



For financial advisers only | Aegon Retirement Choices and One Retirement

# Financial adviser application form

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.

## How to complete this form

If you want to do more than one of the options below, please complete a separate form for each one:

- Set up a directly authorised firm/ network – complete sections 1, 3, 4, 5 and 6.
- Change bank details complete sections 1, 3 and 6.
- Remove a financial adviser, complete sections 1, 2 and 6.
- Appoint an new financial adviser complete sections 1, 5 and 6.

An FCA registered director, partner or sole trader, as appropriate, should sign this form.

Please complete this form by typing in the boxes, including the signature box(es) and emailing it 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. Please consider this when sending us sensitive information.

## Which proposition is this request for?

- Aegon Retirement Choices
- One Retirement

## 1. Firm details

Name of firm

Financial Services Register number

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Firm address


Postcode

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Contact name


Contact number

Email

Is your firm part of a network?

- No
- Yes – please provide the following details:

Name of network

Financial Services Register number

## 2. Remove an individual financial adviser

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Financial adviser name

Financial Services Register number

**You will also need to give us instructions on 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 Adviser bulk transfer request form.

## 3. Details for remuneration payments

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3.1 Is this a change to existing bank details?

No – please provide details below

Yes – please detail the existing bank details below and complete 3.2

Name of bank/building society

Branch

Address

  
  
  

Postcode

Name of firm to receive the payment(s)

Account name

Branch sort code

Account number

3.2 New bank details

Name of bank/building society

Branch

Address

  
  
  

Postcode

Name of firm to receive the payment

Branch sort code

Account number

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

Network

Firm

## 4. Client correspondence

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- 4.1 When you're advising a client directly, would you like us to send client documentation?
- Yes
- No – client documentation will be sent to you to forward on to your clients. This doesn't include any regulatory documents that must be sent directly to clients.

- 4.2 Where you're the scheme adviser to an employer, all documentation will be sent directly to the relevant employee, or the employer where appropriate. No documentation will be sent directly to you to forward on to those employees or the employer.

## 5. Aegon Retirement Choices (ARC)/One Retirement access

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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 owner, firm administrator, paraplanner and registered individuals (RIs). An explanation of the permission levels are as follows:

### **Firm owner**

The owner, be it a senior director, partner or sole trader of the organisation, 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 RIs, including remuneration earned, number of clients linked to each RI and the value of their holdings. Firm owners will need a separate log-in as RIs if they want to transact business online.

### **Firm administrator**

The access level of the firm administrator is the same as the firm owner, but the role is to manage appropriate security and access rights for users of ARC/One Retirement within their organisation.

### **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 an RI and this is indicated on any generated documentation. Paraplanners can't submit the business to ARC/One Retirement online. This responsibility lies with the RIs, who will be required to complete the declaration and submit the application. You should note that we don't need details of any of the paraplanners.

### **Registered individuals (RIs)**

RIs have full access to all the research and transactional tools available on the website. They'll also be able to submit any application online. RIs 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 RIs please print off another page four to attach with the application form. RIs can act as a personal adviser, scheme adviser or both. Different log-in details will be provided for personal adviser access and scheme adviser access.

### **Personal adviser**

A personal adviser is someone who will provide advice directly to a client.

### **Scheme adviser**

A scheme adviser is someone who will provide advice to an employer in relation to a workplace savings scheme.



## 6. Declaration

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- 6.1 I/We apply to use the ARC platform or access One Retirement online, whichever applies.
- 6.2 Where I'm/we're setting up a new firm or appointing an individual financial adviser, we confirm that the relevant Terms of Business will continue to apply.
- [Aegon Retirement Choices and Aegon Platform Terms of business](#)
  - [Terms of business](#)
- 6.3 I'll/We'll read and explain to our client(s) the ARC terms and conditions or the One Retirement terms and conditions, whichever is applicable.
- 6.4 I/We agree that I'll/we'll only allow authorised employees and representatives of the firm to use the ARC platform/access One Retirement subject to the relevant Terms of business.
- 6.5 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/One Retirement as detailed in the relevant 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 (dd/mm/yyyy)

Signature (type name here)

Name of director/partner/sole trader

Position

Contact number

## 7. Aegon team – for internal use only

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Platform Implementation Manager

Sales contact



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