, who will then share that information with tax authorities in the relevant countries and territories.
- 9.22 Where I have requested Aegon to pay regular withdrawals from my Aegon ISA, if the sum total of the amount in the product's cash facility and the amount realised by this instruction does not meet the amount of the regular withdrawal request, I am aware that Aegon will sell the largest value investment to cover any shortfall.

- 9.23 I am aware that the Aegon ISA is not a flexible ISA and I cannot replace any amount taken, either as consolidated natural income or as a regular withdrawal, from it into any ISA without that replacement counting towards my ISA allowance for the current tax year.

I authorise Aegon to:

- 9.24 Hold my cash, subscriptions, investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash.
- 9.25 Make on my behalf any claims to relief from tax in respect of any of my ISA investments.
- 9.26 Accept investment and disinvestment instructions from my intermediary where I have appointed one in relation to my Aegon ISA or, where relevant, my Aegon GIA.
- 9.27 Disclose details of my Aegon ISA or, where relevant, my Aegon GIA, to my appointed intermediary, and to accept instructions from my appointed intermediary with regard to all aspects of the running of the Aegon ISA and, where relevant, the Aegon GIA.
- 9.28 Pay any fees or charge specified by me to my appointed intermediary on my behalf from my Aegon ISA (including any adviser or service charge set out in section 6) or, where relevant, my Aegon GIA. I agree that the amount of the fee or charge reflects the terms of the agreement I have entered into with my appointed intermediary. The contract note will confirm the actual amount of the fee or charge to be deducted and paid to my appointed intermediary. If I disagree with the fee or charge then I must advise my appointed intermediary.

Date

D	D	M	M	2	0	Y	Y
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Signature

X	X
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Aegon ISA transfer authority

In this form, Aegon means Cofunds Limited.

Use this form to transfer an ISA from another ISA account manager into an Aegon ISA.

Important

You must send this form along with a completed and signed Aegon ISA transfer application form.

If you transfer from a Lifetime ISA (LISA) to an Aegon ISA, the LISA status for the transferred money will be lost along with any other benefits specific to the Lifetime ISA. As the Aegon ISA isn't a LISA, there may be a government charge applied to the amount transferred.

If you're transferring from multiple investment/plan managers, you'll need to send a separate transfer authority for each transfer.

All investment details entered in this form must match those held by the existing investment/plan manager. Any differences could cause delays to the requested transfer.

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

1. Investments that you want to sell (stocks and shares ISA cash transfer)

Please list all investments held with the investment/plan manager named on this form that you want to sell into cash and transfer to Aegon or tick the sell all box below. Please also complete section 2 of the Aegon ISA transfer application form to tell us which investments, including sedol codes, you'd like to reinvest into.

Account reference with the existing investment/plan manager

Sell all my investments ☐

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

2. Tax year subscriptions to be transferred

Transferring previous tax-year ISA savings

You can transfer some or all of your existing ISA savings from previous tax years to the Aegon ISA without affecting your current ISA allowance. You can transfer as many ISAs as you want to Aegon.

Transferring current tax-year ISA savings

Where you're transferring current year's subscriptions you must transfer 100% of those subscriptions for any type of ISA.

Which tax years' subscriptions do you want to transfer? Current ☐ Previous ☐ All ☐

If you have ticked current or all, please state your current year subscriptions to date £

3. Cash ISA transfer

All my cash ISA ☐ or this amount of my cash ISA £

Please tell us the notice period (if any), for you to transfer your cash ISA days

Branch sort code

Account or plan number (this must be completed)

4. Authorisation

Aegon ISA number (if applicable)

8

I authorise the ISA account manager named on this authority to transfer my investments in cash when requested to Lochside Nominees Ltd with immediate effect or where I so instruct at the end of a notice period, and forward the proceeds as specified below to my new Aegon ISA account manager at: Aegon Cofunds Administration, PO Box 17491, Edinburgh, EH12 1PB, and provide Aegon with any information reasonably required by them to allow them to accept this transfer.

Your full name

Name of existing investment/plan manager

Date

Existing investment/plan manager address

Signature

Postcode

