



For customers | Aegon Platform

Asset transfer form

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.

You should use this form to transfer investments between Aegon General Investment Accounts (GIA) held by different customers. Investments can be transferred between:

- Two existing Aegon GIAs
- An existing Aegon GIA and a new Aegon GIA. This form can be used to open the new Aegon GIA.

A separate form should be completed for each Aegon GIA from which investments are to be transferred. If you're sending in separate forms to transfer investments from more than one Aegon GIA into the same Aegon GIA, the customer(s) receiving the investments (the transferee) will have assets transferred into one GIA product.

Before completing this form

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 Aegon GIA features and the Aegon Platform terms and conditions, and a Key Investor Information Document (KIDD) or a Key Investor Information Document for each investment they're receiving.

How to complete this form:

Part A – The customer(s) transferring the investments (transferor) must complete Part A, and then read and sign the transferor declaration in Part D.

Part B – The transferee must complete Part B (if applicable), then read and sign the transferee declaration in Part D.

Part C – For adviser use only.

Part D – Declaration. All transferors and transferees must sign and date this form.

If your adviser has completed this form on your behalf, please check all details are correct before typing your name in the signature box(es). If you're an executor you must sign this form using ball point pen and return the form. Please complete this form by typing in the boxes, including the signature box(es). If you're an executor you must sign this form using ball point pen and email it to: aegoncofundsadministration@aegon.co.uk.

Our email system and the way we deal with data internally is secure. However, we're unable to ensure the security of emails before they reach us so please consider this and do not include any personally sensitive, financial or banking information that has not been appropriately secured.

Whenever you see this icon , we're asking you to send us additional material with this form.

Part A – The transferor should complete this part.

1. Customer details

The customer(s) transferring the investment(s) and all joint holders (if applicable) must complete this section.

Existing Aegon GIA number

8							
---	--	--	--	--	--	--	--

Primary account holder

Mr / Mrs / Miss / Ms / Other – please specify

--

Full forename(s)

--

Surname

--

Date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Company name (if applicable)

--

Scheme name (if applicable)

--

Designation (if applicable)

--

1.1 Joint holders

Please complete for each joint holder.

Additional joint holder two

Mr / Mrs / Miss / Ms / Other – please specify

--

Full forename(s)

--

Surname

--

Date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Additional joint holder four

Mr / Mrs / Miss / Ms / Other – please specify

--

Full forename(s)

--

Surname

--

Date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Additional joint holder three

Mr / Mrs / Miss / Ms / Other – please specify

--

Full forename(s)

--

Surname

--

Date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

2. Transfer details

Please tell us the investments to be transferred. If the transfer reduces the product value to zero, we'll close the product.

What investments are to be transferred? Please tick one option.

☐ All investments ☐ The investments listed below

Full investment manager name, investment name and share class	SEDOL code (this is shown in your Key Investor Information Documents (KIIDs))	Amount to be transferred (only choose one option)	
		Transfer the full fund	Whole number of units
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
Cash facility	N/A	<input type="checkbox"/>	

If you need more room to list additional investments to be transferred please provide the information on a separate sheet of paper in the format above, sign and date it and attach it to this form ☒.

Occasionally, we might need to know where the money you are investing has come from. If we do, we'll contact you to ask you where the money has come from and for documentary evidence of this.

Part B – The transferee should complete this part.

3. Your details

The primary account holder and any joint holders receiving the investments must complete this section. The new or existing customers detailed in this section will be the new owners of the investments being transferred.

Illustration reference

--	--	--	--	--	--	--	--	--

This must be completed to enable us to process your application – if this is blank it will result in your application being rejected.

3.1 Personal details

Mr / Mrs / Miss / Ms / Other – please specify

--

Full forename(s)

--

Surname

--

Date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Company name (if applicable)

--

Scheme name (if applicable)

--

Relationship to the transferor

--

3.2 Are you applying for a new Aegon GIA to receive the investments being transferred?

☐ Yes – go to 3.3

☐ No – tell us your existing Aegon GIA number and go to section 4.

8							
---	--	--	--	--	--	--	--

3.3 Only complete this section if you're applying for a new Aegon GIA. After completing this section go to section 4.

Permanent residential/company address

Postcode

Gender

☐ Male ☐ Female

National Insurance number

--	--	--	--	--	--	--	--	--

☐ I **don't** have a National Insurance number.

Use this section to specify a unique reference for this account. You can designate an account using alphanumeric characters.

Designation

--

This is optional. Please make sure the reference doesn't make a meaningful word.

Are you habitually resident in the UK?

☐ Yes

☐ No – If you answer No to this question we won't be able to process your application. You can't continue with this application.

For tax purposes, are you a tax resident in another country in addition to the UK?

☐ Yes – download and complete the **Individual self-certification form** from our website and attach to this form. ☒

☐ No

3. Your details – continued

Did you get advice before completing this form/
instruction?

- ☐ Yes
- ☐ No
- ☐ Tick this box to confirm that you've had the opportunity to read the Aegon GIA key features and fund specific information and/or Key Investor Information Documents (KIIDs) relating to your investment.

4. Joint-holder details

An Aegon GIA can have up to three additional joint holders. You should include the full name and address of each joint holder. All correspondence will be sent to the primary holder.

Additional joint holder two

Mr / Mrs / Miss / Ms / Other – please specify

Full forename(s)

Surname

Permanent residential/company additional address

Postcode

Gender

☐ Male

☐ Female

Date of birth

D

D

M

M

Y

Y


Y

Y

National Insurance number

☐ I **don't** have a National Insurance number.

For tax purposes, are you a tax resident in another country in addition to the UK?

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

☐ No

Additional joint holder three

Mr / Mrs / Miss / Ms / Other – please specify

Full forename(s)

Surname

Permanent residential/company additional address

Postcode

4. Joint-holder details – continued

Gender

☐ Male ☐ Female

Date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

National Insurance number

--	--	--	--	--	--	--	--	--

☐ I **don't** have a National Insurance number.

For tax purposes, are you a tax resident in another country in addition to the UK?

☐ Yes – download and complete the **Individual self-certification form** from our website and attach to this form. ☒

☐ No

Additional joint holder four

Mr / Mrs / Miss / Ms / Other – please specify

--

Full forename(s)

--

Surname

--

Permanent residential/company additional address

Postcode

Gender

☐ Male ☐ Female

Date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

National Insurance number

--	--	--	--	--	--	--	--	--

☐ I **don't** have a National Insurance number.

For tax purposes, are you a tax resident in another country in addition to the UK?

☐ Yes – download and complete the **Individual self-certification form** from our website and attach to this form. ☒

☐ No

5. Income options

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 within the Aegon GIA.

If you have an existing Aegon GIA 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 wish 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.

☐ a. **Reinvest in fund (default)** – reinvest any income received back into the same fund.

☐ b. **Leave in cash** – pay any income into the Aegon GIA cash facility.

☐ c. **Consolidated natural income** – pay any income received into your nominated bank account as a monthly payment. (Complete section 6 to nominate a bank account.)

6. Bank details for payments out of investment income

Please provide details of the bank/building society account your consolidated natural income is to be paid into. 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 send us an original document, you can 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 number

Account name

Building society roll number (if applicable)

Branch sort code

–

7. How we treat your 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 investorportfolioservice.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 investorportfolioservice.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.

Part C – For adviser use only

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

I confirm that:

8.1 The information in section 1 was obtained by me in relation to the customer.

8.2 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

D	D	M	M	2	0	Y	Y
---	---	---	---	---	---	---	---

Signature (type name here)

X	X
---	---

9. Adviser details (for adviser use only)

Adviser name

Firm name

If you'd like to take an ad hoc adviser charge for this transaction, amend your client's ongoing adviser charge or service charge, use your Aegon Platform account.

Part D – Declarations

10. Transferor declaration

I/We, the person(s) named in section 1, agree to transfer the investments listed in section 2 of this form and any Asset transfer continuation form (if applicable), to the Aegon GIA nominated by the person(s) named in section 3, and section 4 (if applicable). You should sign and date this form by typing your full name in the signature box below, except if you are an executor, in which case you must sign the form by hand, and typing the date in the date box. Your typed name in the signature box will be your signature. When you sign the form, by typing your name in this box, you are making the declarations and confirming that you wish to proceed with the instructions in this form.

10. Transferor declaration - continued

Customer

Aegon GIA primary holder

Date

D

D

M

M

2

0

Y

Y

Print name

Signature (type name here)

X

X

All joint Aegon GIAs holders must sign

Additional joint holder two

Date

D

D

M

M

2

0

Y

Y

Print name

Signature (type name here)

X

X

For companies only

This section should only be completed by companies.

Primary holder signature (type name here)

X

X

Capacity in which declaration is made (for example owner, trustee, authorised signatory)

Date

D

D

M

M

2

0

Y

Y

Second holder signature (type name here)

X

X

Capacity in which declaration is made (for example owner, trustee, authorised signatory)

Date

D

D

M

M

2

0

Y

Y

Additional joint holder two

Date

D

D

M

M

2

0

Y

Y

Print name

Signature (type name here)

X

X

Additional joint holder three

Date

D

D

M

M

2

0

Y

Y

Print name

Signature (type name here)

X

X

Third holder signature (type name here)

X

X

Capacity in which declaration is made (for example owner, trustee, authorised signatory)

Date

D

D

M

M

2

0

Y

Y

Fourth holder signature (type name here)

X

X

Capacity in which declaration is made (for example owner, trustee, authorised signatory)

Date

D

D

M

M

2

0

Y

Y

11. Transferee declaration

In this declaration:

"I", "you", "your" or "my" refers to you, the person(s) named in section 3 and section 4 (if applicable), and "Aegon" refers to Cofunds Limited.

General declaration

11.1 Aegon relies on the information contained in the following documents as they form the basis of opening a new Aegon GIA:

- The application
- These declarations and any other declarations made when applying for an Aegon GIA
- The first contract note
- The Aegon Platform terms and conditions

11.2 I confirm that I have had the opportunity to read these documents carefully (other than the first contract note which will be given to me in accordance with the Aegon Platform terms and conditions), along with the key features document, my personal illustration, key investor information documents and the declarations in this application.

11.3 I confirm that I am habitually resident in the United Kingdom.

11.4 I accept that the information and documents I have been provided with should not be taken as advice or a recommendation from Aegon.

11.5 I accept that Aegon has not and will not assess my suitability for opening an Aegon GIA or investment decisions I make. 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 for the Aegon GIA, I should speak to an adviser.

I declare that:

11.6 Where I do not have an existing Aegon GIA, I apply for an Aegon GIA and services outlined in the application, and agree to be bound by the Aegon Platform terms and conditions. I agree to the investments listed in section 2 of this form, and any Asset transfer continuation form (if applicable), to be applied to this new Aegon GIA.

11.7 Where I do have an existing Aegon GIA, I agree to the investments listed in section 2 of this form, and any Asset transfer continuation form

(if applicable), to be applied to my existing Aegon GIA listed in section 3 of this form.

11.8 I am 18 years of age or over.

11.9 I agree to the Aegon GIA terms and conditions.

11.10 The information supplied in this application, and any 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.

11.11 Any payment into my Aegon GIA, including contributions and transfers, will be placed in the 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 GIA.

11.12 I have or will provide details through self-certification 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.

11.13 Where required 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.

11.14 This application has been completed to the best of my knowledge and belief.

I authorise Aegon to:

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

11.16 Arrange any transfer of an existing GIA held with a different provider to my Aegon GIA as and when I request Aegon to do so.

11.17 Obtain details from my existing GIA provider(s) and authorise the giving of any such details to Aegon.

11.18 Accept investment and disinvestment instructions from my adviser where I have appointed one in relation to my Aegon GIA.

11.19 Disclose details of my Aegon GIA to my appointed adviser, and accept instructions from my appointed adviser with regard to all aspects of the running of the Aegon GIA.

11. Transferee declaration – continued

11.20 You should sign and date this form by typing your full name in the signature box below and typing the date in the date box. Your typed name in the signature box will be your signature. When you sign the form, by typing your name in this box, you are making the declarations and confirming that you wish to proceed with the instructions in this form.

Pay any fees or charges specified by me to my appointed adviser on my behalf from 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 of this.

Customer

Aegon GIA primary holder.

Date

D	D	M	M	2	0	Y	Y
---	---	---	---	---	---	---	---

Print name

Signature (type name here)

X

X

All joint Aegon GIAs holders must sign

Additional joint holder two

Date

D	D	M	M	2	0	Y	Y
---	---	---	---	---	---	---	---

Print name

Signature(type name here)

X

X

Additional joint holder three

Date

D	D	M	M	2	0	Y	Y
---	---	---	---	---	---	---	---

Print name

Signature (type name here)

X

X

Additional joint holder four

Date

D	D	M	M	2	0	Y	Y
---	---	---	---	---	---	---	---

Print name

Signature(type name here)

X

X

11. Transferee declaration – continued

For companies only

This section should only be completed by companies.

Primary holder signature (type name here)

X

X

Capacity in which declaration is made (for example owner, trustee, authorised signatory)

Date

D

D

M

M

2

0

Y

Y

Second holder signature (type name here)

X

X

Capacity in which declaration is made (for example owner, trustee, authorised signatory)

Date

D

D

M

M

2

0

Y

Y

Third holder signature (type name here)

X

X

Capacity in which declaration is made (for example owner, trustee, authorised signatory)

Date

D

D

M

M

2

0

Y

Y

Fourth holder signature (type name here)

X

X

Capacity in which declaration is made (for example owner, trustee, authorised signatory)

Date

D

D

M

M

2

0

Y

Y

12. Adviser declaration

Where you have completed this form on behalf of the customer named in section 1, when you sign the form, by typing your name in this box, you are making the declarations and confirming that the customer wishes to proceed with the instructions in this form.

By signing this form, by typing your name in the box below, you make the following additional declarations:

You declare that:

- To the best of your knowledge and belief, the information supplied to Aegon on behalf of the customer is true and complete
- You have the appropriate authority from the customer to complete this form, to make the declarations in this form on their behalf and to provide Aegon with the instructions set out in this form, acknowledging that Aegon reserves the right to request a copy of the authority and failure to provide a copy when requested may result in Aegon being unable to proceed with the instructions

- You have discussed the form with the customer and they are aware of its content, they agree to the declarations and agree to you submitting this application on their behalf
- You hereby indemnify Aegon against all claims, losses, tax charges, penalties and interest incurred or due to be paid by Aegon as a result of my failure to obtain the appropriate authority from the customer and/or supplying incorrect or inaccurate information and Aegon relying on and following the instructions given in this application form

Date _____

D	D	M	M	2	0	Y	Y
---	---	---	---	---	---	---	---

Adviser signature (type name here)

x	x
-----	-----

Notes

Where there are two signatories for a corporate investor, please delete reference to primary and second holder.

If you require a Fund prospectus, please contact your adviser or investment manager directly.

If you wish to download reports and accounts, you can do so via the Customer Dashboard.

If you wish to receive paper copies of reports and accounts, product Key Features, other fund-specific information and/or KIIDs, please contact us.



Aegon is a brand name of both Scottish Equitable plc (No. SC144517) registered in Scotland, registered office: Edinburgh Park, Edinburgh EH12 9SE, and Cofunds Limited, Registered in England and Wales No.03965289, registered office: Level 26, The Leadenhall Building, 122 Leadenhall Street, London, EC3V 4AB. Both are Aegon companies. Scottish Equitable plc is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Cofunds Limited is authorised and regulated by the Financial Conduct Authority (FCA). Their FCA Financial Services Register numbers are 165548 and 194734 respectively. © 2023 Aegon UK plc