AEGON

For intermediaries only

Sending client forms to us by email

Our top priority is to make sure that you can continue to easily use the Aegon Platform during the pandemic.

Some of our processes are online, but for those that aren't you can now complete certain forms online and email them to aegoncofundsadministration@aegon.co.uk – without us needing a wet signature from you or your client.

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.

All we ask is that you complete the form by typing in the boxes instead of writing and:

If you're sending us the form on behalf of your client – you read and sign the adviser declaration, type your name into the adviser signature box and date the form.

If your client is sending us the form – they read the customer declaration, type their name into the customer signature box and date the form.

If you're sending us a form that only needs an intermediary signature - you read the adviser declaration, type your name into the adviser signature box and date the form.

The typed name becomes the signature and confirms you're making the declarations and that you wish to proceed with the instructions in the form.

Forms as part of online processes

Most of the forms include a declaration, but we do still need a declaration emailed to us for the forms below, 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

Completing forms on a mobile or tablet

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.

Use DocuSign or Adobe Sign to send us signed forms more quickly and easily than before

We're aware that a lot of our intermediaries use DocuSign or Adobe Sign to manage client instructions. So based on feedback about your priorities, we can now accept selected forms through these programs that usually need a wet signature. We've signposted the forms below. Although 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.

Important information before you complete the forms that need the declaration

Please make sure you copy and paste the below wording in your email, adding your name, customer reference and the date, when you attach the completed form.

I confirm that by returning the attached completed form(s) to you with this email I wish it/them to be treated by you as signed by me. In particular I confirm that:

- I have read and agree to all legal and other declarations contained in the form(s);
- Where I am an employer confirming records of contributions and payments, I have read the declarations and confirm the accuracy of these statements;
- I have considered the declarations which relate to tax limitations, requirements, allowances and liabilities for GIA, ISA, JISA and pension contributions;
- I have the requisite authority to make these declarations;
- For accounts with more than one account holder, party who can act or other parties with rights to the account I act with the consent, authority and knowledge of all of the other account holders and parties.
- Where I am applying for a new account I am over 18 and habitually resident in the United Kingdom.

You should treat this email as if I have returned the signed form[s] to you dated today. I accept that you will act on these instructions on that basis.

Name:

Customer reference:

Date:

Email checklist

✓ If you decide to email forms to us, it will need to come from the email address that's registered with us.

✓ Only include one instruction on each email.

✓ Make sure you include the declaration above.

Use the links below to navigate to the forms for the relevant product.

GIA and ISA

Junior ISA

Aegon SIPP

Administration

Can’t access the online processes?

If you can’t use or access the online processes for the transactions we show in this document, you can download the paper forms from our document library. You can complete these forms online, without having to print them.

GIA and ISA

Contributions		
Transaction type	**Form**	**Online process**
GIA application - set up a new Aegon GIA, add money and/or set up regular withdrawals		✓
ISA application - apply for an ISA in the 2020/2021 tax year		✓
GIA/ISA regular contributions - set up a new regular payment or amend or cancel an existing regular payment into a GIA or ISA		✓
GIA direct debit[1] - set up a new direct debit for an existing GIA		✓
ISA direct debit[1] - set up a new direct debit for an existing ISA		✓
Inheritable ISA application[1] – to make cash subscriptions (also known as additional permitted subscriptions) into a new or existing Aegon ISA	Inheritable ISA allowance application form	✗
GIA to ISA switch for joint holders[1] – perform a GIA to ISA switch in the 2020/2021 tax year	Withdrawal from a GIA into an ISA for joint holders	✗

[1] This form must be emailed to us by the client. If you're forwarding us an email your client has sent to you, that includes the forms and declaration, we must be able to clearly see their original email.

GIA and ISA

Transfers		
Transaction type	**Form**	**Online process**
DocuSign/ Adobe Sign — **ISA/GIA re-registration authority -** to tell us the details of the previous plan manager, so we can request the re-registration. This form is generated as part of the online process		✓
DocuSign/ Adobe Sign — **ISA transfer authority** - to tell us the details of the previous plan manager, so we can request the transfer. This form is generated as part of the online process		✓
Asset transfer - transfer investments between GIAs held by two different clients – either between two existing GIAs or from an existing GIA to a new GIA	Asset transfer form	✗
Withdrawals		
Transaction type	**Form**	**Online process**
GIA/ISA withdrawal – request a withdrawal from an Aegon GIA or ISA		✓

Track your transactions

Use the **In progress/completed transfers report** in Report Zone to track the progress of a transaction.

Junior ISA

Contributions		
Transaction type	**Form**	**Online process**
Junior ISA application[1] **-** to apply for a Junior ISA in the 2020/2021 tax year	Aegon Junior ISA application form	✘
GIA to Junior ISA switch[1] **-** perform a GIA to Junior ISA switch in the 2020/2021 tax year	Withdrawal from a GIA into a Junior ISA	✘
Junior ISA regular contributions[1] **-** set up a new regular payment or amend or cancel an existing regular payment into Junior ISA	Aegon Junior ISA regular contributions amendment form	✘
Transfers		
Transaction type	**Form**	**Online process**
Junior ISA transfer application[1] – transfer an existing Junior ISA with another plan manager to an Aegon Junior ISA	Aegon Junior ISA transfer application form	✘
Junior ISA transfer authority[1] – to tell us the details of the previous plan manager, so we can request the transfer	Aegon Junior ISA transfer authority	✘
Administration		
Transaction type	**Form**	**Online process**
Switch funds[1] - in an existing Junior ISA	Aegon Junior ISA switch form	✘
Change registered contact – to change the registered contact for an existing Junior ISA	Aegon Junior ISA change of registered contact form	✘

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Aegon SIPP

Contributions		
Transaction type	**Form**	**Online process**
New applications - single or multiple applications for a new Aegon SIPP without taking benefits immediately		✓
Top up - add money into an existing Aegon SIPP, and add intermediary charges for the contribution		✓
Direct debit[1] **-** set up a new direct debit for an existing Aegon SIPP	Direct debit form – Aegon SIPP	✗
Transfers		
Transaction type	**Form**	**Online process**
Drawdown to drawdown transfer - transfer an existing pension in capped or flexi-access drawdown with another provider to an Aegon SIPP	Aegon SIPP drawdown to drawdown transfer form	✗
Immediate drawdown – transfer an existing pension and start taking benefits immediately	Aegon SIPP full immediate drawdown application form	✗
Additional transfers – to make a transfer payment from another registered SIPP scheme to an existing Aegon SIPP. Use alongside the transfer authority and/or re-registration authority forms	Transfer top-up form	✗

[1] This form must be emailed to us by the client. If you're forwarding us an email your client has sent to you, that includes the forms and declaration, we must be able to clearly see their original email.

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Aegon SIPP

Transfers			
Transaction type		**Form**	**Online process**
DocuSign/ Adobe Sign	**Transfer authority** - to tell us the details of the previous plan manager to request the transfer to an existing Aegon SIPP. This form is also generated as part of the online process	Aegon SIPP transfer authority	✘
DocuSign/ Adobe Sign	**In-specie transfer -** although the transfer process is online and generates a transfer authority, we also need a re-registration authority form. This is so we can request an in-specie transfer at the same time	Re-registration authority	✘

Administration

Client administration		
Transaction type	**Form**	**Online process**
DocuSign/ Adobe Sign **Letter of authority** – a letter signed by your client either granting you authority for to access information about their products or to appoint a new intermediary	N/A – letter signed by your client on your company letter headed paper	✘
Change customer details – to change a client's personal details	Change of customer details	✘
Nominate beneficiaries[1] **-** to tell us who your client would like to benefit from their funds on their death for all uncrystallised pensions savings and drawdown funds held now, and in the future, under an Aegon SIPP. This form also generates part of the new business application online process	Death benefit/ expression of wish nomination	✘
Confirm the identities of all third parties – for individuals connected to your client that you've already verified	Confirmation of verification of identity	✘
Entity self-certification – confirm details of an entity for tax purposes	Entity self-certification declaration	✘
Individual self-certification – confirm details of an individual for tax purposes	Individual self-certification declaration	✘

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Administration

Switch funds		
Transaction type	**Form**	**Online process**
Switch funds - in an existing Aegon GIA, ISA or Aegon SIPP		✓
DocuSign/ Adobe Sign **Recurring switch into cash** – set up a regular switch from funds into the cash facility. We'll need one form for each product	Recurring switch to cash	✗
DocuSign/ Adobe Sign **Recurring switch from cash -** set up a regular switch from the cash facility into a product. We'll need one form for each product	Recurring switch from cash	✗
Changes to existing investments		
Transaction type	**Form**	**Online process**
Change regular contributions – in an existing Aegon GIA or ISA		✓
Change regular withdrawals/income distribution options - increase or decrease regular withdrawals or change client's bank details	Change to product details form	✗
DocuSign/ Adobe Sign **Set up or change an investment strategy** – plus apply rebalancing for the first time, or change an existing rebalancing instruction	Investment strategy instruction	✗
DocuSign/ Adobe Sign **Unit and share class conversion** – convert existing investment between different share classes within the same investment or between income paying and income reinvestment share classes	Unit and share class conversion form	✗

Administration

Charges		
Transaction type	**Form**	**Online process**
Discretionary fund manager fee - to set up a discretionary fund management fee	DFM fee agreement	✘
Intermediary administration		
Transaction type	**Form**	**Online process**
Set up a new firm - instruction for us to set up a new intermediary firm on the Aegon Platform	Intermediary application form	✘