



For Trustees | Aegon Retirement Choices

Aegon General Investment Account (GIA) application for registered pension schemes

In this form Aegon means Aegon Investment Solutions Limited.

What is this form for?

Use this form to apply for an Aegon General Investment Account (GIA) to be held on behalf of a registered pension scheme. The Aegon GIA will be held on behalf of the registered pension scheme by the Trustees named in section 3.

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 680 1234 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 do this online. If you want to perform a re-registration to an Aegon GIA, you'll need to do this online once we have confirmed to you that the account has been created.

Who should complete this form?

This form should be completed and signed by the Administrator named in section 2 and the Trustees named in section 3.

How to complete this form

Please complete this form by typing in the boxes, including the signature box(es) and email it to:
clientsupport@arc.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. Please consider this when sending us sensitive information.

If you need any assistance in completing this application form, please contact your usual representative or call us on 0345 680 1234 for support. Call charges will vary.

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 the number above (call charges will vary) or aegon.co.uk/support

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. Please note that we are unable to collect details of any investment selection within this application. Once we have contacted you to request that you send funds to us, it is your responsibility to place any investments online once funds have been deposited into the GIA.

Application submission checklist

The following documents must be submitted with the application, ensuring that Deeds are fully certified. Failure to do so will result in delays to the application.

- Certified copy of the Trust Deed
- Certified copy of any amendments to Trust Deed
- Certified Deeds relating to all changes in the Trustees
- Certified copy of PSTR Certificate
- Certified copy of the authorised signatory list for the scheme administrator and if applicable, the corporate trustee
- Entity Self Certification Declaration**

If you disclose information about a third party 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.

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.

Common reasons for application delays

We will process your application as quickly as possible, but delays in processing may occur because of the following:

- Not receiving the initial Trust Deed and/or any later Trust Deeds
- 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. Registered pension scheme details

Full name of UK registered pension scheme

HM Revenue & Customs (HMRC) pension scheme tax reference

Date pension scheme registered

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

Pension scheme address including postcode

Postcode

Name of the account eg. The Trustees of...

Use this section to specify a unique reference for this account. You can designate an account using alphanumeric characters. This section is optional. Please ensure the reference doesn't make a meaningful word.

Is the registered pension scheme?

A Small Self-Administered Pension Scheme (SSAS)

A Self-Invested Personal Pension (SIPP)

Does the pension scheme hold any other GIAs with Aegon?

2. Pension scheme administrator

All correspondence will be sent to the pension scheme administrator

Is the administrator of the pension scheme a company? Yes No

If yes, please complete sections 2.1 and 2.2. If the scheme administrator is an individual or group of individuals, please complete sections 2.2 and 2.3.

2.1. Scheme administrator company details

Company name

Company registration number

Is the company FCA registered?

Yes No

If yes, please provide the FCA registration number

Registered company address including postcode

Postcode

Is the pension scheme administrator also a trustee?

Yes No

Correspondence address including postcode

Postcode

2.1.1. Scheme administrator director details

Please provide details of all directors of the scheme administrator where it is a company

Full name

Residential address including postcode

Postcode

Date of birth

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

Nationality

Full name

Residential address including postcode

Postcode

Date of birth

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

Nationality

2. Pension scheme administrator continued

2.1.1. Scheme administrator director details continued

Full name

Residential address including postcode

Postcode

Date of birth

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

Nationality

Full name

Residential address including postcode

Postcode

Date of birth

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

Nationality

Full name

Residential address including postcode

Postcode

Date of birth

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

Nationality

Full name

Residential address including postcode

Postcode

Date of birth

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

Nationality

2.2. Scheme administrator contact details

Contact full name

Contact telephone number

Contact email address

We may use your email address and phone number to contact you about your product. We might use them to keep you informed about our products and services but only if you've consented to this.

Correspondence address including postcode

Postcode

2. Pension scheme administrator continued

2.3. Individual scheme administrator details

Please provide details of the individual scheme administrators

Full name

Residential address including postcode

Postcode

Date of birth

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

Nationality

Full name

Residential address including postcode

Postcode

Date of birth

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

Nationality

Full name

Residential address including postcode

Postcode

Date of birth

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

Nationality

Full name

Residential address including postcode

Postcode

Date of birth

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

Nationality

Full name

Residential address including postcode

Postcode

Date of birth

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

Nationality

3. Pension scheme trustees

Does the pension scheme have a corporate trustee? Yes No

If yes, please complete section 3.1 and 3.2. If no, please complete section 3.2 and 3.3.

3.1. Pension scheme corporate trustee details

Company name

Company registration number

Is the company FCA registered?

Yes No

If yes, please provide the FCA registration number

Registered company address including postcode

Postcode

Is the pension scheme administrator also a trustee?

Yes No

Correspondence address including postcode

Postcode

3.1.1 Pension scheme corporate trustee director details

Please provide details of all directors

Full name

Residential address including postcode

Postcode

Date of birth

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

Nationality

Full name

Residential address including postcode

Postcode

Date of birth

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

Nationality

3. Pension scheme trustees continued

Full name

Residential address including postcode

Postcode

Date of birth

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

Nationality

Full name

Residential address including postcode

Postcode

Date of birth

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

Nationality

Full name

Residential address including postcode

Postcode

Date of birth

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

Nationality

Full name

Residential address including postcode

Postcode

Date of birth

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

Nationality

3.2. Pension scheme main trustee contact details

Contact full name

Contact telephone number

Contact email address

We may use your email address and phone number to contact you about your product. We might use them to keep you informed about our products and services but only if you've consented to this.

Correspondence address including postcode

Postcode

3. Pension scheme trustees continued

3.3. Individual pension scheme trustees details

Please provide details of any individual scheme trustees

Full name

Residential address including postcode

Postcode

Date of birth

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

Nationality

Full name

Residential address including postcode

Postcode

Date of birth

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

Nationality

Full name

Residential address including postcode

Postcode

Date of birth

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

Nationality

Full name

Residential address including postcode

Postcode

Date of birth

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

Nationality

Full name

Residential address including postcode

Postcode

Date of birth

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

Nationality

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

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

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.

Please note that we are unable to collect details of any investment selection within this application. Once we have contacted you to request that you send funds to us, it is your responsibility to place any investments online once funds have been deposited into the GIA.

5. Financial adviser details (adviser use only)

Financial adviser name

Firm name

Please note that we are unable to collect details of any adviser charges payable within this application. Once we have contacted you to request that you send funds to us, it is the responsibility of the financial adviser to set up any adviser charges via our website.

6. 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 www.aegon.co.uk/support/faq/privacy.html 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 www.aegon.co.uk/support/faq/privacy.html

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 2.2 of this application.

7. Declaration

In this declaration:

'We', 'you', 'your' or 'our' refers to the trustees named in section 3 of this application form and 'Aegon' refers to Aegon Investment Solutions 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, and
- the Aegon Retirement Choices 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 Retirement Choices terms & conditions), along with the key features document, the personal illustration, key investor information documents 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.

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 in our capacity as Trustees to the pension scheme, detailed in section 1 of this application form, and services outlined in the application and agree to be bound by the Aegon Retirement Choices terms and conditions.

We will hold the Aegon GIA on behalf of the pension scheme detailed in section 1 of this application form.

We will be responsible for complying with all applicable regulation and law applying to pension schemes.

We will inform Aegon of any changes to the information provided in this application, for example, but not limited to, changes to the pension scheme rules and/or the Trustees of the scheme.

We are all over 18 years of age.

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

We confirm that, if we have not received face to face advice from an appointed intermediary in connection with this application, we have received and had the opportunity to read the key features document, illustration, key investor information document(s) and terms and conditions that are relevant to this application.

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

Where we are applying for an Aegon GIA through self-certification, we will provide certification of the entity's classification for FATCA and CRS purposes. Depending on the classification, this may also involve us providing details of all countries in which we are resident for tax purposes. If we do not provide the details required, we will be reportable to HM Revenue & Customs (HMRC) as undocumented.

7. Declaration continued

Where required to under UK law, Aegon can share information about us and our 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 registered pension scheme named in section 1 and we have authority from all relevant parties named in this application to proceed and for electronic 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, contributions, 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 this Aegon GIA, as and when we request that Aegon do so. If applicable, we agree to the re-registration of investments to be applied to this new Aegon GIA.

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

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

Make any payments specified by us to the appointed intermediary on our behalf from the Aegon GIA. We agree that these payments reflect the terms of the agreement we have entered into with the appointed intermediary. The contract note will confirm the actual amount of the payment that is deducted and paid to the appointed intermediary. If we disagree with the payment then we must advise the appointed intermediary of this.

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.

Scheme administrator

Signature (type name here)

X	X
---	---

Date

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

First trustee

Signature (type name here)

X	X
---	---

Date

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

Second trustee

Signature (type name here)

X	X
---	---

Date

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

Third trustee

Signature (type name here)

X	X
---	---

Date

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

Fourth trustee

Signature (type name here)

X	X
---	---

Date

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

Fifth trustee

7. Declaration continued

Signature (type name here)

X	X
---	---

Date

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

Sixth trustee

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.

8. Financial adviser declaration

Where you have completed this form on behalf of the pension scheme 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 pension scheme 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 pension scheme is true and complete;
- you have the appropriate authority from the pension scheme 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; and

- you have discussed the form with the pension scheme 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 pension scheme 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
---	---	---	---	---	---	---	---

Intermediary signature (type name here)

X	X
---	---



Aegon is a brand name of Scottish Equitable plc (No. SC144517) and Aegon Investment Solutions Ltd (No. SC394519) registered in Scotland, registered office: Edinburgh Park, Edinburgh, EH12 9SE. 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. Aegon Investment Solutions Ltd is authorised and regulated by the Financial Conduct Authority. Their Financial Services Register numbers are 165548 and 543123 respectively.
© 2022 Aegon UK plc