

# Aviva Investors Investment ISA



## Additional Permitted Subscription Allowance – Application Form

Please answer all questions in CAPITAL LETTERS and tick boxes where appropriate.

Once you have completed this application form, please return it to us together with either our Bereavement Form completed by the executor(s) / personal representative (where you are making a cash or “in specie” transfer) or with your payment to Aviva Investors UK Fund Services Limited, PO Box 10410, Chelmsford CM99 2AY. Please see section 4 below for further details in relation to an “in specie” APS.

Please make any cheque payable to Aviva Investors UK Fund Services Limited.

If you wish to pay with a Bank/Building Society cheque or Banker’s Draft, the Society or Bank must endorse the cheque with the full name of the person from whose account the funds are drawn. For example, the cheque should be made payable as follows: Aviva Investors UK Fund Services Limited i.r.o. John Smith (include investor’s full name).

A copy of this completed application form is available on request.

This is an application to make either an APS in cash to the Aviva Investors Investment ISA in section 3 or an “in specie” APS in section 4. You must choose whether you are applying to subscribe under your APS allowance in cash or “in-specie” so must not complete section 3 if you complete section 4 (and must not complete section 4 if you have completed section 3).

By completing this form you are confirming to us that you are the person eligible to make the APS following the death of your spouse/civil partner. You should only complete this application form if you wish to make a subscription to an ISA using an APS allowance.

Aviva Investors will allow multiple subscriptions to be made in respect of the APS allowance, subject to the overall amount of the APS allowance. If you only subscribe for part of the APS allowance, but at a later date then wish to further subscribe for some or all of the remaining balance of the APS allowance, you will need to complete a further APS application form. However, ISA rules require that all subscriptions to an APS allowance are made within, in the case of an “in specie” APS, 180 days of beneficial ownership passing to you or, in the case of any other APS, within 3 years of the date of death, or 180 days after the estate is complete if later.

**Please be aware that once an APS allowance has been transferred to us, or once a subscription has been made in respect of an APS allowance already held with us, any future subscriptions under that APS allowance must also be made with us.**

Please see the Additional Permitted Subscriptions Guide for further information.

## 1. Personal details

Title	<input type="text" value="Mr / Mrs / Miss / Ms"/>	
Forename(s)	<input type="text"/>	
Surname	<input type="text"/>	
Address	<input type="text"/>	
	<input type="text" value="Postcode"/>	
Date of birth	<input type="text" value="D D M M C C Y Y"/>	
Daytime telephone number	<input type="text"/>	Email address <input type="text"/>
<b>If you already hold an Investment ISA with us and would like to top-up your investment, please state your existing client reference number.</b>		
<input type="text"/>		
National insurance number	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>	
<b>This is a Government requirement and must be supplied. You should be able to find your National Insurance Number on a payslip, form P60, notice of coding or tax return. Otherwise your employer or tax office may be able to help. If you are in receipt of a state pension, your National Insurance Number may be shown on your bank statement next to any state pension payments you've received.</b>		
If you do not have a National Insurance Number, please tell us why in the space below.		
<input type="text"/>		

## 2. Details of the deceased

Title	<input type="text" value="Mr / Mrs / Miss / Ms"/>	
Forename(s)	<input type="text"/>	
Surname	<input type="text"/>	
Permanent residential address of the deceased at their date of death	<input type="text"/>	
	<input type="text" value="Postcode"/>	
Deceased's date of birth	<input type="text" value="D D M M C C Y Y"/>	
Deceased's National Insurance Number (if known)	<input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>	
Date of death	<input type="text" value="D D M M C C Y Y"/>	
Date of marriage or civil partnership between you and the deceased	<input type="text" value="D D M M C C Y Y"/>	
Deceased's account number at previous ISA provider	<input type="text"/>	
<b>Note:</b> If multiple ISAs were held by the deceased with either us and/or were held with some other ISA manager(s) where the associated APS allowance has been transferred to us, their value will be combined to form one APS allowance		

### 3. Investment details for the Aviva Investors Investment ISA

Please only complete this section of the application if you wish to subscribe in cash for a Stocks & Shares ISA. **You should not complete section 4 if you complete this section 3.** If you are making a cash transfer from your late spouse/civil partner's ISA, we will also require our Bereavement Form to be completed by their executor(s) / personal representative. For further information, please refer to our guide entitled **What to do after a bereavement**.

For more information, please call 0800 051 2003. Calls may be recorded for training and monitoring purposes, and to comply with applicable law and regulations. Calls are free from UK landlines and mobiles.

We will purchase Class 1 shares or units, except for the Global Equity Endurance Fund where we will purchase shares in Class 6, unless you indicate otherwise.

	Single investments (min £500 per fund)	Tick if income is to be paid out
<b>Income Funds</b>		
Higher Income Plus	£ <input type="text"/>	<input type="checkbox"/>
Managed High Income	£ <input type="text"/>	<input type="checkbox"/>
Sterling Corporate Bond	£ <input type="text"/>	<input type="checkbox"/>
<b>Growth Funds</b>		
Climate Transition Global Equity Fund	£ <input type="text"/>	N/A
Continental European Equity	£ <input type="text"/>	N/A
Global Equity Endurance	£ <input type="text"/>	N/A
International Index Tracking	£ <input type="text"/>	N/A
UK Listed Small and Mid-Cap Fund	£ <input type="text"/>	N/A
<b>Income &amp; Growth Funds</b>		
Multi-asset Income	£ <input type="text"/>	<input type="checkbox"/>
Global Equity Income	£ <input type="text"/>	<input type="checkbox"/>
Sustainable Stewardship Fixed Interest Feeder	£ <input type="text"/>	<input type="checkbox"/>
Sustainable Stewardship International Equity Feeder	£ <input type="text"/>	<input type="checkbox"/>
Sustainable Stewardship UK Equity Feeder	£ <input type="text"/>	<input type="checkbox"/>
Sustainable Stewardship UK Equity Income Feeder	£ <input type="text"/>	<input type="checkbox"/>
Strategic Bond	£ <input type="text"/>	<input type="checkbox"/>
UK Listed Equity Income	£ <input type="text"/>	<input type="checkbox"/>
UK Index Tracking	£ <input type="text"/>	<input type="checkbox"/>
UK Listed Equity Unconstrained Fund	£ <input type="text"/>	<input type="checkbox"/>

### 3. Investment details for the Aviva Investors Investment ISA (continued)

	Single investments (min £500 per fund)	Tick if income is to be paid out
<b>Multi-asset Funds</b>		
Multi-asset Plus Fund I	£ <input type="text"/>	N/A
Multi-asset Plus Fund II	£ <input type="text"/>	N/A
Multi-asset Plus Fund III	£ <input type="text"/>	N/A
Multi-asset Plus Fund IV	£ <input type="text"/>	N/A
Multi-asset Plus Fund V	£ <input type="text"/>	N/A
Multi-asset Core Fund I*	£ <input type="text"/>	N/A
Multi-asset Core Fund II*	£ <input type="text"/>	N/A
Multi-asset Core Fund III*	£ <input type="text"/>	N/A
Multi-asset Core Fund IV*	£ <input type="text"/>	N/A
Multi-asset Core Fund V*	£ <input type="text"/>	N/A
<b>Multi-Manager Funds</b>		
Multi-Manager 20-60% Shares	£ <input type="text"/>	<input type="checkbox"/>
Multi-Manager 40-85% Shares	£ <input type="text"/>	<input type="checkbox"/>
Multi-Manager Flexible	£ <input type="text"/>	N/A
<b>Multi-Strategy Fund</b>		
Multi-Strategy Target Return	£ <input type="text"/>	N/A

\* The Aviva Investors Multi-asset Core Fund I, Aviva Investors Multi-asset Core Fund II, Aviva Investors Multi-asset Core Fund III, Aviva Investors Multi-asset Core Fund IV and Aviva Investors Multi-asset Core Fund V have a minimum initial investment of £5,000 per fund.

**Note:** Certain funds enable you to receive income should you wish to do so. These funds offer income shares. If you wish to have your income reinvested, the income will be used to buy further shares in the relevant fund. For the other funds, accumulation shares are issued which results in income being rolled up into the capital value of your holding. Unless you have indicated otherwise, accumulation shares will be issued where available. For investments where no bank or building society details are provided, income is automatically reinvested or accumulated as appropriate. We reserve the right to deal only following the receipt of cleared funds.

## 4. In specie APS details

Please only complete this section of the application if you wish to make an in specie APS. An in specie APS is where the shares which your spouse/civil partner held in their ISA are transferred to your ISA (without having to be sold and the subscription under the APS allowance made in cash).

**You should not complete section 3 if you complete this section 4.** We will also require our Bereavement Form to be completed by their executor(s) / personal representative. For further information, please refer to our guide entitled **What to do after a bereavement**.

Please indicate below the investments which your spouse/civil partner held in their ISA(s) with us which you wish to be transferred to you pursuant to an in specie APS:

Name of Fund	Share Class	Number of shares to be transferred.*	Tick if income is to be paid out
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>

\* If the entire holding in a Fund is to be transferred, "All" may be entered, instead of an actual number.

**Note:** In order to be able to make an "in specie" APS, the above investments:

- 1) must have been held by your spouse/civil partner in an ISA with us – an in specie APS is therefore not available where you have transferred the APS allowance to us from another ISA provider;
- 2) must have been inherited by you – this will be evidenced by virtue of the executor(s) / personal representative of the estate of your spouse/civil partner completing our Bereavement Form; and
- 3) must still be held with Aviva Investors or its nominee – an in specie APS is therefore not available where the investments have already been redeemed or transferred out of the estate of your spouse/civil partner.

The value of the in specie subscription will be calculated on the day of transfer of the above investments to your ISA. If this exceeds the amount of your APS allowance with us, then only an amount of the above investments up to the APS allowance will be transferred to your ISA. We will therefore reduce the number of shares in each fund listed above to be transferred by an amount which is proportionate to the difference between the total value of all of the above investments at the date of transfer and the amount of the APS allowance. The remainder shall be (please tick one box):

Transferred to you to be held outside of your ISA directly in the ICVCs applicable to the above funds; or

Redeemed and the proceeds returned to you.

## 5. Bank/building society details

**Only complete this section if you wish to receive income payments (or regular capital withdrawals for Multi-asset Plus Funds).** Please note that income is only paid from those funds indicated by a tick box in section 3 or section 4 (as appropriate). Income will be paid by direct credit to your UK bank or building society account and will be paid from outset. If you wish to take income at a later date, please contact us at the time. For all investments where no bank or building society details are provided, income is automatically reinvested or accumulated as appropriate.

Full name and address of UK bank/building society	<input type="text"/>
	<input type="text"/>
	<input type="text" value="Postcode"/>
Name of account holder	<input type="text"/>
Account number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Sort code	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Building Society Roll no. (if applicable)	<input type="text"/>

## 6. Regular capital withdrawals (Multi-asset Plus Funds)

This facility is only available for customers who have an investment in the Multi-asset Plus Funds of £10,000 or above when a regular capital withdrawal is made. This facility is not available to customers who are paying regular investments.

If you wish to receive regular capital withdrawals, please indicate below the amount or percentage you wish to withdraw (the regular capital withdrawal will be applied proportionately across the Multi-asset Plus Funds indicated in section 3 or section 4).

I wish for my regular capital withdrawal to be taken (please tick one box)

Monthly       Quarterly       Half-Yearly       Once a year

I wish to receive my first regular capital withdrawal payment on the month specified below (if left blank your first withdrawal will take place at the next available payment date). **Shares must be held for one year before proceeds are payable, so this date must be at least one year from the date of the first investment into the Fund.**

Month       Year

I wish to withdraw the following amount, which will be paid in instalments as indicated above. Please indicate a percentage (of investment value) or £ amount.

%      or      £

Please complete section 3 to indicate where these payments will be made.

For more information on the terms of capital withdrawals, please read the Supplementary Information Document.

## 7. Privacy Notice

### Personal Information

We collect and use personal information about you so that we can provide you with your investment. This notice explains the most important aspects of how we use your information but you can get more information about the terms we use and view our full privacy policy at [www.avivainvestors.com](http://www.avivainvestors.com) or request a copy by writing to us at the address stated in the “Contacting us” section below.

The data controller(s) responsible for this personal information is Aviva Investors UK Fund Services Limited.

### Personal information we collect and how we use it

We will use your personal information:

- To provide you with your investment: we need this to set up and administer your investment,
- To support legitimate interests that we have as a business: we need this to detect and prevent fraud and to help us better understand our customers and improve our customer engagement (this includes marketing),
- To meet any applicable legal or regulatory obligations: we need this to meet compliance requirements with our regulators (e.g. Financial Conduct Authority), to comply with law enforcement and to manage legal claims; and
- To carry out other activities that are in the public interest: for example we may need to use personal information to carry out anti-money laundering checks.

We may also use personal information about other people. This may include individuals who are authorised to act on your behalf, for example, an attorney or (in the case of a corporate investor) individuals who work for or otherwise represent you. **If you are providing information about another person we expect you to ensure that they know you are doing so and are content with their information being provided to us. You might find it helpful to show them this privacy notice and if they have any concerns please contact us in one of the ways described below.**

The personal information we collect and use will include name, address, date of birth and contact and investment details.

Of course, you don't have to provide us with any personal information, but if you don't provide the information we may not be able to proceed with setting up your investment.

Some of the information we collect as part of this application will be provided to us by third parties and this can include information already held about you within the Aviva Group, information we obtain from publicly available records, our trusted third parties and from industry databases, including fraud prevention agencies and databases.

We do not currently make any decisions based on automatic decision making using your personal information to decide whether we can provide an investment. If in the future we need to make decisions based on automatic decision making, we will inform you about this.

## 7. Privacy Notice (continued)

### How we share your personal information with others

We may share your personal information:

- With the Aviva Group, our agents and third parties who provide services to us to help us administer our products and services;
- With regulatory bodies and law enforcement bodies, including the police, e.g. if we are required to do so to comply with a relevant legal or regulatory obligation;
- With other organisations including public bodies and the police (either directly or using shared databases) for fraud prevention and detection purposes;

Some of the organisations we share information with directly or indirectly may be located outside of the European Economic Area (“EEA”). We’ll always take steps to ensure that any transfer of information outside of Europe is carefully managed to protect your privacy rights. For more information on this please see our privacy policy or contact us.

### How long we keep your personal information for

We maintain a retention policy to ensure we only keep personal information for as long as we reasonably need it for the purposes explained in this notice. We need to keep information for the period necessary to administer your investment and deal with any queries on your investment. We may also need to keep information after our relationship with you has ended, for example to ensure we have an accurate record in the event of any complaints or challenges, carry out relevant fraud checks, or where we are required to do so for legal, regulatory or tax purposes.

### Your rights

You have various rights in relation to your personal information, including the right to request access to your personal information, correct any mistakes on our records, erase or restrict records where they are no longer required, object to use of personal information where this use is based on our legitimate business interests. For more details in relation to your rights, including how to exercise them, please see our full privacy policy or contact us.

### Contacting us

If you have any questions about how we use personal information, or if you want to exercise your rights stated above, please contact our Data Protection Officer by writing to them at The Data Privacy Office, Aviva Investors, 80 Fenchurch Street, London EC3M 4AE or email [dpoffice@avivainvestors.com](mailto:dpoffice@avivainvestors.com)

If you have a complaint or concern about how we use your personal information, please contact us in the first instance and we will attempt to resolve the issue as soon as possible. You also have the right to lodge a complaint with the Information Commissioner’s Office at any time.

### Marketing – How we keep you informed

The Aviva Group and its agents may use personal information we hold about you across the Aviva Group to help us identify and tailor products and services that may be of interest to you and would like to contact you from time to time to provide you with updates and offers for Aviva’s products and services tailored to you by direct marketing by post, phone, email or text. We may continue to do this after your investment has ended.

To tell us if you would prefer not to hear about Aviva products and services please contact us at Aviva, Freepost, Mailing Exclusion Team, Unit 5, Wanlip Road Ind Est, Syston, Leicester, LE7 1PD.



## 8. Prevention of money laundering

In accordance with EU and UK legislation relating to the prevention of money laundering we are obliged to verify the identity and address of all parties to this contract (e.g. planholder, third parties including beneficial owners). In the case of legal arrangements we are also required to establish the identity of any controllers that are not named parties as well as individuals who have a specified beneficial interest in the contract.

Where a financial adviser or Aviva Investors Representative is involved they will let you know what evidence you need to produce. If you are applying to us direct we will verify your identity with a third party identity verification company.

In certain circumstances you may be required to provide further evidence of your identity and confirmation of address, in which case Aviva Investors will contact you. If the product you are applying for allows payment by cheque and you wish to pay with a Bank/Building Society cheque or Banker's Draft, the Society or Bank must endorse the cheque with the full name of the person from whose account the funds are drawn.

## 9. Delivery versus payment (DVP) exemption

We may make use of the Delivery versus Payment (DVP) exemption for Collective Investment Schemes as defined in the Financial Conduct Authority's Client Assets Sourcebook. This means your uninvested money may not be protected if Aviva Investors UK Fund Services Limited becomes insolvent during the period covered by the exemption.

There are no circumstances under which you should pay money into Aviva Investors UK Fund Services Limited's own bank accounts in relation to your Aviva Investors Investment ISA and we will not ask you to do so. However, in the event that we do receive money from you directly into these accounts, the DVP exemption will be used and any money we receive from you into those accounts may not be protected from the day we receive it to the close of the next business day. We will not use the DVP exemption for any payments received from you by cheque, Direct Debit or debit card and therefore these payments will be protected at all times.

The DVP exemption will also be used when we make payments to you by electronic bank transfer. When this happens your money may not be protected from the start of the day we are due to make the payment to you up to the end of the next business day. We will not use the DVP exemption for any payments we make to you by cheque and therefore these payments will be protected at all times.

## 10. Declaration

**The Aviva Investors Investment ISA Terms & Conditions, Key Investor Information Document(s) and Supplementary Information Document are important and you should take time to read them. If there are any terms you do not understand you should ask for further information.**

- I am 18 years of age or over.
- I have read the latest relevant Key Investor Information Document(s), Supplementary Information Document and Aviva Investors Investment ISA Terms & Conditions and am aware that I should retain a copy of these for my future reference.
- I confirm that no financial advice has been received in respect of this investment other than from the financial adviser, if any, named below unless otherwise indicated.
- I understand that you may undertake a search with a third party company who provide identity verification services for the purposes of verifying my identity and the details I have submitted as part of this application. To do so the third party company may check the details I supply against any particulars on any database (public or otherwise) to which they have access. They may also use my details in future to assist other companies for verification purposes. A record of the search will be retained.
- I declare that the information given in this Application Form is correct to the best of my knowledge and belief.
- I have not subscribed and will not subscribe to more than the APS allowance limit to which I am entitled.
- I apply to subscribe to the Aviva Investors Investment ISA as indicated above.
- All subscriptions made, and to be made, belong to me.
- I authorise Aviva Investors UK Fund Services Limited:
  - To hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash; and
  - To make on my behalf any claims to relief from tax in respect of ISA investments.
- I agree that the Aviva Investors Investment ISA Terms & Conditions apply to my investments.
- I am the surviving spouse/civil partner of the deceased.
- I was living with the deceased within the meaning of Section 1011 of the Income Tax Act 2007 at the date of the deceased's death (we were not separated under a court order, under a deed of separation, or in circumstances where the marriage or civil partnership had broken down).
- the subscription is made under the provisions of regulation 5DDA of the Individual Savings Account Regulations 1998 (additional permitted subscription).
- the subscription is being made in the case of an "in specie" APS, within 180 days of beneficial ownership passing to the surviving spouse / civil partner or in the case of any other APS, within 3 years of the deceased's date of death, or if later, 180 days of the completion of the administration of the estate.
- I consent to Aviva Investors UK Fund Services Limited using the Delivery versus Payment (DVP) exemption referred to above and as described in the Aviva Investors Investment ISA Terms & Conditions; and that my money will not be protected from the insolvency of Aviva Investors UK Fund Services Limited during the periods covered by the exemption.
- I have not made a subscription in respect of this APS allowance with any other ISA Manager.

Signature

Date  /  /

Name

## 11. For Financial Advisers' use only

I/We have seen the Aviva Investors Terms of Business for Firms as in force from time to time, the latest version of which can be found at [www.avivainvestors.com/tob](http://www.avivainvestors.com/tob), and agree that this application constitutes "Business" as defined in and is therefore subject to those terms.

<b>Signature of adviser</b>	<input type="text"/>	<b>Date</b>	<input type="text"/> / <input type="text"/> / <input type="text"/>
<b>Full name and address of agent</b>	<input type="text"/>		
	<input type="text"/>		
	<input type="text"/> Postcode		
<b>Firm reference number</b>	<input type="text"/>		
<b>Agent number</b>	<input type="text"/>		
<b>Please tick this box if no advice has been given</b>	<input type="checkbox"/>		

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