

Aviva Investors Investment ISA



Additional Permitted Subscription Allowance – Transfer Authority Form

Please answer all questions in CAPITAL LETTERS.

Once you have completed this request form, please return it to Aviva Investors UK Fund Services Limited, PO Box 10410, Chelmsford CM99 2AY.

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

This is a request to transfer to us the additional permitted subscription (APS) allowance arising from the ISA(s) which your spouse/civil partner held with another ISA provider. By completing this form you are confirming that you are the person eligible to make additional permitted subscriptions following the death of your spouse /civil partner. This will enable us to contact the other provider to confirm the value of your APS allowance.

Please complete a separate additional permitted subscription allowance transfer authority form for each existing ISA provider you wish to transfer an APS allowance from.

When the APS allowance has been transferred we will tell you the amount of this APS allowance in writing, following which you will then need to complete an APS application form to tell us how you would like your additional permitted subscription to be invested. That application form should then be returned to us along with your payment. A cash payment will be required because this APS allowance arises from the ISA(s) which your spouse/civil partner held with another ISA provider, meaning that an “in specie” APS is not possible, being where the shares or units which your spouse/civil partner held in their ISA are transferred directly to you (without having to be sold and the APS subscription made in cash).

Aviva Investors will allow multiple subscriptions to be made in respect of the APS allowance, subject to the overall amount of the APS allowance. To the extent that 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 other than “in specie” subscriptions, to an APS allowance are made within 3 years of the date of death, or 180 days after the estate is complete if later.

Please be aware that an APS allowance can only be transferred where no subscriptions have yet been made. Additionally, an APS allowance may only be transferred once and must be transferred in its entirety. We will request the transfer of your APS allowance from the other provider when we have received this completed transfer authority form from you, and at this point the APS allowance is considered to be transferred and any subscriptions under that APS allowance must be made with us.

Please see the Additional Permitted Subscriptions Guide for further information.

1. Personal details

Title

Forename(s)

Surname

Address

Date of birth

Daytime telephone number

Email address

If you already hold an ISA with us, please state your existing client reference number

National insurance number

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.

If you do not have a National Insurance Number, please tell us why in the space below.

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"/>
	<input type="text" value="Postcode"/>
Deceased's date of birth	<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="C"/> <input type="text" value="C"/> <input type="text" value="Y"/> <input type="text" value="Y"/>
Deceased's National Insurance Number (if known)	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Date of death	<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="C"/> <input type="text" value="C"/> <input type="text" value="Y"/> <input type="text" value="Y"/>
Date of marriage or civil partnership between you and the deceased	<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="C"/> <input type="text" value="C"/> <input type="text" value="Y"/> <input type="text" value="Y"/>
Deceased's account number at previous ISA provider	<input type="text"/>

3. APS allowance transfer information

Name of deceased's ISA provider	<input type="text"/>
Address of deceased's ISA provider	<input type="text"/>
	<input type="text"/>
	<input type="text" value="Postcode"/>

4. 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 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.

4. 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

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.

5. APS eligibility 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 Aviva Investors Investment ISA Terms & Conditions and am aware that I should retain a copy of these for my future reference.
- I declare that the information given in this Form is correct to the best of my knowledge and belief.
- 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).
- I have not subscribed to and will not subscribe to the additional permitted subscription allowance with the existing ISA provider named on this application.
- I intend to make an additional permitted subscription application to Aviva Investors.
- I authorise the existing ISA provider of the deceased as specified above to provide Aviva Investors with any information, written or non-written, concerning the APS allowance and former ISA in respect of myself (the investor) and the deceased and to accept any instruction from them relating to the APS allowance being transferred.

Signature

Date / /

Name

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