

Aegon General Investment Account re-registration application form

If your personal circumstances mean you need any additional support, or if you'd like a large print, braille or audio CD version of this document, please call 0345 604 4001 (call charges will vary) or visit aegon.co.uk/support

In this form, Aegon means Cofunds Limited.

Use this form to transfer funds into an Aegon General Investment Account (GIA) from another provider, only if you're applying for a new account in the name of an individual. It cannot be used to apply for a new account in the name of a corporate trust or trust entity.

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 go to aegon.co.uk/support to download the form **Illustration request – Aegon GIA and Aegon ISA**. We'll send you the relevant documents along with your illustration.

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.

You'll also need to complete an Aegon GIA re-registration authority form for each plan you're transferring to. You'll find a copy on our website cofunds.aegon.co.uk

The number of re-registration authorities attached is

1. 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.

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

Full forename(s)

Surname

or, Company name (if applicable)

Trust name (if applicable)

Scheme name (if applicable)

Registered charity name (if applicable)

Date of birth

1.2 For tax purposes, are you a tax resident in another country in addition to the UK?

☐ Yes – please provide this information in the table below

☐ No

Country/Countries of tax residency	Tax reference/ Tax identification number(s)

1.3 Are you an existing Aegon customer?

☐ Yes – tell us your existing customer number.

3

☐ 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

You should be able to find your NI number on a payslip, form P45 or P60, a letter from HM Revenue & Customs, a letter from DWP, or pension order book.

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

Are you habitually resident in the UK?

☐ Yes

☐ No – If you answer No to this question we won't be able to process your application. You can't continue with this application.

Permanent residential address

Postcode

Email address

Gender

☐ Male ☐ Female

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 GIA key features, terms and conditions and fund specific information and/or Key Investor Information Documents (KIIDs) relating to your investment.

1. Customer details – continued

1.6 Designation

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

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

1.7 Is this a joint account?

☐ Yes☐ No

Name of joint account. You can give this account a name that makes it easy for you to identify it.

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2. Joint holders

Aegon GIA can have up to an additional three joint holders. Please include the full details of each additional joint holder. All correspondence will be sent to the primary holder.

2.1 Second joint holder

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

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Full forename(s)

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Surname

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Date of birth

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For tax purposes, are you a tax resident in another country in addition to the UK?

☐ Yes – please provide this information in the table below☐ No

Country/Countries of tax residency	Tax reference/ Tax identification number(s)

Are you an existing Aegon customer?

☐ Yes – tell us your existing customer number.

3							
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☐ No – please complete section 2.1.1

2.1.1 Additional details

Please tell us:

National Insurance number

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You should be able to find your NI number on a payslip, from a P45 or P60, a letter from HM Revenue & Customs, a letter from the DWP, or a pension order book.

☐ I don't have a National Insurance number

Are you habitually resident in the UK?

☐ Yes

☐ No – If you answer No to this question we won't be able to process your application. You can't continue with this application.

Permanent residential address

Postcode

Email address

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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 consent to this.

Gender ☐ Male ☐ Female

2. Joint holders – continued

2.2 Third joint holder

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

Full forename(s)

Surname

Date of birth

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For tax purposes, are you a tax resident in another country in addition to the UK?

☐ Yes – please provide this information in the table below

☐ No

Country/Countries of tax residency	Tax reference/ Tax identification number(s)

Are you an existing Aegon customer?

☐ Yes – tell us your existing customer number.

3							
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☐ No – please complete section 2.2.1

2.2.1 Additional details

Please tell us:

National Insurance number

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You should be able to find your NI number on a payslip, from a P45 or P60, a letter from HM Revenue & Customers, a letter from the DWP, or a pension order book.

☐ I don't have a National Insurance number

Are you habitually resident in the UK?

☐ Yes

☐ No – If you answer No to this question we won't be able to process your application. You can't continue with this application.

Permanent residential 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 consent to this.

Gender ☐ Male ☐ Female

2. Joint holders – continued

2.3 Third joint holder

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

Full forename(s)

Surname

Date of birth

For tax purposes, are you a tax resident in another country in addition to the UK?

☐ Yes – please provide this information in the table below

☐ No

Country/Countries of tax residency	Tax reference/ Tax identification number(s)

Are you an existing Aegon customer?

☐ Yes – tell us your existing customer number.

☐ No – please complete section 2.3.1

2.3.1 Additional details

Please tell us:

National Insurance number

You should be able to find your NI number on a payslip, from a P45 or P60, a letter from HM Revenue & Customs, a letter from the DWP, or a pension order book.

☐ I don't have a National Insurance number

Are you habitually resident in the UK?

☐ Yes

☐ No – If you answer No to this question we won't be able to process your application. You can't continue with this application.

Permanent residential address

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 consent to this.

Gender ☐ Male ☐ Female

3. Investment income options

In this section, 'you' or 'your' means the Aegon GIA investor named in section 1.

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:

- For any income units/shares you hold and if you don't tick one of the boxes below, we'll apply your existing income option.
- 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 fund.
- ☐ **Leave in cash** – pay any income into the GIA 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.) Consolidated natural income payments cannot be made in respect of accounts held on behalf of a pension scheme.

4. Regular withdrawals

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

You can't take regular withdrawals if:

- you're making regular payments into your GIA.
- 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%.
Please specify in the box.

 % or

Percentage of product value

 %

4. Regular withdrawals – continued

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.

2 0

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 and regular withdrawals

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

Payments can only be made to a personal account in your name. Payments in respect of pensions, trusts, registered charities or companies will be made to the bank account nominated by that entity.

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.

Rather than send us an original document, send us a certified copy, please see the 'Who can certify a document and how do they do it?' FAQ on our website for how to do 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. Adviser details (for adviser use only)

6.1 Adviser 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

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If no – Ongoing adviser charge £ p.a. or % p.a.

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

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

I confirm that:

Name

7.1 The information in section 1 above 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)

Position

☐ meets the standard evidence set out within the guidance for the UK Financial Sector issued by JMLSG, or

Date

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

Signature

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

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

In this declaration:

In this declaration 'Aegon' refers to Cofunds Limited, and 'I' or 'my' refers to the holder(s) of the Aegon GIA named in section 1.1 and section 1.6 (if applicable). All holders are required to sign and date the declaration.

General declaration

9.1 Aegon relies on the information contained in the following documents as they form the basis of opening a new Aegon GIA:

- the application;
- these declarations and any other declarations made when applying for an 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.

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

9.3 I accept that the information and documents I have been provided with should not be taken as advice or a recommendation from Aegon.

9.4 I accept that Aegon has not and will not assess my suitability for opening an Aegon GIA or investment decisions I make. 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 for the Aegon GIA, I should speak to a financial adviser.

I declare that:

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

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

9.7 I am 18 years of age or over.

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

9.10 Any payment into my 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 financial adviser where I have appointed one in relation to my Aegon GIA.

9.11 Where I have selected consolidated natural income in section 3 and are currently taking regular withdrawals from my existing Aegon GIA, I instruct Aegon to cancel the regular withdrawals.

9.12 I have or will provide details through self-certification 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.

9.13 Where required 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.

9.14 This application has been completed to the best of my knowledge and belief.

9.15 Where I have requested Aegon to pay regular withdrawals from my Aegon GIA, 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. Declaration – continued

I authorise Aegon to:

- 9.16 Hold my cash, subscriptions, investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash.
- 9.17 Arrange any transfer of an existing GIA held with a different provider to my Aegon GIA as and when I request Aegon to do so.
- 9.18 Obtain details from my existing GIA provider(s) and authorise the giving of any such details to Aegon.
- 9.19 Accept investment and disinvestment instructions from my adviser where I have appointed one in relation to my Aegon GIA.
- 9.20 Disclose details of my Aegon GIA to my appointed adviser, and accept instructions from my appointed adviser with regard to all aspects of the running of the Aegon GIA.
- 9.21 Pay any fees or charges specified by me (including any ongoing adviser charge or service charge set out in section 6.2 and 6.3) to my appointed adviser on my behalf from 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 adviser. The contract note will confirm the actual amount of the fee or charge to be deducted and paid to my appointed adviser. If I disagree with the fee or charge then I must advise my appointed adviser of this.

Date

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Capacity

Primary holder signature

X

X

Date

				2	0		
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Capacity

Second holder signature

X

X

Date

				2	0		
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Capacity

Third holder signature

X

X

Date

				2	0		
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Capacity

Fourth holder signature

X

X

9. Declaration – continued

For companies, pension trustees, trustees
and registered charities only

Date

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Capacity in which declaration is made (for
example owner, trustee authorised signatory)

Primary holder signature

X							X
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Date

				2	0		
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Capacity in which declaration is made (for
example owner, trustee authorised signatory)

Second holder signature

X							X
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Date

				2	0		
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Capacity in which declaration is made (for
example owner, trustee authorised signatory)

Third holder signature

X							X
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