For financial advisers | Aegon Retirement Choices/One Retirement/Aegon Platform

Financial adviser application form

What proposition is your request for?

❑ Aegon Retirement Choices - Sign the declaration in section 8

❑ Aegon Platform - Sign the declaration in section 8

❑ One Retirement - Sign the declaration in section 9

How to complete this form

Important

Before you complete this form please read the relevant Terms of business:

- Terms of business - Aegon Retirement Choices and Aegon Platform
- Terms of business - One Retirement

Use this form to set up your firm and add or change individual advisers. You can also use it to change the bank details for your firm. Please tick the appropriate box(es) for any of the following requests.

❑ Set up a directly authorised firm/network – complete sections 1, 4, 5, 6 and 7.

❑ Set up branches and Appointed Representatives of a network – complete sections 1, 2, 4, 5, 6 and 7

❑ Remove a financial adviser – complete sections 1 and 3.

❑ Change of bank details – complete sections 1 and 5.

❑ Appoint a new financial adviser – complete sections 1, 2, 6 and 7.

❑ Request elevated access – complete sections 1 and 6.

In all cases the declaration(s) in sections 8 and/or 9 need to be completed.

Please complete this form by typing in the boxes, including the signature box(es) and return by email to clientsupport@arc.aegon.co.uk

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

1. Firm details - for directly authorised firms/networks

Name of firm

Financial Services Register number

Firm address

Postcode

Contact name

Contact number

Contact Email

2. Branch/Appointed representative details

Complete this section for additional branches and appointed representatives of a network.

Name of firm

Financial Services Register number

Firm address

Postcode

Contact name

Contact number

Contact email

Is your firm part of a network?

❑ No

❑ Yes - please give the following details.

Name of network

Financial Services Register number

3. Remove a financial adviser

Financial adviser name

You'll also need to tell us what is to happen with this financial adviser's clients. If some or all of their clients are to be transferred to another financial adviser within the same company please complete the relevant form opposite.

Financial Services Register number

Aegon Retirement Choices/One Retirement adviser bulk transfer request form

Aegon Platform adviser bulk transfer request form

4. Company details

Company number

Date the company was registered

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Trading name - if different to the registered company name

Correspondence address - if different to the firm address

Postcode

How do you invest?

- ☐ Single fund solutions
- ☐ Multi-manager
- ☐ Adviser model portfolios
- ☐ DFM
- ☐ Other please specify below.

Please list any country you trade in, or have offices/branches/subsidiaries.

What is your business model?

- ☐ Advised
- ☐ Non-advised
- ☐ Both advised and non-advised - please provide an estimate of the percentage of your firm's non-advised business below.

%

Does your firm regularly use the services of unregulated lead generating firms?

- ☐ No
- ☐ Yes - please provide details below.

Please list any individuals with significant control in the table below.

A person with significant control is someone who owns or controls your company. A person who has significant control is a person who has:

- More than 25% shares in the company.
- More than 25% voting rights in the company.
- The right to appoint or remove the majority of the board of directors.

Name	Role

Ultimate Parent Entity (UPE) or Relevant Legal Entity (RLE) details (if applicable)

Please provide details for any entity that has control over the company.

Corporate or firm name

Registered or principal office

Registration number

Date of becoming RLE

D D M M Y Y Y Y

Nature of RLE's control over the company

Ultimate Beneficial Owner or other registerable person (ORP) details (if applicable)

Please provide details of of your ultimate beneficial owner.

Full name/Company name

5. Details for remuneration payments

5.1 Please provide:

- Bank details for any new firm/network/adviser
- Existing bank details if you're changing bank details.

Name of bank/building society

Branch

Address

Postcode

Name of firm to receive the payment(s)

Account name

Branch sort code

Account number

5.2 Only complete this section if you're changing existing bank details - please provide the new details below.

Name of bank/building society

Branch

Address

Postcode

Name of firm to receive payment(s)

Account name

Branch sort code

Account number

5.3 Where you're part of a network, should the remuneration payments be made to the network or the firm?

❏ Firm

❏ Network

6. Platform access

So we can set up the appropriate level of access you need to confirm the permissions you want allocated to the user(s) requests.

- Complete the table in **6.1** for Aegon Retirement Choices and/or One Retirement access requests.
- Complete the table in **6.2** for Aegon Platform access requests.

6.1 Aegon Retirement Choices and/or One Retirement access

You can request user access for the following :

- **Adviser** - Someone who is a qualified financial adviser.
- **Non-adviser** - Someone who acts on behalf of an adviser, for example, a paraplanner or administrator.
- **Other** -Someone who isn't either of the above and you want to give them user administration, model portfolio management and/or firm view permissions only.

The person(s) in your firm with user administration permission can set these up or add other permissions to an existing user online.

Permissions

- **View** - Adviser or non-adviser role who only needs to view client information.
- **Transact** - Adviser or non-adviser who needs to be able to transact on clients' products.
- **User administration** - Allows the user to register new users, search for and update existing users in the firms/branches they have access to.
- **Firm view** - Allows the user to view data at firm level for linked branches.
- **Scheme adviser** - Provides advice to an employer for their workplace savings scheme.

Access levels

- **Adviser level** - See client data at individual adviser or if non-adviser to multiple linked advisers.
- **Branch level** - see data including client data (if applicable) for the whole branch.
- **Firm level** - See data for the whole firm.

User administration - if you're setting up a new firm we suggest you add a minimum of two users with the user administration permission. Please enter the details of the users below that will fulfil this role and the permissions they may require.

Name	Date of birth*	Email address**	Adviser view	Adviser transact	User admin	Scheme adviser

* Required for security

** Each adviser must have their own unique email address.

If you added only one user to have user administration permissions in the table above, and you require access to non-adviser transact, please tick below.

❏

Please use this section to detail any new financial advisers. A user with user administrator permissions can set up all non-adviser transact roles and permissions.
Complete the permissions each adviser needs. Indicate whether they need view or transact access and insert 'Yes' in the relevant column if any of the other permissions are required.

Registered Individuals (RIs)

Title	Name	Date of birth*	Email address**	Adviser transact	User admin	Scheme adviser

* Required for security - date should be shown as dd/mm/yyyy

** Each adviser must have their own unique email address.

6.2 Aegon Platform access permission

So we can set up the appropriate access levels for users within your firm, we'll need you to allocate the following permissions to them – firm administrator, paraplanner and financial advisers. An explanation of the permission levels areas follows:

Firm administrator - The firm administrator, can be a senior director, partner or sole trader of the organisation and will have access to a range of management information relating to their firm, including the full book summary and remuneration summary. They'll also have access to information about their financial advisers including remuneration earned, number of clients linked to each financial adviser and the value of their holdings. Firm administrators will need a separate log in as financial advisers if they want to transact business online but the role is to manage appropriate security and access rights for users of Aegon Platform within their organisation. Firm administrators can set up access for paraplanners, they can also link paraplanners to advisers.

Paraplanner - The firm administrator is responsible for setting up access rights for the paraplanners and will allocate user IDs and passwords to them. Once set up, paraplanners have the ability to use the research and transactional tools, create clients, generate illustrations and complete application forms online. Any work carried out by a paraplanner is always done on behalf of a financial adviser and this is indicated on any generated documents. Paraplanners can't submit the business on the Aegon Platform. This responsibility lies with the financial advisers, who will be required to complete the declaration and submit the application. We don't need details of any of the paraplanners.

Financial advisers - Financial advisers have full access to all the research tools available on the website. They'll also be able to submit online applications to the Aegon Platform, should their access permit. Financial advisers will only be able to see details of clients that are linked to them, including ones set up by their paraplanner. In addition, they'll be able to view remuneration details and book summary details for their business. If you need more room to add further financial advisers please print off another page four to attach with the application form.

6.2 Aegon Platform access permission – continued

Elevated access - What access levels mean:

- Adviser - access to only clients listed under the individual accounts.
- Branch/Appointed Representative - access to all advisers' clients listed under the branch they are associated to.
- Network - access to all adviser's clients listed under the network/directly authorised structure.

The Adviser can submit trades via the Adviser Portal and access client data in Report Zone. They won't be able to view clients of the other advisers in the CGT UI tool, MPM or IMM tools or manage ongoing charges. Once elevated access is provided, the platform registered Firm Adminstrators would be able to register advisers, paraplanners and other firm adminstrators for Bulk Data Admin and Bulk Data User reports.For further information, please see our **Roles & Responsibility guide.**

Firm administrators

Please tell us which individuals need to be set up as firm administrator(s).

At least one firm administrator must be added for a new firm set up.

Title (Mr, Mrs etc)	Name	Date of birth* (dd/mm/yyyy)	Email address**

*Required for security

** Each firm administrator must have their own unique email address.

Firm administrators will receive log-in details for the Aegon Platform.

Financial advisers

Use this section to detail new financial advisers you want to appoint. Insert 'Yes' if you'd like the financial adviser to have view only access or view and transact access. Don't add any paraplanners in this list.

Title	Name	Date of birth*	Email address**	FCA ref. No. for individual	View only	View & transact

* Required for security. show date as dd/mm/yyyy

** Each adviser must have their own unique email address.

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

Elevated access

Please tell us which individuals need elevated access and what level of access they require.

Title	Name	Email address	Access level at Network	Access level at Branch

7. Anti-money laundering

7.1 If there is no Introduction Verification Certificate (IVC) agreement you'll have to provide full documentation for each client to enable identity verification (ID&V) checks to be made.

Please provide details of how your company/firm completes anti-money laundering Know Your Customer (KYC) and Customer Due Diligence (CDD) checks on clients, including how you store records of the completed ID&V checks.

You will provide us with an IVC when you onboard clients to Aegon.

7.2 **You confirm the following:**

- I/We understand that there will be occasions where Aegon will request certified copies of the underlying documents.
- I/We understand that Aegon reserves the right to contact the client(s) directly in order to fulfill it's obligations under the money laundering legislation and where this cannot be completed the client's account will be closed.

7.3 **Have you or any of the Directors/Partners or employees of the firm ever been subject to a bankruptcy or insolvency order?**

❏ No

❏ Yes - please provide details below.

7. Anti-money laundering – continued

7.4 Have you and/or the Firm been subject to any investigations or disciplinary action taken by the FCA or other regulatory body?

❏ No

❏ Yes - please provide details below.

7.5 Have you and/or the Firm been subject to any litigation within the last 3 years or do you anticipate proceedings being issued?

❏ No

❏ Yes - please provide details below.

8. Aegon Retirement Choices and Aegon Platform declaration

The platform registered Firm Administrator can only sign this form if adding a new adviser(s) or removing existing adviser(s). All other instructions must be signed by the FCA registered Director, Partner or Sole Trader.

- I/We apply to use the ARC platform and/or Aegon Platform online.
- I/We have seen a copy of the Terms of business and and confirm that I/we accept and will abide by the Terms of business for Aegon Retirement Choices and Aegon Platform
- I/We confirm that I'll/we'll read and explain the Aegon Retirement Choices and/or Aegon Platform Terms and conditions to each of our client(s) when we apply for a product on their behalf.
- I/We agree that I'll/we'll only allow authorised employees and representatives of the firm to use the ARC platform or Aegon Platform subject to the Terms of business.
- I'll/We'll make sure that employees or representatives no longer authorised or who have left the firm won't have access to the ARC platform or the Aegon Platform as detailed in the Terms of business.

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.

Date

D D M M Y Y Y Y

Signature (type name here)

✗ ✗

Name of Director/Partner/Sole Trader or Firm Administrator

Position (Director (CF1/SMF3)/Partner (SMF27)/Sole trader/Firm Administrator)

Contact number

9. One Retirement declaration

The platform registered Firm Administrator can only sign this form if adding a new adviser(s) orremoving existing adviser(s).All other instructions must be signed by the FCA registered Director, Partner or Sole Trader.

- I/We apply to use One Retirement.
- I/We have seen a copy of the Terms of business and confirm that I/we accept and will abide by the Terms of business for One Retirement.
- I/We confirm that I'll/we'll read and explain the One Retirement Terms and conditions to each of our client(s) when we apply for a product on their behalf.
- I/We agree that we'll only allow authorised employees and representatives of the firm to use One Retirement subject to the Terms of business.
- I'll/We'll make sure that employees or representatives no longer authorised or who have left the firm won't have access to One Retirement as detailed in the Terms of business.

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.

Date

D D M M Y Y Y Y

Signature (type name here)

✗ ✗

Name of Director/Partner/Sole trader or Firm Administrator

Position (Director (CF1/SMF3)/Partner (SMF27)/Sole trader/Firm Administrator)

Contact number