

Aegon ISA re-registration application form (stocks and shares)

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 re-register investments from an ISA with another ISA manager into an Aegon ISA.

An illustration and key documents must be provided for the Aegon ISA before completing this form, or we will not be able to process the request. Please go to aegon.co.uk/support to download the form 'Illustration request – Aegon GIA and Aegon ISA'. Along with the illustration, we'll send you the terms and conditions, Aegon ISA key features, Aegon Platform terms and conditions, and a Key Investor Information Document (KIID) or a Key Information Document for each fund you're investing in.

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

All details entered on this form must match those held by the existing ISA account manager. Any differences could cause delays. If you re-register investments from a Lifetime ISA (LISA) to your Aegon ISA, the LISA status for the re-registered investments will be lost along with any other benefits specific to the LISA. Whenever you see this icon *, you may have to send us additional information.

1. Customer details

1.1 Illustration number

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If you don't provide your illustration number, it may lead to your application being rejected.

1.2 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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Gender

☐ Male

☐ Female

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've consented to this.

1.3 For tax purposes, are you resident anywhere other than the UK?

☐ No

☐ Yes - download and complete the Individual self-certification form on our website and attach it to this form. *

1.4 Are you an existing Aegon customer?

☐ Yes

Please tell us your existing customer number

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☐ No - Please complete section 1.5.

Only complete 1.5 if you're a new Aegon customer.

1. Customer details – continued

1.5 Please tell us

National Insurance number

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☐ I don't have a National Insurance number

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

Permanent residential address

Postcode

1.6 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 Key Investor Information Documents (KIIDS) relating to your investment.

2. Investment income options

In this section, 'you' or 'your' means the Aegon ISA 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 in the Aegon ISA.

If you have an existing Aegon ISA 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 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 4 to nominate a bank account.)

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

3. Regular withdrawals

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

You can't take regular withdrawals if:

- You're making regular payments into your ISA
- You chose consolidated natural income in section 2

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.

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.

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If we receive this form within 10 working days of the requested start date, we'll start withdrawals from the following month.

Withdrawal frequency

- ☐ Monthly
- ☐ Quarterly
- ☐ Half yearly
- ☐ Year

Payment day

- ☐ 9th
- ☐ 18th
- ☐ 27th

4. Bank details for payments out of investments

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. 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 sending 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.

5. Adviser details (for adviser use only)

5.1 Adviser name

Firm name

Please detail any adviser or service charges below.

5.2 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

5.3 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

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

- I confirm that:**
- 6.1 The information in section 1 was obtained by me in relation to the customer.
- 6.2 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)
- ☐ 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

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D

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M

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Y

Y

Signature

X

X

7. How we treat 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.

8. Declaration

In this declaration 'Aegon' refers to Cofunds Limited, and 'I' or 'my' refers to the Aegon ISA investor named in section 1.

General declaration

- 8.1 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.
- 8.2 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.
- 8.3 I confirm that I am habitually resident in the United Kingdom.
- 8.4 I accept that the information and documents I have been provided with should not be taken as advice or a recommendation from Aegon.
- 8.5 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 adviser, 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 adviser.
- I declare that:**
- 8.6 Where I do not have an Aegon ISA capable of accepting the re-registration of investments:
- I apply to subscribe for a stocks and shares ISA for the tax year 2023/2024 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.
- 8.7 Where I do have an Aegon ISA capable of accepting the re-registration of investments, I apply for the re-registration of investment to be made to my existing Aegon ISA as detailed in section 1.
- 8.8 All subscriptions made, and to be made, to the Aegon ISA belong to me.
- 8.9 I am 18 years or over.
- 8.10 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.
- 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
 - The Aegon Platform terms and conditions
- 8.11 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.
- 8.12 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 a registered 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 a registered civil partnership with, a person who performs such duties.
- 8.13 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.
- 8.14 Where I have selected consolidated natural income in section 2, and are currently taking regular withdrawals from my existing Aegon ISA, I instruct Aegon to cancel the regular withdrawals.

8. Declaration – continued

8.15 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 adviser where I have appointed one in relation to my Aegon ISA or, where relevant, my Aegon GIA.

8.16 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.

8.17 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.

8.18 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.

I authorise Aegon to:

8.19 Hold my cash, subscriptions, investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash.

8.20 Make on my behalf any claims to relief from tax in respect of any of my ISA investments.

8.21 Accept investment and disinvestment instructions from my adviser where I have appointed one in relation to my Aegon ISA or, where relevant, my Aegon GIA.

8.22 Disclose details of my Aegon ISA or, where relevant, my Aegon GIA, to my appointed adviser, and to accept instructions from my appointed adviser with regard to all aspects of the running of the Aegon ISA and, where relevant, the Aegon GIA.

8.23 Pay any fees or charge specified by me to my appointed adviser on my behalf from my Aegon ISA (including any ongoing adviser charge set out in section 5.2) 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 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.

Date

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Signature

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