

For intermediaries only

# Aegon Platform – user roles and responsibilities

There are six user roles available to you to assign to users within your business and two additional Bulk Data roles.

These roles help you to apply tighter governance over specific permissions, and reduce the risk of individuals performing tasks that are outside of their role.

You'll need to choose a firm administrator. This role is responsible for the set up and management of all other users within your firm. The good news is that you can give more than one role to each user if needed – so you have the dual benefits of greater control and flexibility.

Platform user role	Permitted actions	Exclusions	Typical business user / notes
<b>Firm administrator</b>	<ul style="list-style-type: none"><li>✓ Set up users</li><li>✓ Grant access</li><li>✓ Remove access</li><li>✓ Control permissions</li><li>✓ Access to Report Zone</li><li>✓ Create and edit fund panel at a firm level</li></ul>	<ul style="list-style-type: none"><li>✗ Access to client and product information</li><li>✗ Transactional access</li></ul>	<ul style="list-style-type: none"><li>• Office manager/senior member of staff plus a responsible deputy.</li><li>• You should consider at least two users for business continuity purposes.</li><li>• User can have this role and another role for example, intermediary transact.</li></ul>
<b>Intermediary – view only<sup>1</sup></b>	<ul style="list-style-type: none"><li>✓ Read-only access</li><li>✓ Ability to view client and product information</li><li>✓ Access to Research Centre, Portfolio Scan, Report Zone and the capital gains tax (CGT) tool</li></ul>	<ul style="list-style-type: none"><li>✗ Edit client profiles</li><li>✗ Produce quotes</li><li>✗ Place trades</li><li>✗ Manage adviser charges</li></ul>	<ul style="list-style-type: none"><li>• A registered individual who doesn't need to transact on platform.</li><li>• An intermediary who has an administrator/paraplanner acting on their behalf.</li></ul>
<b>Intermediary – transact<sup>1</sup></b>	<ul style="list-style-type: none"><li>✓ Transactional access</li><li>✓ All intermediary view permissions</li><li>✓ Edit client profiles, produce quotes, place trades and carry out all relevant actions on clients' products</li><li>✓ Add and manage adviser charges</li><li>✓ Create and edit model portfolios and fund panels at an intermediary level</li></ul>	<ul style="list-style-type: none"><li>✗ Create and edit model portfolios and fund panels at firm level</li><li>✗ Access firm administration permissions</li></ul>	<ul style="list-style-type: none"><li>• A registered individual that actively manages clients' investments and produces new business quotes.</li></ul>

Platform user role	Permitted actions	Exclusions	Typical business user / notes
<b>Portfolio manager</b>	<ul style="list-style-type: none"> <li>✓ Create and edit model portfolios and fund panels at firm level</li> <li>✓ Ability to bulk rebalance clients in model portfolios</li> <li>✓ Access to Research Centre and Report Zone</li> </ul>	<ul style="list-style-type: none"> <li>✗ Access to client and product information</li> <li>✗ Client level transactional access</li> <li>✗ Access to the CGT tool</li> </ul>	<ul style="list-style-type: none"> <li>• The person managing a firm's centralised investment proposition.</li> <li>• A member of a firm's investment committee.</li> <li>• User can have this role and another role for example, intermediary – transact.</li> </ul>
<b>Paraplanner – view only</b>	<ul style="list-style-type: none"> <li>✓ Read-only access</li> <li>✓ Ability to view client and product information</li> <li>✓ Access to Research Centre,</li> <li>✓ Portfolio Scan, Report Zone and the CGT tool</li> <li>✓ Only provides information on clients that sit under any intermediary that the paraplanner is linked to</li> </ul>	<ul style="list-style-type: none"> <li>✗ Edit client profiles</li> <li>✗ Produce quotes</li> <li>✗ Place trades</li> <li>✗ Manage adviser charges</li> </ul>	<ul style="list-style-type: none"> <li>• A non-registered individual/ paraplanner/administrator who doesn't need to transact on platform.</li> <li>• Suitable for new employees/ trainees.</li> </ul>
<b>Paraplanner – transact</b>	<ul style="list-style-type: none"> <li>✓ Transactional access</li> <li>✓ All paraplanner view permissions</li> <li>✓ Edit client profiles, produce quotes, place trades and carry out all relevant actions on clients' products</li> <li>✓ Add and manage adviser charges</li> <li>✓ Only provides information on clients that sit under any intermediary the paraplanner is linked to</li> </ul>	<ul style="list-style-type: none"> <li>✗ Create and edit model portfolios and fund panels at firm level</li> <li>✗ Access firm administration permissions</li> </ul>	<ul style="list-style-type: none"> <li>• A non-registered individual/ paraplanner/administrator that actively manages clients' investments and produces new business quotes.</li> </ul>

1 Please note that we'll create intermediary – view only and intermediary – transact roles (once we check permissions) and the firm administrator will then grant access.

## Additional user roles

In addition to the roles we show above, we also have Bulk Data roles.

These roles give the users access to our Bulk Data service. It allows them to access a range of data relating to clients such as:

- investment valuations;
- transaction history, and
- fees.

You can assign both roles to the same user.

Bulk Data roles	Overview of role
<b>Bulk Data admin</b>	Assign this role to a user, with firm or branch level access, if you want them to be able to set up the files Bulk Data users can view and also the third-party systems the data is to be passed to. Third-party systems includes back offices systems, tools, front office systems and client portals. You need to set up the third-party systems before data can be fed through.
<b>Bulk Data user</b>	Assign this role to a user, with firm or branch level access, if you want them to be able to download files to view. Some users may choose to manually upload the files to a third-party system. If the third-party system has seamless integration the Bulk Data admin role needs to set this up.

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