AEGON | Scottish Equitable

Investment Control

Application form

For financial adviser use only

Financial adviser case number

Did you give this applicant advice when choosing to set up this bond?

☐ Yes ☐ No

1. Application details

Please enter the number shown at the top of your personal illustration.

2. Life/Lives assured details

Please note that when the protected investment option has been selected at least one life assured must be aged 75 or less. If it has not been selected at least one life assured must be aged 85 or less.

First life

Title

(Mr/Mrs/Miss/Ms/Other)

Full forename(s)

Surname

Address (if also an owner of the bond)

Postcode

Date of birth (dd/mm/yyyy)

Are they:

☐ male? ☐ female?

Second life

Title

(Mr/Mrs/Miss/Ms/Other)

Full forename(s)

Surname

Address (if also an owner of the bond)

Postcode

Date of birth (dd/mm/yyyy)

Are they:

☐ male? ☐ female?

2. Life/Lives assured details – *continued*

Third life

Title

(Mr/Mrs/Miss/Ms/Other)

Full forename(s)

Surname

Address (if also an owner of the bond)

Postcode

Date of birth (dd/mm/yyyy)

Are they:

☐ male? ☐ female?

Fourth life

Title

(Mr/Mrs/Miss/Ms/Other)

Full forename(s)

Surname

Address (if also an owner of the bond)

Postcode

Date of birth (dd/mm/yyyy)

Are they:

☐ male? ☐ female?

3. Applicant details

You should complete this section in all cases.

If you don't, we'll assume that all the lives assured named in section 2 are owners of the bond. Your financial adviser will give you more information on the importance of ownership.

If more than one individual who isn't already named is to own the bond, please give their details on a separate sheet and attach it to this application.

The bond is to be owned by *(please tick one box only):*

☐ the first life assured

☐ the first and second lives assured

☐ the trustees of an existing trust – *please complete section 4*

☐ the second life assured

☐ all of the lives assured

☐ someone else – *please give the following details:*

Title

(Mr/Mrs/Miss/Ms/Other)

Full forename(s)

Surname

Relationship to life/lives assured

Address

Postcode

4. Existing trust (if applicable)

You must give the names of all of the trustees and complete the declaration at the end of this form.

If there are more than four trustees, please give full details on a separate sheet and attach it to this form.

We'll send all correspondence to the principal trustee.

Name of trust

Date of trust (dd/mm/yyyy)

Principal trustee

Title

(Mr/Mrs/Miss/Ms/Other)

Full forename(s)

Surname

Address

Postcode

Second trustee

Title

(Mr/Mrs/Miss/Ms/Other)

Full forename(s)

Surname

Address

Postcode

Third trustee

Title

(Mr/Mrs/Miss/Ms/Other)

Full forename(s)

Surname

Address

Postcode

Fourth trustee

Title

(Mr/Mrs/Miss/Ms/Other)

Full forename(s)

Surname

Address

Postcode

5. Investment details

Amount to be invested

£

The minimum you can invest is £5,000.

Number of policies required

For flexibility, we'll automatically set up 10 policies unless you advise us otherwise.

6. Investment choice and protected investment option

6.1 Do you want to include our protected investment option?

☐ No – *please go to 6.2.*

☐ Yes – *If yes, your fund choice is restricted to our Core and Multi-manager ranges. Please enter the percentage(s) you want to invest in the following table.*

The minimum you can invest in each fund is £250.

Name of fund	%
70/30 Core portfolio	
60/40 Core portfolio	
50/50 Core portfolio	
40/60 Core portfolio	
70/30 Multi-manager portfolio	
60/40 Multi-manager portfolio	
50/50 Multi-manager portfolio	
40/60 Multi-manager portfolio	
Cash	
Total	100%

6.2 Please make sure you enter the exact fund name(s), especially if you choose the With-Profits Growth fund or the With-Profits Cautious fund, or the Distribution fund or Select Distribution fund. Please don't complete this table if you've ticked in section 6.1 that you want to include our protected investment option.

Please enter the percentage(s) you want to invest in the following table.

The minimum you can invest in each fund is £250.

Name of fund	%	Name of fund	%
		Total	100%

7. Regular withdrawals (if required)

It's important you understand the taxation rules governing any withdrawals. Your financial adviser will give you more details.

Please complete **a**, **b**, **c** or **d** below to indicate how much you want to withdraw. You should only select one of these options.

Please note, where you have selected our protected investment option the maximum withdrawal allowed across all segments is 7.5% a year.

a [%] a year of the original total investment

b [£] fixed amount for each regular withdrawal
The minimum regular withdrawal is £40 a month and £100 for other frequencies.

c [%] a year of the value of the investment at withdrawal date

d *Distribution fund and Select Distribution fund only*

☐ Full distribution amount

Where you hold units in more than one fund, please complete the following.

Withdrawals should be made by:

☐ cancelling units proportionally across all funds

☐ cancelling units from one specific fund as set out below

Name of fund

Date of first withdrawal (dd/mm/yyyy):
Date must be between the 1st and the 28th of the month

And after that every *(please tick one box only):*

☐ month ☐ quarter ☐ six months ☐ year

The withdrawal date is the date on which we'll cancel your units. We'll make a payment into the account within five working days after that date.

Withdrawals can't start within four weeks of us receiving this application.

If you select 'Full distribution amount', please note that the date of withdrawal can't be before the next available 'yield'. We apply the 'yields' on 18 May and 18 November each year.

Bank/Building society name

Address

Postcode

Sort code

☐☐ – ☐☐ – ☐☐

Account number

Name of account holder

Building society roll number/reference

8. Source of wealth

At AEGON Scottish Equitable, by law we have to check where the money you're investing comes from.

We need you to give us the following information.

Please give us full details of how you've acquired the money you're investing

If you need more space, you can continue on a separate sheet of paper and attach it to this form.

In some cases, we may need to see documentation as proof of this. Your financial adviser will be able to tell you whether this affects you.

Do you currently have any applications with other life offices?

☐ No

☐ Yes – *please give details, including company names and investment amounts.*

9. Source of funds

Please give us details of the bank account that your contribution to this Investment Control bond will come from.

We have to make sure that we fulfil our anti-money laundering requirements for the named holder of the bank account that the contribution comes from.

Name of bank

Branch

Account name(s)

Account number

Sort code

☐☐–☐☐–☐☐

10. Declaration

In this declaration 'I/we' means the applicant(s) and 'you' means AEGON Scottish Equitable.

I/We apply for Investment Control policies on your standard terms.

I am/We are aware that I am/we are applying for policies of long term insurance, and I/we do not know of any reason why any policies set up as a result of this application are likely to have a duration of less than 12 months.

I/We confirm that, if I/we have not received face to face investment advice from a financial adviser in connection with this application, I/we have received and had the opportunity to read the Investment Control policy conditions that are relevant to this application.

I/We declare that the answers to the questions on this form are true to the best of my/our knowledge and belief and I/we agree that they will form the basis of the contract.

I/We have read over any answers not filled in by me/us in my/our own writing and confirm that they are correct.

I am/We are aged 18 years or over.

Consent to processing of data

Scottish Equitable plc (now trading as AEGON Scottish Equitable) is the data controller of any personal data that I/we give on this form. You will only hold this information for use in connection with the contract (and related services) which I/we have applied for. This includes administration, claims management and dealing with complaints.

The information you hold on me/us may also include 'sensitive data'. AEGON Scottish Equitable's confidentiality policy means that all personal data is held securely and it is only seen by those who need to see it.

You may share my/our information with:

- certain bodies when you legally have to, for example regulatory bodies or authorities such as the Financial Services Authority or H.M. Revenue & Customs, and in order to comply with money laundering laws and for other purposes, for example detecting crime
- people acting on my/our behalf (for example my financial adviser) so that they can fully carry out their role as my/our agent – you can only share permitted relevant information with them
- other companies in the AEGON UK plc group, who may let me/us know about their new products or services

The AEGON UK plc group means AEGON UK plc and its subsidiary companies (including Scottish Equitable plc, which uses the trading names AEGON Scottish Equitable, AEGON Trustee Solutions and AEGON Actuarial Services). I/We understand that if I/we do not wish to receive such information, I/we should tick this box. ☐

More information can be found in the leaflet 'Protecting your personal information'.

I/we consent to the processing of data as explained above (and, where appropriate, for other people named in this form).

Date (dd/mm/yyyy)

Signature of first applicant/trustee

✗	✗

Signature of second applicant/trustee (if applicable)

✗	✗

Signature of third applicant/trustee (if applicable)

✗	✗

Signature of fourth applicant/trustee (if applicable)

✗	✗

AEGON Scottish Equitable will, on request, supply a copy of the standard Investment Control policy conditions and of the completed application form.

Application form notes

Important information for financial advisers

Money laundering

Confirmation of verification of identity certificates
In order to comply with the Money Laundering Regulations 2007 ("the Regulations") and the Prevention of Money Laundering/Combating the Financing of Terrorism Guidance Notes for the Financial Sector, you're required to complete a separate confirmation of verification of identity certificate for each applicant and, if different, for the person(s) paying the contribution. We won't be able to complete the processing of this application until we've received fully completed and signed confirmation of verification of identity certificates.

Beneficial Owners
Where the applicant is other than a private individual (e.g. a company, partnership or trust), then we require to identify the "beneficial owner(s)", as defined in regulation 6 of the Regulations, of the policies. You're required to complete a separate confirmation of verification of identity certificate for each beneficial owner.

Attorneys/Guardians
If the application is being made on behalf of a person who can't make the application themselves because of incapacity, we need a separate confirmation of verification of identity certificate for both the attorney/guardian and also for the person on whose behalf the attorney/guardian is acting and if different, for the person making the contribution.

Politically Exposed Persons
We are required by the Regulations to carry out enhanced customer due diligence for customers who are "politically exposed persons" in order to establish the source of wealth and the source of funds that are being used to pay the contribution. If you are aware that the person who is paying the contribution is a "politically exposed person" please contact us and we will confirm what additional information we require from you.

AEGON | Scottish Equitable

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