



**For Trustees** | Aegon Retirement Choices

# Aegon General Investment Account (GIA) application for Trusts

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 680 1234 (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 680 1234 for support.

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) for a Trust.

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.

We are able to consider applications for implied trusts. Please get in touch with your usual Distribution contact who will be able to provide you with more information and support you with your application.

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 Trustees 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 Digital Solutions, Sunderland SR43 4DL or by typing in the boxes and email the form to: [clientsupport@arc.aegon.co.uk](mailto: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 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 , 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 all amendments to Trust Deed
- ☐ Certified Deeds relating to all changes in the Trustees
- ☐ If there is a corporate Trustee, an original/certified copy of the authorised signatory list and any accompanying board minutes
- ☐ For a Trust set up by a Will, we require a certified copy of the Will and Grant of Probate/Certificate of Confirmation
- ☐ Trust Registration Service Proof of Registration, if required
- ☐ **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:

- The Trustees named in the application do not match the Trustees named in the Trust Deed or any later deeds that change the trustees.
- Full information is not provided.

# 1. Trust details

Full name of Trust

Type of Trust

Is the Trust resident in the UK?

☐ Yes ☐ No

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

Is the Trust required to register for the Trust Registration Service

☐ Yes ☐ No

If the Trust isn't required to register on the Trust Registration Service, please provide the reason why here.

Date the Trust was established eg the date the Trust was declared, the date the trust was executed or the date of the testator's death.

D

D

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Y

Y

Y

Y

Name of the account, e.g. 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.

## 1.1. Trust contact details

Contact full name

Contact telephone number

Contact email address

Correspondence address

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

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

☐ Adviser listed in section 8

☐ The Trust contact listed in section 1

## 2. Trustee details

Please provide full details of the Trustees of the Trust named in section 1.

Does the Trust have a corporate Trustee?

☐ Yes ☐ No

If yes, please complete section 3. If no, please complete section 2. If there is both corporate and individual Trustees, please complete both sections 2 and 3.

### 2.1. Trustee details

Please provide details of all the individual trustees.

Full name

Residential address

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

Are you a US citizen, resident or taxpayer?

☐ Yes ☐ No

Full name

Residential address

Postcode

Date of birth

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Nationality

Are you a US citizen, resident or taxpayer?

☐ Yes ☐ No

Full name

Residential address

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

Are you a US citizen, resident or taxpayer?

☐ Yes ☐ No

Full name

Residential address

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

Are you a US citizen, resident or taxpayer?

☐ Yes ☐ No

## 2. Trustee details continued

### 2.1. Trustee details continued

Full name

Residential address

Postcode

Date of birth

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Y

Y

Nationality

Are you a US citizen, resident or taxpayer?

☐ Yes

☐ No

Full name

Residential address

Postcode

Date of birth

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Y

Y

Nationality

Are you a US citizen, resident or taxpayer?

☐ Yes

☐ No

Note that if any Trustees are US citizens, residents or taxpayers, we will be unable to accept this application.

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

## 3. Corporate Trustees

### 3.1. 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

Postcode

### 3.2. Corporate Trustee contact details

Contact full name

Contact telephone number

Contact email address

Correspondence address

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 have consented to this.

### 3. Corporate Trustees continued

#### 3.3. Directors' details

Please provide details of all directors of the corporate Trustee company.

Full name

Residential address

Postcode

Date of birth

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Nationality

Full name

Residential address

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

Full name

Residential address

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

Full name

Residential address

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

Full name

Residential address

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

Full name

Residential address

Postcode

Date of birth

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Nationality

### 3. Corporate Trustees continued

#### 3.4. Corporate Trustee shareholder details

We require details of all shareholders of the corporate Trustee company who have a shareholding of 25% or more.

Full name

Residential address

Postcode

Date of birth

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Nationality

Full name

Residential address

Postcode

Date of birth

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Nationality

Full name

Residential address

Postcode

Date of birth

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Nationality

Full name

Residential address

Postcode

Date of birth

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Nationality

If any shareholders who have a shareholding of 25% or more are a company, please provide their details.

Company name

Company registration number

Registered address

Postcode

Correspondence address if different to registered address

Postcode

### 3. Corporate Trustees continued

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#### 3.4. Corporate Trustee shareholder details continued

Company name

Company registration number

Registered address

Postcode

Correspondence address if different to registered address

Postcode

### 4. Settlor details

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Please provide full details of the Settlor(s) of the Trust named in section 1. If a Settlor is also a Trustee, please provide their full name only.

Full name

Residential address

Postcode

Date of birth

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Y

Nationality

Full name

Residential address

Postcode

Date of birth

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Nationality

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



## 5. Beneficiary details

Are the Beneficiaries of the Trust known by name?

☐ Yes ☐ No

If yes, please ensure that section 5 of this form is completed. If no, please confirm the classes of beneficiary, e.g. children, grandchildren.

Please provide full details of the beneficiaries of the Trust named in section 1. If you have already provided full details of a beneficiary, please provide their full name only in this section.

Full name

Residential address

Postcode

Date of birth

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Y

Nationality

Are they beneficially entitled to more than 25% of the Trust fund?

☐ Yes ☐ No

Full name

Residential address

Postcode

Date of birth

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Y

Y

Y

Y

Nationality

Are they beneficially entitled to more than 25% of the Trust fund?

☐ Yes ☐ No

Full name

Residential address

Postcode

Date of birth

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Y

Y

Nationality

Are they beneficially entitled to more than 25% of the Trust fund?

☐ Yes ☐ No

Full name

Residential address

Postcode

Date of birth

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Y

Y

Y

Y

Nationality

Are they beneficially entitled to more than 25% of the Trust fund?

☐ Yes ☐ No

## 5. Beneficiary details continued

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Full name

Residential address

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

Are they beneficially entitled to more than 25% of the Trust fund?

<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
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Full name

Residential address

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

Are they beneficially entitled to more than 25% of the Trust fund?

<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
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If required, please provide details of any additional Beneficiaries on a separate sheet.

## 6. Protector details

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If there is a Protector named in the Trust, please provide their details here.

Full name

Residential address

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Nationality

## 7. Funding the investment

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### 7.1 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.

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.

We may contact you to ask you for documentary evidence of where the funds you are investing have come from. If there is no bank account associated with the Trust, please confirm the following:

Source of funds

Source of wealth

## 8. Adviser details (adviser use only)

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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 adviser to set up any adviser charges via our website.

## 9. How we treat your personal information

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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 [aegon.co.uk/support/faq/privacy.html](https://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 [aegon.co.uk/support/faq/privacy.html](https://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 1.1 of this application.

## 10. Trustee declaration

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In this declaration:

'We', 'you', 'your' or 'our' refers to the trustees named in section(s) 2 and/or 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
- 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, 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 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 will notify Aegon when there are any changes to the Trustees and will provide appropriate documentation recording the changes.

We agree to provide Aegon, for the purposes of the Trust Registration Service, an updated proof of registration extract when all the original Trustees change.

We apply for the Aegon GIA in our capacity as Trustees to the Trust, 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 Trust detailed in section 1 of this application form

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 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 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 that we no longer have an appointed adviser to whom Aegon can send these.

# 10. Trustee declaration continued

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 Trust 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, 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) 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.

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 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

# 10. Trustee declaration continued

## Fifth trustee

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.

# 11. Adviser declaration

Where you have completed this form on behalf of the Trust 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 trust 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 trust is true and complete
- You have the appropriate authority from the Trust 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 Trustees 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 Trust 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

