



For customers | Aegon Platform

# Aegon General Investment Account (GIA) application for companies and partnerships

If your personal circumstances mean you need any additional support, or if you'd like a large print, Braille or audio version of this document, please call 0345 604 4001 (call charges will vary) or visit [aegon.co.uk/additionalsupport](https://aegon.co.uk/additionalsupport)

If you need any assistance in completing this application form, please contact your usual representative or call us on 0345 604 4001 for support.

In this form Aegon means Cofunds Limited.

## What is this form for?

Use this form to apply for an Aegon General Investment Account (GIA) for a company or a partnership. Please note that we are only able to accept applications from Limited Liability Partnerships, Limited Partnerships and Scottish Partnerships.

You must have been provided with an illustration, key features document and terms and conditions before completing this form. If you haven't, we will not be able to process your request. Please contact us on 0345 604 4001 to request an illustration, key features document and terms and conditions. Call charges will vary.

If you want to add money into an Aegon GIA that you already hold you should complete an **Aegon GIA top-up form**. If you want to perform a re-registration to an Aegon GIA, you'll also need to complete an **Aegon GIA re-registration authority form**, for each arrangement you are transferring.

## Who should complete this form?

This form should be completed and signed by the parties named in section 2.

## How to complete this form

Please complete this form in black ink, including the signature box(es) and post it to: Aegon Cofunds Administration, Sunderland SR43 4DN or by typing in the boxes and email to: [aegoncofundsadministration@aegon.co.uk](mailto: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 email before they reach us. Please consider this when sending us sensitive information. Where secure online journeys are available, please login to complete these.

Whenever you see this icon , you may have to send us additional information.

## Funding the GIA

Please provide details of how this GIA will be funded in this application form. However, please do not send any funds to us until we have contacted you to confirm that all of our requirements have been met to proceed with this application. If funds are received before our requirements are met, they may be returned to source.

### Application submission checklist

The following documents should be submitted with the application. Failure to do so will result in delays to the application.

For companies:

- ☐ Certified copies of Memorandum and Articles of Association
- ☐ FATCA/CRS Entity Self Certification Form

For partnerships:

- ☐ Certified copy of the Partnership Agreement
- ☐ FATCA/CRS Entity Self Certification Form

If you disclose information about a third party as part of this application, please make sure that you have their permission and have informed them of the purposes of the collection of this information before doing so.

Aegon will conduct electronic searches of all parties named in this application. Please note that we may require additional information and documentation to enable us to complete anti-money laundering and Know Your Customer due diligence prior to opening the account.

Note that only two directors or partners/members (for LLPs only) are required to sign this application form.

#### Common reasons for application delays

- The directors named in the application do not match the directors named in the most recent set of company accounts
- Full information is not provided
- As part of our due diligence, Aegon will check the company registration details held at Companies House. If the information held by Companies House is not up to date, we may not be able to proceed with an application

## 1. Business details

Illustration reference

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

Full legal entity name of business as per Companies House

Is the business registered in the UK?

☐ Yes ☐ No

If no, we are unfortunately unable to accept this application. Please note that we are unable to accept applications from branches of an overseas company.

Company registration number (if applicable)

Registered address of the business inc postcode

Postcode

Trading address of the business inc postcode (if different)

Postcode

Please confirm which jurisdiction the business is subject to:

- ☐ The law of England, Wales and Northern Ireland
- ☐ The law of Scotland

We may contact you to ask you for documentary evidence of where the funds you are investing have come from.

Source of funds (this must be completed)

Please tell us where the initial investment will be made from.

Source of wealth (this must be completed)

Please detail where the investment is being made from (e.g. capital reserve, retained profit).

Nature of business

Please provide details of business activity including links to all other countries links you have via the facing entity and wider group/ subsidiaries – this is not about where you trade – this is about where you have a physical location and extends to the collective of companies under the group.

# 1. Business details continued

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## 1.1. Contact details

Contact full name

Contact telephone number

Contact email address

Correspondence address inc postcode

Postcode

We'll use your email address to contact you about your plan. We might also use it to keep you informed about our products and services but only where you've consented to this.

Did you get advice before completing this form?

☐ Yes ☐ No

We confirm that we have been provided with an illustration, key features document and terms and conditions before completing this form.

☐ Yes ☐ No

If no, we are unfortunately unable to accept this application.

Who should we contact if we have any queries about this application?

☐ Financial adviser listed in section 7

☐ The contact listed in section 1.1

## 2. Directors or Partners/Members details

Please provide full details of all directors or partners/members of the business named in section 1.

If any of the partners or members of the partnership are a limited company, please provide details of the directors of the limited company below ensuring the correct box is ticked so that we can identify them. Please also complete section 3 detailing the shareholders of the limited company.

Full name

Residential address inc postcode

Postcode

Date of birth

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

Nationality

☐

Director

☐

Partner/Member

Full name

Residential address inc postcode

Postcode

Date of birth

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

Nationality

☐

Director

☐

Partner/Member

Full name

Residential address inc postcode

Postcode

Date of birth

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

Nationality

☐

Director

☐

Partner/Member

Full name

Residential address inc postcode

Postcode

Date of birth

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

Nationality

☐

Director

☐

Partner/Member

## 2. Directors or Partners/Members details continued

Full name

Residential address inc postcode

Postcode

Date of birth

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

Nationality

☐

Director

☐

Partner/Member

Full name

Residential address inc postcode

Postcode

Date of birth

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

Nationality

☐

Director

☐

Partner/Member

Full name

Residential address inc postcode

Postcode

Date of birth

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

Nationality

☐

Director

☐

Partner/Member

Full name

Residential address inc postcode

Postcode

Date of birth

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

Nationality

☐

Director

☐

Partner/Member

If required, please provide details of any additional parties on a separate sheet.

### 3. Ultimate Parent Entity & Beneficial Ownership

If you add a Ultimate Parent Entity you must complete 3.2 as well for the Ultimate Beneficial Owner.

Please attach a full company structure chart showing any subsidiaries owned by the UPE or the company in Section 1.

#### 3.1 Ultimate Parent Entity (UPE) or Relevant Legal Entity (RLE) details

Please provide details of any entity that has control over the company. This includes the company that ultimately owns the company in Section 1 and will usually be the entity that the directors have specified in the company accounts as being the ultimate controlling entity. How will you be funding the investment into the Aegon GIA?

Corporate or firm name

Registered or principal office

Postcode

Registration number

Date of becoming the RLE

D	D	M	M	Y	Y	Y	Y
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Nature of the RLE's control over the company

#### 3.2 Ultimate Beneficial Owner (UBO) or other registrable person (ORP) details

Please provide details of your UBO. This will be an individual or individuals who own the UPE.

If there are no individual owners, please provide the details of the CEO or other high-ranking officer that controls the UPE. If there is more than one UBO, please provide the details on a separate sheet of paper, sign and date it and attach it to this form.

Full name

Date of birth

D	D	M	M	Y	Y	Y	Y
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Residential address

Postcode

## 4. Funding the investment

### 4.1 Funding information

Please do not send any funds to us until we have contacted you to confirm that all of our requirements have been met to proceed with this application. If funds are received before our requirements are met, they may be returned to source.

How will you be funding the investment into the Aegon GIA?

Cheque, single payment amount

£

Monthly Direct Debit, regular payment amount

£

Start date

Please download and complete the **Direct Debit Instruction - GIA** and send it to us with your application. We require 17 working days to establish any Direct Debit collection after all application requirements have been met before your first chosen date, otherwise your first collection will be the month after.

Bank transfer, regular payment amount

£

For a bank transfer, you can find our bank details along with your illustration.

We may contact you to ask you for documentary evidence of where the funds you are investing have come from.

### 4.2 Bank account details

If the business has its own bank account, please provide details of the UK-based bank account that will be used to facilitate all payments in and out of this wrapper.

Bank name

Account name

Sort code

-    -

Account number

- We will not accept payments from any other source other than this bank account.
- All payments will be made back to this bank account.

## 5. Investment details

In this section, you need to tell us how you'd like to invest the money into the Aegon GIA. Your adviser should complete section 5.3 if you're investing in a model portfolio.

The investment choices you make can be applied to all future investment choices in this product.

☐ Use the investment choices below as the new default investment selection. If you select different investments for your regular and single and/or transfer payments you can't select the default investment strategy and rebalancing options.

### 5.1. Single payments

Please complete this section if you're making a single payment.

The funds should match the illustration you received from Aegon. If they don't match, we won't be able to process your request. If you want to invest in different investments, please contact us for a new illustration.

Full investment manager name, fund name and share class	SEDOL code (this is shown in your Key Investor Information Documents (KIIDs))	% to be invested
		%
		%
		%
		%
		%
		%
		%
		%
		%
GIA cash facility	n/a	%
<b>Total amount</b>	n/a	<b>100%</b>

If you need to add additional investments please provide the information on a separate sheet of paper in the format above, sign and date it and attach it to this form

## 5. Investment details continued

### 5.2. Regular payments

Please complete this section if you're making regular payments.

☐ Use the same investment selection as detailed in the single payment section.

☐ Investment in the funds shown in the table below.

The investments in the table below, should match the illustration you received from Aegon. If they don't match, we won't be able to process your request. If you want to invest in different investments, please contact us for a new illustration.

Full investment manager name, fund name and share class	SEDOL code (this is shown in your Key Investor Information Documents (KIIDs))	% to be invested
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
GIA cash facility	n/a	%
<b>Total amount</b>	n/a	<b>100%</b>

If you need to add additional investments please provide the information on a separate sheet of paper in the format above, sign and date it and attach it to this form

### 5.3. Model portfolio (for adviser use only)

If you're setting up a new Aegon GIA product:

Name of existing model portfolio

### 5.4. Auto rebalancing

Do you want to set up rebalancing on your investments?

☐ Yes

☐ No

Please confirm the frequency of rebalancing?

☐ Quarterly

☐ Yearly

## 6. Investment 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 make no selection we will apply the default which is to reinvest any income.

Please tick one of the following options:

- ☐ **Reinvest in funds (default)** – reinvest any income received back into the same fund.
- ☐ **Leave in cash** – pay any income into the GIA cash facility.
- ☐ **Consolidated natural income** – pay any income received to your nominated bank account as a monthly payment (complete section 4 to nominate a bank account).

## 7. Adviser details (adviser use only)

### 7.1 Adviser name

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, please complete the **Adviser charging form**.

Please detail any adviser or service charges below.

### 7.2 Initial adviser charge

This section must be completed if you want to take adviser charges.

If any charge chosen in this section is to be subject to Value Added Tax (VAT), we'll add VAT to the selected 'Amount', or where 'Percentage' is selected, we'll calculate the charge amount and then add the VAT to it. This applies to section 7.2.1 and 7.2.2

#### 7.2.1 Initial adviser charge on the single payment

Enter the amount of percentage to be deducted. Tick one box only.

☐ Amount

 £

☐ Percentage of the lump sum payment

 £

Is this subject to VAT?

☐ Yes ☐ No

### 7.2.2 Ongoing adviser charge

Use this section to set up a monthly ongoing adviser charge.

Is this charge to be linked to a charge model?

☐ Yes ☐ No

If yes – please confirm Model name

If no – Ongoing adviser charge

 £ pa
 %pa

Is this subject to VAT?

☐ Yes ☐ No

### 7.3 Service charge

This section lets you agree and set up a monthly service charge model to your client's Aegon GIA to pay you a service charge.

Service charge model name

## 8. How we treat your personal information

If information about a third party is disclosed as part of this application, please ensure that you have their permission and have informed them of the purposes of the collection of this information before doing so.

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 [customerdashboard.aegon.co.uk/site-info/privacy-and-cookie-policy/](https://customerdashboard.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.

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 [customerdashboard.aegon.co.uk/site-info/privacy-and-cookie-policy/](https://customerdashboard.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.

- ☐ Mail
- ☐ Phone
- ☐ SMS
- ☐ Email

The party receiving marketing messages will be the contact named in section 1.1 of this application.

## 9. Declaration

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In this declaration:

'We', 'us' or 'our' refers to the directors or partners/members (for LLPs only) of the business named in section 1, and 'Aegon' refers to Cofunds Limited.

### General declaration

Aegon relies on the information contained in the following documents as they form the basis of the contract between you and Aegon:

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

We confirm that we have had the opportunity to read these documents carefully (other than the first contract note which will be given to us in accordance with the Aegon Platform terms & conditions), along with the key features document, our personal illustration, Key Investor Information Documents (KIIDs), (or Key Information Document), any relevant consumer-facing sustainability disclosure report, and the declarations in this application, before completing this application process.

We confirm that we have had the opportunity to read the Aegon UK Retail Order Execution Policy and we agree to its terms.

We confirm that we are habitually resident in the United Kingdom and we are not citizens, residents or taxpayers of the United States.

We accept that Aegon has not and will not assess our suitability for the Aegon GIA or any investment decisions we make. This means we will not benefit from the protection of the Financial Conduct Authority's rules on assessing suitability in relation to Aegon.

### We declare that:

We apply for the Aegon GIA and services outlined in the application and agree to be bound by the Aegon Platform terms and conditions.

We are 18 years of age or over.

If applicable, we agree to the re-registration of investments to be applied to this new Aegon GIA.

The information supplied in this application, and any supplementary forms related to it, including transactional data, is correct and complete to the best of our knowledge and belief. We will inform Aegon of any changes to the information provided in this application.

We are aware that it is a serious offence to knowingly provide false or misleading information on the application.

And confirm that, if we have not received face to face advice from an appointed adviser in connection with this application, we have received and had the opportunity to read the key features document, illustration, Key Investor Information Documents (KIIDs), (or Key Information Document), any relevant consumer-facing sustainability disclosure report, and the terms and conditions that are relevant to this application.

Where regulations allow, we nominate our appointed adviser to receive correspondence in relation to our investments. This instruction will remain in force unless our appointed adviser has informed Aegon that they wish for this correspondence to be sent directly to us, or we have informed you we no longer have an appointed adviser to whom Aegon can send these.

Any payment into the 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 us or our appointed adviser.

We will provide details through self-certification of all countries in which we are resident for tax purposes. If we do not provide these details, we will be reportable to HM Revenue & Customs (HMRC) as undocumented.

Where required to under UK law, Aegon can share information about us and the Aegon GIA to HMRC, who will then share this information with tax authorities in the relevant countries and territories.

We declare that we are signing on behalf of the business named in section 1 and we have authority from all relevant parties named in this application to proceed and for electronic

## 9. Declaration continued

searches of all parties named in this application to be undertaken. We also declare that those same parties have been made aware of this declaration.

### We authorise Aegon to:

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

Arrange any transfer of an existing GIA held with a different provider to the Aegon GIA, as and when we request that Aegon do so.

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

Accept investment and disinvestment instructions from our appointed adviser and to accept instructions from our appointed adviser with regard to all aspects of the running of the Aegon GIA.

Make any payments specified by us (including any adviser charge(s) set out in section 7 to our appointed adviser) on our behalf from the Aegon GIA. We agree that these payments reflect the terms of the agreement we have entered into with our appointed adviser.

The contract note will confirm the actual amount of the payment that is deducted and paid to our appointed adviser. If we disagree with the payment then we must advise our appointed adviser of this. We agree that once any adviser charge has been deducted from our Aegon GIA, Aegon cannot return it to us and we will have to discuss any refund of the adviser charge direct with our adviser.

**Only two directors or partners/members of the business named in section 1 need to sign this application. These will be the parties required to provide instructions in future such as requesting withdrawals. However, other directors or partners/members may wish to sign if they will provide instructions in future.**

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.

### First Director or Partner/Member

Signature (type name here)

X X

Date

D	D	M	M	2	0	Y	Y
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### Second Director or Partner/Member

Signature (type name here)

X X

Date

D	D	M	M	2	0	Y	Y
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### Third Director or Partner/Member

Signature (type name here)

X X

Date

D	D	M	M	2	0	Y	Y
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### Fourth Director or Partner/Member

Signature (type name here)

X X

Date

D	D	M	M	2	0	Y	Y
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### Fifth Director or Partner/Member

Signature (type name here)

X X

Date

D	D	M	M	2	0	Y	Y
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# 9. Declaration continued

Sixth Director or Partner/Member  
Signature (type name here)

X

X

Date

D

D

M

M

2

0

Y

Y

Please do not send any funds to us until we have contacted you to confirm that all of our requirements have been met to proceed with this application. If funds are received before our requirements are met, they may be returned to source.

# 10. 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

