

Asset transfer form

In this form, 'I', 'you', 'your' or 'my' means the customer(s) named in sections 1 and 2, 'Aegon', 'we' or 'our' means Cofunds Limited, and adviser means the Nationwide Financial Planning Manager.

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

- two existing Aegon GIAs, or
- an existing Aegon GIA and a new Aegon GIA. This form can be used to open the new Aegon GIA.

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

Where you currently hold investments in commission-included share classes in your Aegon GIA and/or your Aegon ISA:

You have received information regarding converting your commission-included investments to commission-free and the relevant charges. When we receive this instruction, we'll start that conversion.

Where you haven't already chosen the level of service you need, your Personalised Charges Schedule (PCS) has been produced using the Nationwide service charge of 0.5%. You have the right to opt out of this and instead move onto the pay as you go advice charge service. You can find more information in the covering letter that accompanies your PCS. Please tell us below which service charge you'd like to choose:

Please leave me on the 0.5% service charge.

I'd like to move to the pay as you go advice charge service.

If you don't tick one of the above boxes to tell us which service you'd like, you'll remain on the 0.5% service charge until you tell us otherwise.

Before completing this form

You must have received an illustration, key features, terms and conditions, and a Key Investor Information Document (KIID) or a key information document for each investment you're choosing before we can process your application. If you don't have any of these documents you can contact us by email: aegonipsadministration@aegon.co.uk.

How to complete this form:

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

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

Part C – For adviser use only.

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

Please complete this form in BLOCK CAPITALS and ballpoint pen. If your adviser has completed this form on your behalf, please check all details are correct before signing and returning the form. Once completed, please email to: aegonipsadministration@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.

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

For the purpose of our records we'll process this instruction on the basis that you haven't received financial advice, unless otherwise stated in this form.

Part A – The transferor should complete this part.

1. Customer details

1.1 Existing Aegon GIA number

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Primary account holder

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

Full forename(s)

Surname

Date of birth

D	D	M	M	Y	Y	Y	Y
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1.2 Secondary holder

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

Full forename(s)

Surname

Date of birth

D	D	M	M	Y	Y	Y	Y
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2. Transfer details

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

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

All investments, or The investments listed below.

Full investment manager name, investment name and share class	SEDOL code (leave blank if not known)	'Acc/ Inc'	Amount to be transferred (only choose one option)			
			% of investment	Amount (£)	Transfer the full fund	Whole number of units
					<input type="checkbox"/>	
					<input type="checkbox"/>	
					<input type="checkbox"/>	
					<input type="checkbox"/>	
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					<input type="checkbox"/>	
					<input type="checkbox"/>	

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

Part B – The transferee should complete this part

3. Your details

The primary account holder and any secondary holder receiving the investments must complete this section. The new or existing customer(s) detailed in this section will be the new owner(s) of the investments being transferred.

3.1 Personal details

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

Full forename(s)

Surname

Date of birth

D	D	M	M	Y	Y	Y	Y
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Relationship to the transferor

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

Yes – go to 3.3

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

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

Permanent residential address

Postcode

Email address

We'll use your email address to contact you about your product.

Gender

Male Female

National Insurance number

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You should be able to find your National Insurance number on a payslip, from a P45 or P60, or a letter from HM Revenue & Customs (HMRC).

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

For tax purposes, are you resident anywhere other than the UK?

No

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

4. Secondary holder details

Aegon GIA can also have a (secondary) joint holder. All correspondence will be sent to the primary holder.

4.1 Secondary holder details

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

Full forename(s)

Surname

Date of birth

D	D	M	M	Y	Y	Y	Y
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4.2 Only complete this section if you're applying for a new Aegon GIA.

Permanent residential address

Postcode			

Email address

We may use your email address to contact you about your product.

5. Income options

If you have income generating investments, this section lets you choose how any income distributions paid from those investments should be dealt with when we receive them from the investment provider. We'll apply your selection to all income generating investments you hold within the Aegon GIA.

If you have an existing Aegon GIA with income units/shares and don't tick one of the boxes below, we'll apply your existing income option.

a. Reinvest (default) – reinvest any income received back into the same investment.

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

Gender

Male Female

National Insurance number

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You should be able to find your National Insurance number on a payslip, from a P45 or P60, or a letter from HMRC.

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

For tax purposes, are you resident anywhere other than the UK?

No

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

6. Bank details for payments out of investment income

Please provide details of the bank/building society account your consolidated natural income is to be paid to. Payments can only be made to a personal account in your name.

If this is the first time you've nominated this bank account, you may need to give us a certified copy of your bank statement and driving licence (as proof of signature). We'll contact you if we need this.

Name of bank/building society

Account name

Branch sort code

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Account number

Building Society roll number (if applicable)

Payments to building society accounts may take up to 10 days longer than payments to bank accounts.

7. How we treat your personal information

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 account 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.

We work with carefully selected 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 credit, fraud and financial crime agencies to enable us to verify your identity and help make decisions regarding the ongoing administration of your investments. This will be undertaken during the application 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 nationwide.aegon.co.uk/site-info/privacy-and-cookie-policy/ or by contacting us to request a copy.

Part C – for adviser use only

8. Adviser details (for adviser use only)

Adviser name

Please detail any adviser or platform charges below.

8.1 Did you give financial advice?

Yes

No

8.2 Ongoing adviser charge

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

Please tick one option only

0.50%

0.75%

N/A

8.3 Platform charge

Use this section to select a platform charge.

Please tick one option only

0.31%

0.39%

Part D – Declarations

9. Transferor declaration

I/We, the person(s) named in section 1, agree to transfer the investments listed in section 2 of this form and any Asset transfer continuation form (if applicable), to the Aegon GIA nominated by the person(s) named in section 3, and section 4 (if applicable).

Aegon GIA primary holder

Date

D	D	M	M	2	0	Y	Y
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Print name

Primary holder signature (signature not required if sending form by email)

X	X
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Secondary holder

Date

D	D	M	M	2	0	Y	Y
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Print name

Secondary holder signature (signature not required if sending form by email)

X	X
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10. Transferee declaration

In this declaration:

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

General declaration

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

- the application,
- these declarations and any other declarations made when applying for an Aegon GIA,
- the first contract note, and
- the Aegon Platform - for Nationwide Building Society customers terms and conditions.

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

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

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

10.4 I accept that Aegon has not and will not assess my suitability for opening an Aegon GIA or investment decisions I make. This means I will not benefit from the protection of the Financial Conduct Authority's rules on assessing suitability. If I have any doubts about the suitability for the Aegon GIA, I should speak to an adviser.

I declare that:

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

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

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

10.7 I am 18 years of age or over.

10.8 I agree to the Aegon GIA terms and conditions.

10.9 The information supplied in this application, and any supplementary forms related to it, including transactional data, is true and complete to the best of my knowledge and belief. I am aware that it is a serious offence to knowingly provide false or misleading information on the application.

10.10 Any payment into my Aegon GIA, including contributions and transfers, will be placed in the cash facility. Thereafter, investments will be purchased in accordance with the investment instructions given by me, or my adviser where I have appointed one in relation to my Aegon GIA.

10.11 Where I currently hold investments in commission-included share classes under my Aegon GIA and/or my Aegon ISA, I instruct Aegon to purchase commission-free share class investments (where appropriate) and to arrange the conversion of all commission included share class investments I hold under my Aegon GIA and/or Aegon ISA to commission-free share class investments.

10.12 I have had the opportunity to read the fund specific information and/or Key Investor Information Documents (KIIDs) relating to my investment(s).

10.13 I agree that once a commission-included share class has been converted to another share class within an investment, it cannot be converted back.

10.14 I am aware that no transactions can be carried out on the affected units while the conversion takes place.

10.15 I agree that any loyalty bonus I receive will stop once the conversion is complete.

10.16 I have had the opportunity to read the Aegon Platform – for Nationwide Building Society customers terms and conditions and hereby agree to be bound by the terms.

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

10. Transferee declaration – continued

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

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

I authorise Aegon to:

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

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

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

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

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

10.25 Pay any fees or charges specified by me to Nationwide Building Society on my behalf from my Aegon GIA. I agree that the amount of the fee or charge reflects the terms of the agreement I have entered into with my appointed adviser.

10.26 The contract note will confirm the actual amount of the fee or charge to be deducted and paid to my appointed adviser. If I disagree with the fee or charge then I must advise my appointed adviser of this.

Customer

Aegon GIA primary holder.

Date

D	D	M	M	2	0	Y	Y
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Print name

Primary holder signature (signature not required if sending form by email)

X	X
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Secondary holder

Date

D	D	M	M	2	0	Y	Y
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Print name

Secondary holder signature (signature not required if sending form by email)

X	X
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Illustration number (for internal use only)

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