

Asset transfer form

In this form, Aegon means Cofunds Limited.

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.

Before completing this form

The customer(s) receiving the investments (transferee) must email us on: aegoncofundsadministration@aegon.co.uk for an illustration, the Aegon GIA key features and the Aegon Platform terms and conditions, and a Key investor information document or a Key information document for each investment they're receiving.

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 intermediary 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 intermediary has completed this form on your behalf, please check all details are correct before signing and returning the form. Once completed, please send to: 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 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.

Part A – The transferor should complete this part.

1. Customer details

The customer(s) transferring the investment(s) and all joint holders (if applicable) must complete this section.

Existing Aegon GIA number

8							
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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
---	---	---	---	---	---	---	---

Company name (if applicable)

Scheme name (if applicable)

Designation (if applicable)

1. Customer details – continued

1.1 Joint holders

Please complete for each joint holder.

Second holder

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

Full forename(s)

Surname

Date of birth

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

Third 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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Fourth 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 (this is shown in your Key investor information documents (KIIDs))	Amount to be transferred (only choose one option)	
		Transfer the full fund	Whole number of units
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<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 ☒.

Occasionally, we might need to know where the money you are investing has come from. If we do, we'll contact you to ask you where the money has come from and for documentary evidence of this.

Part B – The transferee should complete this part.

3. Your details

The primary account holder and any joint holders receiving the investments must complete this section. The new or existing customers detailed in this section will be the new owners 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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Company name (if applicable)

Scheme name (if applicable)

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/company address

Postcode

Email address

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

Gender

Male Female

National Insurance number

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

Use this section to specify a unique reference for this account. You can designate an account using alphanumeric characters.

Designation

This is optional. Please make sure the reference doesn't make a meaningful word.

Did you get advice before completing this form?

Yes

No

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. ☒

Did you get advice before completing this form/instruction?

Yes

No

Tick this box to confirm that you've had the opportunity to read the Aegon GIA key features and fund specific information and/or Key Investor Information Documents (KIIDs) relating to your investment.

4. Joint-holder details

Aegon GIA can have up to three additional joint holders. You should include the full name and address of each joint holder. All correspondence will be sent to the primary holder.

Second holder

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

Full forename(s)

Surname

Permanent residential/company additional address

<input type="text"/>
<input type="text"/>
<input type="text"/>
Postcode

Email address

Gender

Male Female

Date of birth


<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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National Insurance number

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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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. 

Third holder

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

Full forename(s)

Surname

Permanent residential/company address

<input type="text"/>
<input type="text"/>
<input type="text"/>
Postcode

Email address

Gender

Male Female

Date of birth


<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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National Insurance number

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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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. Joint-holder details – continued

Fourth holder

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

Full forename(s)

Surname

Permanent residential/company address

Postcode

Email address

We may use the joint holder's email address to contact them about their plan.

Gender

Male Female

Date of birth

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

National Insurance number

--	--	--	--	--	--	--	--	--	--

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. ✉

5. Beneficial ownership and control

Please read the following information carefully and complete the boxes below.

- 5.1 If the transferee(s) is/are the individual beneficial owner(s), please enter 'transferee' or 'transferees' in the Capacity space.
- 5.2 If the transferee is a body corporate or partnership, enter the names of any persons that have a shareholding of over 25%. If there are no beneficial owners with a shareholding of over 25%, enter the names of the individuals with a majority shareholding of 25% or less.
- 5.3 If the transferee(s) is/are acting as trustee(s) (or similar), enter the names of any additional trustees or others that have control over the management of the trust or arrangement and any individuals that have an entitlement to at least 25% of the property of the trust or otherwise have control over the trust.

Name

Capacity

Date of birth

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

Permanent residential address

Postcode

Name

Capacity

Date of birth

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

Permanent residential address

Postcode

5. Beneficial ownership and control – continued

Name

Capacity

Date of birth

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

Permanent residential address

<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>
Postcode

Name

Capacity

Date of birth

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

Permanent residential address

<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>
Postcode

6. 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 us:

- For any income units/shares you hold and if you don't tick one of the boxes below, we'll apply your existing income option.
- If you wish to take consolidated natural income and you're currently taking regular withdrawals, please select 'consolidated natural income' below and we'll cancel your existing regular withdrawals.

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

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

c. Consolidated natural income – pay any income received into your nominated bank account as a monthly payment. (Complete section 7 to nominate a bank account.)

7. 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 into. Payments can only be made to a personal account in your name.

If this is the first payment to your nominated 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.

Rather than send us an original document, you can send us a certified copy, please see the 'Who can certify a document and how do they do it?' FAQ on our website for how to do this.

Name of bank/building society

Account name

Branch sort code

<input type="text"/>	<input type="text"/>	-	<input type="text"/>	<input type="text"/>	-	<input type="text"/>	<input type="text"/>
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Account number

Building Society roll number (if applicable)

8. How we treat your personal information

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 investorportfolioservice.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.

- Mail
- Phone
- SMS
- Email

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 investorportfolioservice.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.

Part C – For intermediary use only

9. Confirmation of Verification of Identity (for intermediary use only)

I confirm that:

9.1 The information in section 1 was obtained by me in relation to the customer.

9.2 The evidence I have obtained to verify the identity of the customer: (tick only one)

- meets the standard evidence set out within the guidance for the UK Financial Sector issued by Joint Money Laundering Steering Group (JMLSG); or
- exceeds the standard evidence - where the client is a Politically Exposed Person.

(Written details of the further verification evidence taken are attached to this confirmation).

Name

Position

Date

D	D	M	M	2	0	Y	Y
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Signature (signature not required if sending form by email)

X	X
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10. Intermediary details (for intermediary use only)

Intermediary 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, use your Aegon Platform account.

Part D – Declarations

11. 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).

Customer

Aegon GIA primary holder

Date

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

Print name

Signature

(signature not required if sending form by email)

X	X
---	---

Additional joint holder two

Date

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

Print name

Signature

(signature not required if sending form by email)

X	X
---	---

All joint Aegon GIAs holders must sign

Additional joint holder one

Date

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

Print name

Signature

(signature not required if sending form by email)

X	X
---	---

Additional joint holder three

Date

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

Print name

Signature

(signature not required if sending form by email)

X	X
---	---

For companies only

This section should only be completed by companies.

Primary holder signature

(signature not required if sending form by email)

X	X
---	---

Capacity in which declaration is made (for example owner, trustee, authorised signatory)

Date

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

Second holder signature

(signature not required if sending form by email)

X	X
---	---

Capacity in which declaration is made (for example owner, trustee, authorised signatory)

Date

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

11. Transferor declaration – continued

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

X X

Capacity in which declaration is made (for example owner, trustee, authorised signatory)

Date

D D M M 2 0 Y Y

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

X X

Capacity in which declaration is made (for example owner, trustee, authorised signatory)

Date

D D M M 2 0 Y Y

12. 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

12.1 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 terms and conditions.

12.2 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 terms and conditions), along with the key features document, my personal illustration, key investor information documents and the declarations in this application.

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

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

12.5 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 intermediary.

I declare that:

12.6 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 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.

12.7 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.

12.8 I am 18 years of age or over.

12.9 I agree to the Aegon GIA terms and conditions.

12.10 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.

12. Transferee declaration – continued

- 12.11** 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 intermediary where I have appointed one in relation to my Aegon GIA.
- 12.12** 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.
- 12.13** 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.
- 12.14** This application has been completed to the best of my knowledge and belief.

I authorise Aegon to:

- 12.15** Hold my cash, subscriptions, investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash.
- 12.16** 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.
- 12.17** Obtain details from my existing GIA provider(s) and authorise the giving of any such details to Aegon.
- 12.18** Accept investment and disinvestment instructions from my intermediary where I have appointed one in relation to my Aegon GIA.
- 12.19** Disclose details of my Aegon GIA to my appointed intermediary, and accept instructions from my appointed intermediary with regard to all aspects of the running of the Aegon GIA.

Pay any fees or charges specified by me to my appointed intermediary 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 intermediary. The contract note will confirm the actual amount of the fee or charge to be deducted and paid to my appointed intermediary. If I disagree with the fee or charge then I must advise my appointed intermediary of this.

Customer

Aegon GIA primary holder.

Date

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

Print name

Signature

(signature not required if sending form by email)

X	X
---	---

All joint Aegon GIAs holders must sign

Additional joint holder one

Date

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

Print name

Signature

(signature not required if sending form by email)

X	X
---	---

Additional joint holder two

Date

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

Print name

Signature

(signature not required if sending form by email)

X	X
---	---

Additional joint holder three

Date

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

Print name

Signature

(signature not required if sending form by email)

X	X
---	---

12. Transferee declaration – continued

For companies only

This section should only be completed by companies.

Primary holder signature

(signature not required if sending form by email)

Capacity in which declaration is made (for example owner, trustee, authorised signatory)

Date

Second holder signature

(signature not required if sending form by email)

Capacity in which declaration is made (for example owner, trustee, authorised signatory)

Date

Third holder signature

(signature not required if sending form by email)

Capacity in which declaration is made (for example owner, trustee, authorised signatory)

Date

Fourth holder signature

(signature not required if sending form by email)

Capacity in which declaration is made (for example owner, trustee, authorised signatory)

Date

Notes

Where there are two signatories for a corporate investor, please delete reference to primary and second holder.

If you require a Fund prospectus, please contact your intermediary or investment manager directly.

If you wish to download reports and accounts, you can do so via the Customer Dashboard.

If you wish to receive paper copies of reports and accounts, product Key Features, other fund-specific information and/or KIID, please contact us.

