

Aegon Authorisation Code

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This form is to be used for Self-directed Explicit Pricing clients only.

Please complete this application form using black ink in BLOCK CAPITALS and return to: Chelsea Financial Services, St James Hall, Moore Park Road, London SW6 2JS

1 Personal/Company Details (Please complete this section in full)

Personal/Company Investor(s) primary holder. Please see Section 3 to add additional holders.

Existing Aegon Client Reference

I have not received advice from a financial adviser in relation to this investment.

Mr/Mrs/Ms/Miss/Other

Surname

Full first name(s)

or company name

Telephone

Email

Male Female Date of Birth / /

National Insurance Number / / / /

For corporate investors please ensure you have completed all the signatory requirements in Section 9.

Please read the following sentence and confirm by ticking the box if applicable. I confirm that I am solely UK resident for tax purposes and not a US citizen
If you can't confirm and tick the box, please complete the Individual FATCA Self-Certification form that can be issued to you by Chelsea.

Current permanent residential address (if registering in the name of a company, please provide the company address here)

Postcode

Time at this address yrs mths

If at current address for less than two years, please supply previous address and time there

Postcode

Time at this address yrs mths

If more than one previous address in the last two years, please provide full details including the time at each address on a separate sheet of paper and staple securely to this application form.

1A. THIRD PARTY DETAILS (PLEASE COMPLETE IF RELEVANT)

Please complete this section if the person funding all or part of this investment is not the applicant listed in Section 1. A Confirmation of Verification of Identity (CVI) will also be required.

Mr/Mrs/Ms/Miss/Other

Surname

Full first name(s)

Date of Birth / /

Current permanent residential address

Postcode

2 Designations (You can designate an account here using a maximum of eight alphanumeric characters)

If you wish to specify a unique designation for this account, please ensure that the designation reference does not make a meaningful word. Only the named applicants of this investment will be recognised as beneficial owners. If this section is not completed we will not designate this account. If you are funding this investment from a Cash Account please ensure this designation is identical to that of the Cash Account.

3 Joint Holders

Please include the full name and address of each holder. All correspondence will be sent to the primary holder. Joint holders must have the same investment service as the primary holder.

Second named holder

Mr/Mrs/Ms/Miss/Other
Surname
Full first name(s)
Current permanent residential address
Postcode
Time at this address <input type="text"/> <input type="text"/> yrs <input type="text"/> <input type="text"/> mths

Male Female Date of Birth / /

If at current address for less than two years, please supply previous address and time there

Postcode
Time at this address <input type="text"/> <input type="text"/> yrs <input type="text"/> <input type="text"/> mths

If more than one previous address in the last two years, please provide full details including the time at each address on a separate sheet of paper and staple securely to this application form.

Third named holder

Mr/Mrs/Ms/Miss/Other
Surname
Full first name(s)
Current permanent residential address
Postcode
Time at this address <input type="text"/> <input type="text"/> yrs <input type="text"/> <input type="text"/> mths

Male Female Date of Birth / /

If at current address for less than two years, please supply previous address and time there

Postcode
Time at this address <input type="text"/> <input type="text"/> yrs <input type="text"/> <input type="text"/> mths

If more than one previous address in the last two years, please provide full details including the time at each address on a separate sheet of paper and staple securely to this application form.

4 Funding your investment

I will be funding my investment by (tick all that apply)

<input type="checkbox"/>	Cheque	£ <input type="text"/> . <input type="text"/>	Amount
<input type="checkbox"/>	Cash Account	£ <input type="text"/> . <input type="text"/>	Amount

Monthly Direct Debit (please ensure you complete the Investment by Direct Debit instruction on back page.)

5 Nominated Bank Account

Complete this section if you have not provided us with your nominated bank account details. Please note: you will need to verify this bank account before it can be used in conjunction with your account. If you are paying by cheque then no action is required. For all other funding options you can send a void signed cheque or a bank statement issued within the last three months with this application. If you are an existing customer, only complete this section if you would like to change your nominated bank account details. Any change to your nominated bank account will not be applied to your regular monthly investments. You can only have one nominated bank account at any given time.

Name of account holder
Bank or Building Society name and address
Postcode

Branch Sort Code - -

Bank/Building Society account number

Building Society Roll Number

6 Income

Complete this section if you have requested income units/shares ('INC'). The option you choose will be applied to all income units/shares you hold within this product.

Note: If you are taking regular withdrawals from your cash account you may only select the 'Cash Account' or 'Retain in fund' options.

If you have selected the option to 'Retain in fund' this will only be applied to the commission-free share classes you hold, any commission-included share classes you hold will continue to pay income in accordance with your previous instruction.

Consolidated monthly income
Income generated from your investment funds will be consolidated into your cash account and paid to your nominated bank account on a monthly basis.

Cash Account
Income generated will be paid into your cash account to be held on platform for withdrawals, future investment or charges.

Retain in fund
Income generated from this investment will be retained in the fund.

If you do not already hold income units/shares within this product and you do not tick one of these boxes we will select the 'Retain in fund' option by default. If you already hold income units/shares within this product and you do not tick one of these boxes we will apply your existing income option to all funds within this product.

7 Investment Selection

Minimum investment £50 per fund (lump sum) or £50 per month per fund (monthly savings). For further details about the available funds, please refer to the Key Investor Information Documents (KIID) and/or Fund Key Features Document.

Please ensure the funds are available through Aegon. You can only choose commission-free share class funds. If you do not indicate the share class, we'll select the commission-free share class fund, where available.

Please note: if your intermediary has agreed exclusive share classes with a fund manager for your selected funds, we'll always invest in that exclusive share class and not the share class you've selected below.

Fund name	Type of unit/share (delete as appropriate)*	Lump sum (£10 minimum)	New monthly saving (£10 minimum)**
VT Chelsea Managed Cautious Growth	ACC/INC	£	£
VT Chelsea Managed Balanced Growth	ACC	£	£
VT Chelsea Managed Aggressive Growth	ACC	£	£
VT Chelsea Managed Monthly Income (please complete section 6)	ACC/INC	£	£
	ACC/INC	£	£
	ACC/INC	£	£
TOTAL INVESTMENT AMOUNT		£	£

*ACC/INC

If you do not specify ACC or INC in this column, and have not completed Section 6, Aegon will invest into accumulation units/shares where available.

Cheque payment

Cheques must either be drawn on your own account, joint account or the account of the person detailed in

Section 1A (third party details). The cheque must be made payable to **Aegon**. For a Building Society cheque or banker's draft your name must appear on the front of the cheque, or on the back of the cheque accompanied by the Building Society's or Bank's official stamp and signature. For other methods of funding your investment please see Section 4.

**New monthly saving

If there is an existing monthly saving in place, please indicate whether this application is in addition to or replaces the existing instruction. Please ensure you attach a completed **Investment by Direct Debit** with this application (see back page).

8 Service Charge (To be completed by the intermediary)

Service Charge model name: STANDARD SEGMENT

Annual Service Charge*: 0.40%

*This is an annual charge taken on a monthly basis.

9 Declaration and Authorisation

I have been made aware of the terms of these declarations and agree to them.

General Declaration

I confirm that I have had the opportunity to read the Aegon Platform terms & conditions carefully, along with the key features document, my personal illustration, the pre-sale disclosure on costs and charges, key investor information document(s) and the declarations in this application, before completing this application process.

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

I accept that Aegon has not and will not assess my suitability for making a further payment to my Aegon ISA or my Aegon GIA, as applicable, or any investment decisions I make. This means that I will not benefit from the protection of the Financial Conduct Authority's rules on assessing suitability in relation to Aegon.

I declare that:

I apply to make a further payment to my Aegon ISA or my Aegon GIA as applicable.

I am 18 years of age or over.

I agree to the Aegon ISA or Aegon GIA terms and conditions, as applicable.

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

I confirm that I have not received face to face advice from Chelsea in connection with this application and I have received and had the opportunity to read the key features document, illustration, key investor information document(s) and terms and conditions that are relevant to this application.

Where regulations allow, I nominate Chelsea to receive correspondence in relation to my investments on my behalf. This instruction will remain in force unless Chelsea has informed Aegon that they wish for this correspondence to be sent to me directly, or I no longer have an appointed intermediary to whom Aegon can send these.

The further payment into my Aegon ISA or Aegon GIA, as applicable, will be placed in the cash facility. Thereafter, investments will be purchased in accordance with the investment instructions given by me or Chelsea.

I declare that in respect of the Aegon ISA:

I am applying to subscribe for a stocks and shares ISA for the tax year 2018/2019 and each successive year until further notice.

All subscriptions made, and to be made, to the Aegon ISA belong to me.

Except where allowed by legislation, I have not subscribed/made payments, and will not subscribe/make a payment more than the overall subscription limit in total to any combination of permitted ISA types in the same tax year.

Except where allowed by legislation, I have not subscribed, and will not subscribe, to another stocks and shares ISA in the same tax year that I subscribe to this stocks and shares ISA.

I am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties, which by virtue of Section 28 of Income Tax (Earnings and Pensions) Act 2003 (Crown employees serving overseas), am treated as being performed in the United Kingdom, or are married to, or in civil partnership with, a person who performs such duties. I will inform Aegon if I cease to be so resident or to perform such duties or be married to, or in civil partnership with, a person who performs such duties.

I declare that in respect of the Aegon GIA:

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 am reportable to HM Revenue & Customs (HMRC) as undocumented.

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

I authorise Aegon to:

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

Make on my behalf any claims to relief from tax in respect of any of my ISA investments.

Arrange any transfer of an existing ISA or GIA held with a different provider to my Aegon ISA, or Aegon GIA (as applicable), as and when I request that Aegon do so.

Obtain details from my existing ISA Manager(s) or existing GIA provider(s) (as applicable) and authorise the giving of any such details to Aegon.

Accept investment and disinvestment instructions from Chelsea and to accept instructions from Chelsea with regard to all aspects of the running of the Aegon ISA or Aegon GIA, as applicable.

Make any payments specified by me to Chelsea on my behalf from the Aegon ISA or Aegon GIA, as applicable. I agree that these payments reflect the terms of the agreement I have entered into with Chelsea. The contract note will confirm the actual amount of the payment to be deducted and paid to Chelsea. If I disagree with the payment then I must advise Chelsea of this.

Primary holder signature X	Date
Capacity (if applicable)	
Second holder signature	Date
Capacity (if applicable)	
Third holder signature	Date
Capacity (if applicable)	

If you are completing this as a company you must include a copy of the Articles of Association.



Instruction to your Bank or Building Society to pay Direct Debits



Name and full postal address of your Bank or Building Society

To the Manager	Bank or Building Society
Address	
Postcode	

Name(s) of Account Holder(s)

Bank/Building Society Account Number

Branch Sort Code

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Banks and Building Societies may not accept Direct Debit instructions from some types of account.

Service User No.

Reference Number

Instruction to your Bank or Building Society

Please pay Aegon Cofunds Direct Debits from the account detailed in this instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this instruction may remain with Aegon Investment Solutions Ltd and, if so, details will be passed on electronically to my Bank/Building Society.

Signature

Date

This Guarantee should be detached and retained by the payer.

The Direct Debit Guarantee



- This Guarantee is offered by all Banks and Building Societies that accept instructions to pay Direct Debits
- If there are any changes to the amount, date or frequency of your Direct Debit Aegon Cofunds will notify you five working days in advance of your account being debited or as otherwise agreed. If you request Aegon Cofunds to collect a payment, confirmation of the amount and date will be given to you at the time of the request
- If an error is made in the payment of your Direct Debit, by Aegon Cofunds or your Bank or Building Society, you are entitled to a full and immediate refund of the amount paid from your Bank or Building Society
 - If you receive a refund you are not entitled to, you must pay it back when Aegon Cofunds asks you to
- You can cancel a Direct Debit at any time by simply contacting your Bank or Building Society. Written confirmation may be required. Please also notify us.

Aegon is a brand name of both Scottish Equitable plc (No. SC144517) registered in Scotland, registered office: Edinburgh Park, Edinburgh EH12 9SE, and Cofunds Limited, Registered in England and Wales No.3965289, registered office: Level 43, The Leadenhall Building, 122 Leadenhall Street, London, EC3V 4AB. Both are Aegon companies. Scottish Equitable plc is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Cofunds Limited is authorised and regulated by the Financial Conduct Authority. Their Financial Services Register numbers are 165548 and 194734 respectively. © 2018 Aegon UK plc.

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