For financial advisers

Novation notification

Use this form to tell us about a novation if:

- You change networks
- You have left your current firm and are joining a new firm
- Your firm was part of a network and is now directly authorised
- Your company has had a change of legal status and/or FCA number
- Your firm has joined a network
- You've purchased the book of business from another firm

Please complete this form by typing in the boxes and use the checklist below to make sure you send us the correct documentation.

You can attach the required documents to the email when returning this form, and send it to clientsupport@arc.aegon.co.uk

Please don't email any personal, financial or banking information as it's not a secure method of communication. If you have a dedicated secure email service with Aegon, for example Mailock, please use this service.

1. Ceding firm information

Name of firm

Name of network (if applicable)

Financial services registration number (FCA no)

Firm address

Postcode

Are you transferring business:

☐ from the firm as a whole?

☐ from the individual advisers named below?

Adviser full name

Adviser full name

Adviser full name

1. Ceding firm information – continued

Adviser full name

Adviser full name

Adviser full name

Adviser full name

2. Receiving firm information

Name of firm

Name of network (if applicable)

Financial services registration number (FCA no)

Firm address

Postcode

Are you transferring business:

☐ from the firm as a whole?

☐ from the individual advisers named below?

Adviser full name

Adviser full name

Adviser full name

Adviser full name

Adviser full name

Adviser full name

Adviser full name

3. Document checklist

Please tick below to confirm the documents you'll be sending along with this form. **Items 3.1 to 3.3 are required in all cases**. Make sure that you include all the required documents together to avoid any delays in processing.

No.	✓	Document
3.1		A letter from the ceding firm releasing the business on company headed paper
3.2		A letter from the new firm accepting the business on company headed paper
3.3		A copy of the letter sent to affected clients confirming the novation
3.4		A letter from any network releasing and/or accepting the business on company headed paper
3.5		A client list in excel format – **if you are requesting a partial transfer of clients** Please make sure to include the Aegon Platform Client ID. If clients are being split between multiple advisers, include the new adviser name in the spreadsheet
3.6		Confirmation from the receiving firm – **if we are to copy over adviser charges to the new firm**.
3.7		A completed 'financial adviser application form' – **if the new firm isn't already set up**
3.8		A completed 'financial adviser application form' – **if the new financial advisers aren't set up**

You can use the same form for 3.7 and 3.8 if both apply.