Aegon General Investment Account top up form

In this form, Aegon means Cofunds Limited.

This form is only suitable for completion by an intermediary who is appointed to act and provide instructions on behalf of the customer(s) named in section 2, including the trustees of a trust or a company. All information supplied in this application is being supplied by the intermediary on behalf of the customer(s) named in section 2.

The intermediary must sign the declaration in section 7.

Before completing this form
Use this form to top up an existing Aegon General Investment Account (GIA) held by the customer(s) named in section 2.

An illustration and key documents must be provided for the Aegon GIA before completing this form, or we will not be able to process the request. Please contact us on 0345 604 4001 to request an illustration, Aegon GIA key features, and Key Investor Information Document (KIID) or a Key Information Document for each fund (call charges will vary).

Please send the completed form by post to: Individual Savings Accounts Ltd, 16 High Street, Kegworth, Derbyshire, DE74 2DA.

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

If you'd like a large print, Braille or audio CD version of this document, please contact us on 0345 604 4001 (call charges will vary) or email **aegoncofundsadministration@aegon.co.uk** We're always here to help so if you need some additional support from us please let us know.

If contacting us by email, please don't include any personal, financial, or banking information as email isn't a secure method of communication. If you decide to send information in this way, you're doing so at your own risk as there's no guarantee that any email sent by you to us will be received or remain private during transmission. Where secure online journeys are available, please login to complete these.

1. Intermediary details

Intermediary name

Address

Postcode

Firm name

Individual Savings Accounts Ltd

Financial Conduct Authority (FCA) number

2. Customer details

Illustration reference

This must be completed to enable us to process your application – if this is blank it will result in your application being rejected.

Please provide the customer's details, including details of all joint holders (if applicable).

2.1 Product number

8

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

Full forename(s)

Surname

Company name (if applicable)

Scheme name (if applicable)

Designation (if applicable)

Date of birth

D D M M Y Y Y Y

Did you give the customer(s) advice before completing this form?

Yes No

2.2 Joint holders

Please complete for each joint holder.

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

Full forename(s)

Surname

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

Full forename(s)

Surname

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

Full forename(s)

Surname

3. Top up details

3.1 The top up will be paid into the Aegon GIA by:

☐ Cheque Amount £

☐ Bank transfer Amount £

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

3.2 Important note: Please ensure for both bank transfers and cheques that the Aegon product number or the customer's surname and date of birth, or company name or trust name, is entered as the reference when the payment is made to ensure we can tie it up with the Aegon GIA.

Cheques must be made payable to Cofunds Limited. For a Building Society cheque or banker's draft the customer's 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 the customer(s) are contributing and the funds have come from.

Source of funds (your source of funds is the details of the bank account that your money to invest comes from).

Source of wealth (your source of wealth is how you got the money to invest, for example from regular savings from your salary, selling a property or an inheritance payment).

4. Investment details

In this section, tell us how the top up is to be invested into the Aegon GIA.

☐ Use the customer's existing investment strategy.

☐ Invest as set out in the table below.

The investments should match the illustration the customer(s) received from us, if they don't, we won't be able to process this request. If the customer(s) wish to choose different investments, please contact us for a new illustration.

If more room is needed to list 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 ✉.

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

The investment choices the customer(s) make can be applied to all future investment choices for the Aegon GIA. Please tick the box below if the customer(s) want to do this.

☐ Use the investment choices above as the customer's new default investment selection.

5. Investment Income options

If income-generating investments have been selected in section 4, the customer(s) can choose how any income distributions paid from those investments should be dealt with when we receive them from the investment provider. We'll apply this new selection to all income generating investments held within the Aegon GIA.

As the customer(s) currently hold an Aegon GIA:

- For any income units/shares held and:
  – if no option is selected below, we'll apply the existing income options for the Aegon GIA.
  – if an option is selected below, this will replace the existing income options for the Aegon GIA.
- If the customer(s) wish to take consolidated natural income and are currently taking regular withdrawals, please select 'consolidated natural income' below and we'll cancel the existing regular withdrawals.

Please tick one of the following option:

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

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

☐ Consolidated natural income – pay any income received to the nominated bank account as a monthly payment. (Complete section 6 to nominate a bank account.)

6. Bank details for payments out of investment income

Please provide details of the bank/building society account the consolidated natural income is to be paid to.

Payments can only be made to an account in the customer's name.

If this is the first payment to the nominated bank account, we may need a certified copy of a bank statement and a relevant document for proof of signature. We'll contact the customer if we need this.

Name of Bank/Building society

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.

Account name

7. Intermediary declaration

In this declaration:

'I' , 'my' and 'me' means the intermediary named in section 1 of this additional application form who is authorised to act and provide instructions on behalf of the customer(s) named in section 2 of this additional application form, including the trustees of a trust or a company, (the 'customer'), and

'Aegon' means Cofunds Limited.

General Declaration

7.1 I declare that to the best of my knowledge and belief, the information I have supplied to Aegon on behalf of the customer is true and complete.

7.2 I declare that I have the appropriate authority from the customer, including as delegated by the trustees of a trust or a company, to complete this application form, to give the declarations in this application form on their behalf and to provide Aegon with the instructions set out in this application form.

7.3 I acknowledge that Aegon reserves the right to request a copy of the authority of the customer, and I will provide Aegon with a copy immediately upon Aegon's request. I acknowledge that if I fail to provide such copies on request, Aegon will be unable to proceed with the application.

7.4 I declare that I have discussed the application form with the customer and they are aware of its content and that I am submitting this application on their behalf to Aegon.

7.5 I hereby indemnify Aegon against all claims, losses, tax charges, penalties and interest incurred or due to be paid by Aegon as a result of my failure to obtain the appropriate authority from the customer and/or supplying incorrect or inaccurate information and Aegon relying on and following the instructions given in this application form.

7.6 I acknowledge that Aegon will rely on the information contained in the following documents as they form the basis of the customer making a top up to the existing Aegon GIA detailed in section 2:

1. the application;
2. these declarations and any other declarations made when applying to make a top up to the Aegon GIA;
3. the contract note (where applicable), and
4. the Aegon Platform terms and conditions.

By completing the application form and giving these declarations on behalf of the customer, I confirm that I have discussed these documents with the customer and given them opportunity to read them (other than the contract note which will be given to the customer in accordance with the Aegon Platform terms and conditions), along with the key features document, the personal illustration, key investor information documents and the declarations in the application.

7.7 I confirm that the customer is habitually resident in the United Kingdom.

7.8 I accept, and have explained to the customer, that the information and documents Aegon has supplied should not be taken as advice or a recommendation from Aegon.

7.9 I accept, and have explained to the customer, that Aegon will not assess the customer's suitability for making a top up to the Aegon GIA detailed in section 2 or any investment decisions made on their behalf. I confirm that I have provided advice to the customer in this regard and not Aegon.

7.10 I confirm that I have the authority from the customer to apply on their behalf to make the top up equivalent to the amount detailed in section 3 to the Aegon GIA detailed in section 2.

7.11 I confirm that the customer is 18 years of age or over.

7.12 I have discussed the content of the Aegon GIA terms and conditions with the customer and they agree to bound by them.

7.13 I have explained to the customer and the customer has accepted that the top up into their Aegon GIA, will be placed in the cash facility. Thereafter, investments will be purchased in accordance with the investment instructions given by me or the customer, including the investment instructions given in section 4 of this application form.

7.14 I have explained to the customer and the customer has accepted that they will have to provide details through self-certification of all countries in which they are resident for tax purposes. If the customer does not provide these details, they will be reportable to HM Revenue & Customs (HMRC) as undocumented.

7.15 I have explained to the customer and the customer has accepted that where required under UK law, Aegon can share information about the customer and their Aegon GIA to HMRC, who will then share that information with tax authorities in the relevant countries and territories.

7.16 I confirm that where a new investment income option has been selected in section 5, I have discussed and agreed with the customer that this will replace any existing income option that applies to the Aegon GIA.

7.17 I confirm that where I have instructed consolidated natural income to be paid on behalf of the customer in section 5 and the customer is currently taking regular withdrawals from their existing Aegon GIA, I have discussed and agreed with the customer that I instruct Aegon to cancel the regular withdrawals on the Aegon GIA on the customer's behalf.

On behalf of the Aegon GIA customer, I instruct Aegon to:

7.18 Hold the customer's cash, subscriptions, investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash.

7.19 Arrange any transfer of an existing GIA held with a different provider to the Aegon GIA as and when Aegon is requested to do so.

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

7.21 Accept investment and disinvestment instructions from me in relation to the Aegon GIA.

7.22 Disclose details of the Aegon GIA to me, and accept instructions from me with regard to all aspects of the running of the Aegon GIA.

7.23 Pay any adviser and/or service charges to me. I agree that the amount of any charge which the customer has agreed to pay to me reflects the terms of the agreement I have entered into with the customer, evidence of which will be supplied to Aegon on request. The contract note will confirm the amount of the charge to be deducted and paid to me. Where there is any disagreement between the customer and me as to the amount due the matter should be resolved direct between the customer and me.

Date

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Intermediary signature

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