

## Important information

Aegon Asset Management Limited (AAMUK) does not give advice and accordingly no representation as to the suitability of this product is being made. As an appointed representative of Scottish Equitable plc (SE), AAMUK acts solely on behalf of SE in the distribution of this product. AAMUK is present in the financial services register under firm reference number 515464 and SE under 165548. AAMUK is a wholly owned subsidiary of Aegon Asset Management UK plc which is in turn a wholly owned subsidiary of Aegon N.V., one of the world's leading financial services providers which is listed on the New York and Amsterdam stock exchanges and is headquartered in the Netherlands. Scottish Equitable plc is an Aegon N.V. group affiliate of AAMUK and is also a wholly owned subsidiary of Aegon N.V. Both AAMUK and SE maintain conflicts of interest control frameworks and policies which are available here [www.aegonam.com/disclosures](http://www.aegonam.com/disclosures) and here <https://www.aegon.co.uk/content/dam/ukpaw/documents/conflicts-of-interest-policy.pdf>.

## Demands and needs

This product is designed to meet the demands and needs of UK Occupational Pension Scheme Trustees seeking access to professional investment management capabilities across a variety of asset classes without any capital or return guarantees. Each individual pooled fund has its own risks and potential benefits and Trustees are required to make their own determination of suitability. Generally, investment in this product is subject to acceptance of a variety of risks including but not limited to loss of capital. The volatility of some funds may be higher than others and likewise, credit risk and liquidity may vary considerably. The funds should be viewed as a long term investment and are suitable for investment by professional clients only as defined in COBS 3.5 (or any successor provision) and, in any and all cases, clients to whom the obligation under Article 13 of Regulation (EU) No 1286/2014 (or any equivalent successor provision, post exit of the United Kingdom from the European Union) does not apply.

Due to the nature of this product, it is expected that Trustees are professionally advised and have undertaken appropriate due diligence to satisfy themselves that the pooled funds are an appropriate investment on behalf of the scheme members. Consequently, Aegon Asset Management Limited proceeds on the basis that Trustees, being professionally advised, have sufficient knowledge and experience to understand the risks of investing in this product.

Please tick here to confirm acceptance of the above statement ☐

## Complaints

We aim to provide the highest standards of service and hope that you have no cause to complain. However, if you do then you may direct any complaint towards the contacts named at the end of this form.

Where you qualify as an eligible complainant then you may refer the complaint to the Financial Ombudsman Service (FOS) if you complain to AAMUK and we are unable to resolve your complaint by the end of 8 weeks from the date when we receive the complaint or otherwise resolve it to your satisfaction.

## Remuneration and fees

The fees you pay are for the administration of the product and the management of the assets in the pooled funds. Fees are paid to SE and, in turn, SE will pay AAMUK for its services as appointed representative. Please see [www.aegonam.com/disclosures](http://www.aegonam.com/disclosures) for relevant disclosures. Neither SE nor AAMUK pay commission or rebates or any other type of fee to other distributors or service providers in relation to this product.



## 4. Initial investment

### Cash Transfer

Is the first investment to be made on a specific date?

☐ Yes ☐ No

If you have answered 'Yes' please enter the date.

     

If you have answered 'No' the investment will be made on the date of receipt. Please proceed to section 5.

Please note: Contributions can only be invested on a business day. If the date you have given (or where no date is given, the date of receipt) is not a business day, the contribution will be invested on the next business day.

### Stock Transfer

Please consult with your Aegon Asset Management Limited account manager.

If the investment is being paid by cheque, this must be received at Aegon Asset Management Limited on or before the date you request.

If the investment is being made by telegraphic transfer then the money must be paid to our bank before 12 noon on the requested date.

Funds received after 12 noon will be applied the following business day.

If the cash is not received on the specified date it will be invested on the date of receipt.

A 'business day' is a day when the London Stock Exchange is open.

## 5. Authorised signatures

**Name** (please print)

**Signature**

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## 5. Authorised signatures (continued)

**Name** (please print)

**Signature**

.....	.....
.....	.....
.....	.....
.....	.....

## 6. Contact details

**Client primary contact**

**Title (Mr/Mrs/Miss/Ms/Other)**

.....

**Name**

.....

**Position**

.....

**Company**

.....

**Address**

.....

.....

**Postcode**

.....

**Phone number**

.....

**Fax**

.....

**Email**

.....

**Monthly statement** ☐ Yes  
☐ No

**Quarterly report** ☐ Yes  
☐ No

**Preferred delivery** ☐ Email  
☐ Post

**Number of copies** .....

## 6. Contact details (continued)

### Consultant primary contact

Title (Mr/Mrs/Miss/Ms/Other) .....

Name .....

Position .....

Company .....

Address .....

Postcode .....

Phone number .....

Fax .....

Email .....

Monthly statement ☐ Yes  
☐ No

Quarterly report ☐ Yes  
☐ No

Preferred delivery ☐ Email  
☐ Post

Number of copies .....

### Additional contact

Title (Mr/Mrs/Miss/Ms/Other) .....

Name .....

Position .....

Company .....

Address .....

Postcode .....

Phone number .....

Fax .....

Email .....

Monthly statement ☐ Yes  
☐ No

Quarterly report ☐ Yes  
☐ No

Preferred delivery ☐ Email  
☐ Post

Number of copies .....

## 6. Contact details (continued)

### Additional contact

Title (Mr/Mrs/Miss/Ms/Other) .....

Name .....

Position .....

Company .....

Address .....

Postcode .....

Phone number .....

Fax .....

Email .....

Monthly statement ☐ Yes  
☐ No

Quarterly report ☐ Yes  
☐ No

Preferred delivery ☐ Email  
☐ Post

Number of copies .....

## 7. Investment management fee charging

We offer two methods of payment for our investment management fees:

1. Explicit charging through the pooled fund contract: fees are automatically collected quarterly in arrears by the cancellation of units held under the policy. ☐
2. Invoicing: an invoice is raised quarterly in arrears. ☐

Fund management charges shall be as set out in the schedule attached to this application form as Appendix A.

## 8. Publication of client details

As you may be aware, there are providers of information to the pensions industry who track which managers are winning what types of investment mandates. This information is useful both to asset managers and pension fund trustees.

Managers can use the information to help improve products and services. Trustees can see which managers are being successful in different areas.

Are you happy for us to give details of the investment service you have awarded to us (e.g. size of investment, benchmark, consultant used) to these information providers. ☐ Yes ☐ No

1. We apply for a Pooled Funds Policy to be issued on Scottish Equitable plc's standard provisions and incorporating any special terms or provisions appropriate to our investment, or any part of it, which may be applicable. Those special terms or provisions shall be in your current form or, where you do not have one, as you think reasonable to reflect the special terms or provisions.
2. We confirm that:
  - a. Our powers of investment, and delegation of those powers, permit us to invest the assets of the Scheme, or part of them not less than the part which we propose to invest, the policy now applied for;
  - b. The scheme is an exempt approved scheme (or has been presented for approval) under Chapter 1 or Part XIV of the Income and Corporation Taxes Act 1988 and we undertake to advise Scottish Equitable plc immediately if it ceases to be so approved (or if its application for approval is withdrawn or not granted);
3. We authorise the Board of the Inland Revenue to tell Scottish Equitable plc if the Scheme is not granted exempt approval or if that approval is withdrawn.
4. This application shall be the basis of the contract between us and Scottish Equitable plc. We understand that a copy of the completed application and the appropriate standard form or particulars of the policy to be issued will be available on request.
5. We hereby consent to the processing of our information which may include the recording of telephone calls and electronic communications for the purpose of regulatory compliance and confirming data. We acknowledge that records of such telephone calls and electronic communications may be stored in a durable medium for at least 5 years and/or the duration of our investment.
6. We confirm that the information given in this application is true and complete.

<b>Signature</b>	<b>Name (please print)</b>	<b>Date</b>
<b>Signature</b>	<b>Name (please print)</b>	<b>Date</b>

When you have completed this form please send it to: Institutional Business, Aegon Asset Management Limited, 3 Lochside Crescent, Edinburgh, EH12 9SA, or fax it to 0131 339 3147 with the original form to follow immediately thereafter.

The Scottish Equitable Main Account  
Royal Bank of Scotland, 36 St Andrew Square, Edinburgh  
Sort Code: 83-06-08  
Account Number: 00255524

Please quote this number on all correspondence.

**If you have any questions regarding the completion of this document, please contact the Institutional Client Team on 0131 549 5188 or alternatively via email to [institutional@aeonam.com](mailto:institutional@aeonam.com)**