



For intermediaries only

Sending client forms to us by email

Our top priority is to make sure that you can continue to easily use Aegon Retirement Choices (ARC) and One Retirement during the pandemic.

Most of our ISA, GIA and SIPP processes are online, but for those that aren't you can now complete certain forms online and email them to clientsupport@arc.aegon.co.uk – without us needing a wet signature from you or your client.

Please note that there's no guarantee that any email sent will be received or that it will remain private during internet transmission. So, you should avoid sending us any personal or confidential information this way. If you decide to send information in this way, you are doing so at your own risk.

All we ask is that you complete the form by typing in the boxes instead of writing and:

If you're sending us the form on behalf of your client – you read and sign the adviser declaration, type your name into the adviser signature box and date the form.

If your client is sending us the form – they read the customer declaration, type their name into the customer signature box and date the form.

If you're sending us a form that only needs an intermediary signature - you read the adviser declaration, type your name into the adviser signature box and date the form.

The typed name becomes the signature and confirms you're making the declarations and that

you wish to proceed with the instructions in the form.

Forms as part of online processes

Most of the forms include a declaration, but we do still need a declaration emailed to us for the forms below, when they're downloaded as part of the online process:

- transfer authority forms;
- re-registration authority forms;
- direct debit instruction forms, and
- death benefit nomination/expression of wish forms

Completing forms on a mobile or tablet

If you want to complete the forms on a mobile or tablet device you'll need to open the forms in a PDF reader application – there are a variety of free ones available to download from your app store.

Use DocuSign or Adobe Sign to send us signed forms more quickly and easily than before

We're aware that a lot of our intermediaries use DocuSign or Adobe Sign to manage client instructions. So based on feedback about your priorities, we can now accept selected forms through these programs that usually need a wet signature. We've signposted the forms below. Although there's two things to remember:

1. make sure you send us the Certificate of Completion (DocuSign) or the Adobe Final Audit Report (Adobe Sign), and
2. the completed form must be emailed to us by you or a paraplanner at your firm, not your client.

Important information before you complete the forms that need the declaration

Please make sure you copy and paste the below wording in your email, adding your name, customer reference and the date, when you attach the completed form.

I confirm that by returning the attached completed form(s) to you with this email I wish it/them to be treated by you as signed by me. In particular I confirm that:

- I have read and agree to all legal and other declarations contained in the form(s);
- Where I am an employer confirming records of contributions and payments, I have read the declarations and confirm the accuracy of these statements;
- I have considered the declarations which relate to tax limitations, requirements, allowances and liabilities for GIA, ISA and pension contributions;
- I have the requisite authority to make these declarations;
- For accounts with more than one account holder, party who can act or other parties with rights to the account I act with the consent, authority and knowledge of all of the other account holders and parties.
- Where I am applying for a new account I am over 18 and habitually resident in the United Kingdom.

You should treat this email as if I have returned the signed form[s] to you dated today. I accept that you will act on these instructions on that basis.

Name:

Customer reference:

Date:

Email checklist

- ✓ If you decide to email forms to us, it will need to come from the email address that's registered with us.
- ✓ Only include one instruction on each email.
- ✓ Make sure you include the declaration above.



Use the links below to navigate to the forms for the relevant product.

[ARC/One Retirement SIPP](#)

[ARC GIA and ISA](#)

[Administration](#)

Can't access the online processes?

If you can't use or access the online processes for the transactions on ARC or One Retirement, you can download the paper forms from our [document library](#). You can complete these forms online, without having to print them.

ARC/One Retirement SIPP

Contributions		
Transaction type	Form	Online process
<p>Regulars into existing SIPP¹ - although the employer contribution process is online, we also need:</p> <ul style="list-style-type: none"> • a Direct debit instruction, • a Record of payments due form, and • a letter on company headed paper from the employer agreeing that we can set up the direct debit <p>so employers can tell us to start regular contributions into an existing ARC SIPP</p>	<p>Direct debit instruction - ARC SIPP</p> <p>Record of payments due</p>	✗
Direct debit² - to set up a new direct debit for an existing ARC SIPP		✓
Transfers		
Transaction type	Form	Online process
<p>DocuSign/ Adobe Sign</p> <p>In-specie transfer - although the transfer process is online and generates a transfer authority, we also need a re-registration authority form. This is so we can request an in-specie transfer at the same time</p>	<p>Re-registration authority</p>	✗
<p>DocuSign/ Adobe Sign</p> <p>Transfer authority - to tell us the details of the previous plan manager to request the transfer to an existing SIPP. This form is generated as part of the online process</p>		✓

¹ This form must be emailed to us by the client/employer. If you're forwarding us an email your client/the employer has sent to you, that includes the forms and declaration, we must be able to clearly see their original email.

² This form must be emailed to us by the client. If you're forwarding us an email your client has sent to you, that includes the forms and declaration, we must be able to clearly see their original email.



ARC/One Retirement SIPP

Drawdown		
Transaction type	Form	Online process
Small pots lump sum – to tell us to pay a small pots lump sum from a client’s existing ARC SIPP or One Retirement plan	Small pots lump sum	✗
Income for capped drawdown - to set up a new or amend an existing income instruction from an existing ARC SIPP or One Retirement plan	Income request (capped drawdown)	✗
Cash lump sum - to tell us to pay all of your client’s pension fund as an uncrystallised funds pension lump sum into an existing SIPP plan	UFPLS – cash lump sum	✗
Capped to flexi access request - to tell us to convert an existing ARC SIPP or One Retirement capped drawdown plan to flexi-access drawdown	Capped to flexi access drawdown	✗
Benefit crystallisation event for capped drawdown - to make an additional designation into an existing ARC SIPP or One Retirement plan in capped drawdown or choosing an annuity	Benefit crystallisation event application for capped drawdown	✗
Benefit crystallisation event for flexi-access drawdown - to make an additional designation into an existing ARC SIPP or One Retirement plan in flexi-access drawdown or choosing an annuity		✓

Track your transactions

Use the **In progress/completed transfers report** in Report Zone to track the progress of a transaction.

ARC GIA and ISA

Contributions		
Transaction type	Form	Online process
Inheritable ISA application ² – to make cash subscriptions (also known as additional permitted subscriptions) into a new or existing Aegon ISA	Inheritable ISA allowance application form	✗
GIA direct debit ¹ - set up a new direct debit for an existing GIA		✓
ISA direct debit ¹ - set up a new direct debit for an existing ISA		✓
Re-registrations/transfers		
Transaction type	Form	Online process
Inheritable ISA transfer ¹ – transfer investments inherited by your client from an existing ISA into an Aegon ISA	Inheritable ISA allowance – transfer	✗
Inheritable ISA transfer authority ¹ – to tell us the details of the previous plan manager, so we can request the transfer	Inheritable ISA transfer authority	✗
 ISA transfer authority - to tell us the details of the previous plan manager, so we can request the transfer. This form is generated as part of the online process		✓
 ISA and GIA re-registration authority - to tell us the details of the previous plan manager, so we can request the transfer. These forms are generated as part of the online process		✓


² This form must be emailed to us by the client. If you're forwarding us an email your client has sent to you, that includes the forms and declaration, we must be able to clearly see their original email.

ARC GIA and ISA

Withdrawals		
Transaction type	Form	Online process
<p>GIA/ISA withdrawal² – to request a withdrawal from an existing GIA or ISA. We need one form for each product wrapper.</p> <p>Make sure there's enough money available in the cash facility, otherwise you'll need to process a switch to cash online and then send us the withdrawal form</p>	<p>Withdrawal instruction GIA/ISA</p>	<p>✘</p>
<p>Inheritable ISA² - withdrawal from a GIA to be paid as an additional permitted subscription into an ISA</p>	<p>Withdrawal from a GIA to be paid as an additional permitted subscription into ISA</p>	<p>✘</p>



² This form must be emailed to us by the client. If you're forwarding us an email your client has sent to you, that includes the forms and declaration, we must be able to clearly see their original email.

Administration

Client administration		
Transaction type	Form	Online process
 Letter of authority – a letter signed by your client either granting you authority for to access information about their products or to appoint a new intermediary	N/A – letter signed by your client on your company letter headed paper	X
Nominate beneficiaries² - to tell us who your client would like to benefit from their funds on their death for all uncrystallised pensions savings and drawdown funds held now, and in the future, under ARC SIPP or One Retirement plan. This form also generates part of the new business application online process	Death benefit/ expression of wish nomination	X
Entity self-certification – confirm details of an entity for tax purposes	Entity self-certification declaration	X
Charges		
Transaction type	Form	Online process
Discretionary fund manager fee - to set up a discretionary fund management fee	DFM fee agreement	X
Intermediary administration		
Transaction type	Form	Online process
Set up a new firm - instruction for us to set up a new intermediary firm	Adviser application form	X

² This form must be emailed to us by the client. If you're forwarding us an email your client has sent to you, that includes the forms and declaration, we must be able to clearly see their original email.

Administration

Changes to existing investments		
Transaction type	Form	Online process
Change regulars – increase or decrease regular withdrawals or change client’s bank details	Change of product details	X
Switches		
Transaction type	Form	Online process
 Recurring switch into cash – set up a regular switch from funds into the cash facility. We’ll need one form for each product	Recurring switch to cash	X
 Recurring switch from cash - set up a regular switch from the cash facility into a product. We’ll need one form for each product	Recurring switch from cash	X
Switch out of a Secure Retirement Income (SRI) account – switch funds from a SRI account to elsewhere	Secure retirement income switch out instruction	X