For intermediaries only

Sending forms to us by email - questions and answers

To make sure that you can continue to easily use our platforms during the pandemic, there's now a number of forms that we can accept by email, without a signature from you or your client – where there's not an online process.

This document includes some question and answers that may help you, saving you from contacting us straight away.

<table>
<tr><th colspan="2">For intermediaries</th></tr>
<tr><th>Question</th><th>Answer</th></tr>
<tr><td>Can I send you form that has been signed electronically using Adobe Sign or DocuSign?</td><td>Yes, we're accepting certain forms through Adobe Sign or DocuSign – based on your priority.

There's two things to remember:

1. make sure you send us the Certificate of Completion (DocuSign) or the Adobe Final Audit Report (Adobe Sign), and

2. the completed form must be emailed to us by you or a paraplanner at your firm, not your client.

This isn't a complete list and we'll add more forms regularly. The forms we can accept through either method are:

Aegon Retirement Choices (ARC)/One Retirement

• SIPP re-registration authority
• SIPP transfer authority
• ISA and GIA re-registration authority
• ISA transfer authority
• Recurring switch into cash
• Recurring switch from cash
• Letter of authority (letter on your company headed paper)</td></tr>
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	Aegon Platform • ISA and GIA re-registration authority • ISA transfer authority • SIPP re-registration authority • SIPP transfer authority • Recurring switch into cash • Recurring switch from cash • Letter of authority (letter on your company headed paper) • Investment strategy instruction • Unit and share class conversion form Please note where the form is available to download as part of the online process we can accept it using an e-signature.
I can't seem to open or edit the forms on a mobile or tablet, why is this?	If you want to complete the forms on a mobile or tablet device you'll need to open the forms in a PDF reader application – there are a variety of free ones available to download from your app store.
When do I need to send you the declaration by email?	We've updated most of the forms so they now include either a customer or adviser declaration in the PDF. This means, where there's an **adviser declaration** you can complete the form and email it to us as it is. But where there's a **customer declaration**, the client will need to complete the form. You can email the form to us but we must be able to clearly see your client's original email and the form must have their name in the signature box. However, we do still need you to email us the declaration for the following forms when they're downloaded as part of the online process: • transfer authority forms; • re-registration authority forms; • direct debit instruction forms, and • death benefit nomination/expression of wish forms.

Question	Answer
Can anyone within my intermediary firm send the declaration in by email for a form that a client would normally sign?	We can accept an email from a paraplanner but they must have the requisite authority to do so on behalf of the intermediary, and the intermediary's name needs to be in the signature box of the form.
What do I need to provide if my client has wet signed a form but I'm emailing it to you?	If the form has been completed by your client with a wet signature, you won't need to provide a declaration. But we do need the sender to confirm in the email that the signature on the document you attach is 'a true likeness of the original'.
Will you accept SIPP and ISA transfer forms and re-registration forms without my client's signature or with an e-signature using DocuSign or Adobe Sign?	Yes we'll accept these forms, but the ceding scheme may ask for their signature or e-signature. If they do, we'll contact you to let you know. Please be aware that these forms are generated as part of the online process and so your email needs to include the declaration.
I want to email a signed form rather than send in the post, but I don't have a scanner. Will you accept photos of the signed forms?	There are several apps available on iOS and android that act as a scanner. For example, Fast scanner, Evernote Scannable, CamScanner. We'll accept copies of forms scanned on an app. However, using an app isn't a secure method of communication and there's no guarantee that it will remain private during internet transmission. So, you should avoid sending us any personal or confidential information this way. If you decide to send information in this way, you are doing so at your own risk.

Question	Answer
What will you accept as bank verification to withdraw money?	We'll try to validate all bank accounts electronically. But if we're unsuccessful, we'll ask you to confirm you're aware of the request and that the bank account is known to you. If we're still unsuccessful we can validate the bank evidence by: : • A clear facial photo of your client holding a current photo driving licence or passport open at the photo page. • A clear image of bank statement or bank card or cheque (must show sort code and account number), with a clear facial photo of themselves holding a current photo driving licence or passport open at the photo page. Details shown on the documentary evidence must match the information we hold.
What is the best way for me to contact your Customer Services?	All our employees are now providing support from home and are carrying out all requests. You can get in touch using the details on our Contact Us page.
My client's address has changed, what do I need to send to you to update their account?	We'll try to validate all addresses electronically. But if we're unsuccessful, we can validate the address by: • A clear facial photo of your client holding a current photo driving licence or passport open at the photo page – this will enable us to check your client's identity, and • A document showing their correct address, such as a utility bill or council tax bill – this will enable us to check their address. Details shown on the documentary evidence must match the information we hold.
My client has passed away, how do I notify you?	We understand this may be a difficult time, but please let us know your client has passed away as soon as you can so we can make sure we can give you the information you need. Please provide us with the documents and information you're able to and we'll consider the best way forward.

Question	Answer
Will you accept email or scanned copies of death claims and supporting documents, rather than the original?	Yes – but our requirements vary depending on the platform your client uses. We need a scanned copy of the settlement deeds and, where applicable, identity verification documents, bank account verification and grant of probate certified by you, a regulated solicitor or chartered accountant. In the current circumstances, please provide us with the documents and information you're able to and we'll consider the best way forward.
Will you accept email or scanned copies of other legal documents?	**Trust set up (Trust Deed)** We can accept scanned copies or photographs of all the required deeds. We still need to see the Trust Deed that established the trust, as well as any deeds which either changed the trust rules or changed the trustees. **Corporate set up (supporting documents)** We can accept scanned copies or photographs of all the deeds we usually need for corporate set up. **Power of Attorney and Court of Protection** We can accept scanned copies or photographs of the relevant documents for the following: • General Power of Attorney • Lasting/Enduring/Continuing Power of Attorney - provided they visibly contain the relevant Office of the Guardian stamps/marks. • Court of Protection (or Scottish/Northern Irish equivalent) court documents to appoint a Deputy (Guardian in Scotland and Controller in Northern Ireland) – provided they visibly contain the relevant court stamps/marks. **Divorce (supporting documents, Divorce Decree)** We can accept scanned copies or photographs of the court documents, provided they visibly contain the relevant court markings (as we would normally check for with a certified copy of the original). The person sending the email must confirm that the document attached is a true copy of the original.

Question	Answer
Previously I could send you an email instruction without a form for certain transactions such as amending my client's income. Will you now need a form and declaration instead?	We've not changed existing processes, so where you'd usually email an instruction and we'd accept it, please continue to do so.
I don't have regular contact with my client, so will you accept an email instruction directly from them instead?	Yes, your clients can also send us the same forms without their signature but they must type their name in the client signature box on the form.
Will I get an acknowledgement after sending a form to you by email?	No, unfortunately we can't support sending you an email acknowledgement at this time. To see the progress of the transaction, you can use the **In progress/completed transfers** report in Report Zone and/or the transaction history tools.
How can I make sure the emails I send you after secure?	You should follow your own internal security processes when sending emails to us. Please note that there's no guarantee that any email sent will be received or that it will remain private during internet transmission. So, you should avoid sending us any personal or confidential information this way. If you decide to send information in this way, you are doing so at your own risk.
You ask for a name on the declaration, do you want the client name or the name of the person sending us the instruction on behalf of the client?	Please include the name of the person sending the instruction to us.
Are all forms now an editable PDF?	Please use our guides Sending forms to us by email – Aegon Platform or Sending forms to us by email – ARC/One Retirement for a list of the documents that are editable and available on our websites.