

Aegon Intermediary  
Authorisation Code

7 7

This application form is to be used to transfer assets/money from an existing Child Trust Fund (CTF) to a Aegon Junior Investment ISA. On receipt of any assets re-registered from your previous provider it will be Aegon normal business practice (and by signing this application, you agree to such practice) to convert to the commission-free share class equivalent available to your intermediary. If a commission-free share class is not available, we will be unable to transfer the assets to Aegon.

**The Junior Investment ISA allowance is £4,368 for 2019/2020 tax year and £9,000 for 2020/2021 tax year.**

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

### 1 Child Details (Please complete this section in full)

Existing Client Reference

Mr/Mrs/Miss/Other

Surname

Full first name(s)

Current permanent residential address   
  
  
Postcode

Male  Female  Date of Birth   /   /

### 2 Applicant Details – Registered Contact\* (Please complete this section in full)

Existing Client Reference

Mr/Mrs/Ms/Miss/Other

Surname

Full first name(s)

Telephone number

Email

Current permanent residential address   
  
  
Postcode

*\*The registered contact is a person with parental responsibility, or the child aged 16-18, if they so wish. These details must match those held by the CTF provider.*

### 3 Income

**Retain in fund** - Income generated from this investment will be retained in the fund. We don't pay income from a Junior ISA

### 4 Declaration and Authorisation

#### I declare that:

The child named above will be the beneficial owner of the account investments. I am aged 16 years or over.

I am the child/I have parental responsibility for that child.

I/the child will not have a Child Trust Fund account once it's transferred to Aegon. I will be the Registered Contact for the Junior Investment ISA.

The child named above will be the beneficial owner of the accounts investments.

The child is resident in the UK, or is a UK Crown servant, a dependant of a UK Crown servant or is married to/in a civil partnership with a UK Crown servant.

I have not subscribed and will not subscribe to another stocks and shares Junior ISA for this child.

I am not aware that this child has another stocks and shares Junior ISA.

I am not aware of other Junior ISA subscriptions that will result in this child exceeding the annual limit.

I will not knowingly make subscriptions to Junior ISAs for this child that will result in the subscription limit being exceeded.

The information contained in this application form is correct to the best of my knowledge and belief.

I authorise Aegon to:

Hold the child's subscriptions, Junior Investment ISA, interest, dividends and any other rights or proceeds in respect of those investments and cash, and;

Make on behalf of the child any claims to relief from tax in respect of Junior Investment ISA.

#### I confirm that:

I have viewed the Terms and Conditions of the Aegon Junior Investment ISA and by signing this application form I agree to be bound by them.

I have viewed the relevant product Key Features and Fund specific information and/or Key Investor Information Documents (KIID) relating to my investment.

A copy of the KIID can be found via the following link (if you have difficulty locating your fund, please contact your intermediary): [https://www.Aegon.co.uk/Investors/Reports\\_and\\_Accounts\\_Investors.aspx](https://www.Aegon.co.uk/Investors/Reports_and_Accounts_Investors.aspx)

I understand that it's Aegon normal business practice to process my conversion following receipt of my assets from my previous Fund/Plan Manager. The instruction to convert is then passed to the Fund/Plan Manager who will convert and confirm back to Aegon upon completion. Aegon upon receipt of confirmation will then reflect the change(s) to my accounts. This process is subject to change dependant on volumes and individual Fund/Plan Manager processing procedures. I authorise Aegon to convert on my behalf as outlined above.

I understand that Aegon will convert commission-included share class funds to their commission-free share class equivalent where available to my intermediary.

I understand that Aegon will convert commission-free share class funds to commission-free exclusive share class funds where available to my intermediary.

I understand that the Terms and Conditions of the Aegon Junior Investment ISA are the standard terms upon which Aegon intends to rely, and it is important that I read and understand the terms before agreeing to be bound by them. If there is any term or point I do not understand or do not wish to be bound by, I understand that I can request further information before signing this application.

I understand that my signed application form (once accepted by Aegon) together with the Terms and Conditions of the Aegon Junior Investment ISA form my customer agreement with Aegon Limited.

I understand and accept that I am entitled to cancel my application in accordance with the Key Features of the Aegon Junior Investment ISA and that if I choose to cancel my application, my investment shall be subject to market movement during the period from the date when my application is processed to the date my investment is sold.

#### Data Protection

Aegon Limited is a registered Data Controller and a fully owned subsidiary of Aegon UK plc. Aegon Limited will use your information for the administration and servicing of your investments and all other related activities. We may disclose your information to other companies within the Aegon group of companies, future owners of our business, and suppliers we engage to process data on our behalf for these purposes. We may also disclose your information to organisations for compliance with legal and regulatory requirements.

With the exception of the above provisions, we will not pass on your details to any other third party without your permission.

Aegon may transfer your information to countries outside of the EEA for the administration and servicing of your investments. In such cases, contracts will be put in place to ensure that the service providers protect your information in accordance with the requirements of the Data Protection Act or any legislation that may be enacted to replace that Act.

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

If you wish to attend/vote at unit holder or shareholder meetings, please tick this box if you wish to receive reports and accounts, you can download them free of charge at: [https://www.Aegon.co.uk/Investors/Reports\\_and\\_Accounts\\_Investors.aspx](https://www.Aegon.co.uk/Investors/Reports_and_Accounts_Investors.aspx)

If you wish to receive paper copies of reports and accounts please speak to your intermediary.

You can also request to receive paper copies of reports and accounts by writing to us at Aegon Limited, PO Box 1103, Chelmsford, CM99 2XY.

Signature  Date

**Please note: this form will be returned if it's not signed and dated.**

# Child Trust Fund to Junior Investment ISA Transfer Authority

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

This transfer authority should only be used to transfer a Child Trust Fund (CTF) into a Aegon Junior Investment ISA.

Existing Client Reference

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I hereby instruct my current Child Trust Fund provider to either transfer my holdings to Aegon Nominees Limited or liquidate the assets within my Child Trust Fund with immediate effect, and forward the proceeds as specified below to my new Plan/Account Manager at Aegon Limited, PO Box 1103, Chelmsford CM99 2XY. I confirm that the re-registration of the funds listed will not change the beneficial ownership from the current holder. I confirm that this transaction is exempt from SDRT by virtue of paragraph 6 of Schedule 19 of the Finance Act 1999.

## Please complete all details requested

Name of existing Child Trust Fund provider
Address
Postcode

### Type of Child Trust Fund with current provider to be transferred:

- Cash
- Stocks and Shares
- Stakeholder CTF

CTF Unique Reference Number \_\_\_\_/\_\_\_\_/\_\_\_\_/\_\_\_\_/\_\_\_\_

## 1 Child Details (Please complete this section in full)

Existing Client Reference

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I apply to open a Junior Investment ISA for

Mr/Mrs/Miss/Other
Surname
Full first name(s)

Male  Female  Date of Birth 

__	__	/	__	__	/	__	__	__	__
D	D		M	M		Y	Y	Y	Y

Current permanent residential address
Postcode

National Insurance Number \_\_\_\_/\_\_\_\_/\_\_\_\_/\_\_\_\_/\_\_\_\_  
(if held)

If the child does not have a National Insurance Number, please tick here

## 2 Applicant Details – Registered Contact\* (Please complete this section in full)

Existing Client Reference

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Mr/Mrs/Ms/Miss/Other
Surname
Full first name(s)
Telephone number

Email
Current permanent residential address
Postcode

\*The registered contact is a person with parental responsibility, or the child aged 16-18, if they so wish. These details must match those held by the CTF provider.

Signature 	Date
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## 2A TRANSFERRING A STAKEHOLDER CTF (Only complete if relevant)

The following stakeholder CTF features will **NOT** be included in a Junior ISA:

- Lifestyling from age 15
- Minimum subscriptions of £10 allowed
- Annual charge cap of 1.5%

I confirm that I understand the above and wish to proceed.

### 3 Funds that you wish to KEEP via re-registration (Stock transfer)

Please list full names of the funds that you hold with the Child Trust Fund provider, that you wish to keep when you transfer your investment to Aegon.  
Please ensure the funds you choose are available on Aegon. All funds held in the CTF must be transferred to a Aegon Junior Investment ISA at the same time.

Fund Name(s) and share class	CTF A/C or Plan Nos. (This must be completed)	Type of Unit/Share (delete as appropriate)*
		ACC/INC
		ACC/INC
		ACC/INC
		ACC/INC
		ACC/INC

\*If you do not specify ACC or INC in this column, Aegon will not be able to process your application.

### 4 Funds that you wish to SELL (cash transfer) Please also complete section 6

Please list full names of the funds you'd like to sell and transfer the proceeds to Aegon.

Fund Name(s) and share class	CTF A/C or plan nos. (This must be completed)

### 5 Declaration and Authorisation

**I declare that:**

I am the Registered Contact for the Child Trust Fund.

I am the child /I have parental responsibility for that child.

**I authorise my existing Child Trust Fund provider (as specified above) to:** Transfer the Child Trust Fund which the Unique Reference Number listed refers to, to Aegon.

Provide Aegon with any information, written or non-written, concerning the Child Trust Fund and to accept any instruction from them relating to the Child Trust Fund being transferred.

**I authorise Aegon to:**

Hold the child's subscriptions, Junior Investment ISA, interest, dividends and any other rights or proceeds in respect of those investments and cash, and;

Make on behalf of the child any claims to relief from tax in respect of Junior Investment ISA.

**I understand:**

Where I must give notice to close or transfer part of the existing Child Trust Fund, or the existing Child Trust Fund contains an investment which is designed and intended to be held for full terms and has yet to reach redemption, I instruct my existing Child Trust Fund provider to either (please tick one box):

Wait for the full notice to end, or wait until redemption (whichever is relevant) before going ahead with this transfer.

Carry out the transfer as soon as possible, depending on the terms and conditions. I accept any consequential loss of income, capital or charges that may be applied.

Applicant's Signature <b>X</b>	Date
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(Registered Contact)

### 6 Transfer Investment Choices - Junior ISA

I wish to transfer the proceeds of any investments sold, in accordance with the Transfer Authority into the following investments, within a Aegon Junior Investment ISA.

Fund Name(s)	Type of Unit/Share (delete as appropriate)	Transfer %
<b>VT Chelsea Managed Cautious Growth</b>	ACC/INC	
<b>VT Chelsea Managed Balanced Growth</b>	ACC	
<b>VT Chelsea Managed Aggressive Growth</b>	ACC	
<b>VT Chelsea Managed Monthly Income</b>	ACC/INC	
	ACC/INC	

\* **ACC/INC** – If you do not specify ACC or INC in this column, and/or have not completed Section 3 of the Transfer Application form, Aegon will invest into accumulation units/shares where available.

