

Corporation application form – Investment Portfolio

Please note

Corporate trustees: we only accept investments where corporate trustees are based in the UK.

How to fill in this form

This form should be completed by you as a:

- Limited Company
- Trust Company

as part of your financial adviser's application to open a new Investment Portfolio on your behalf.

Your application may require additional documentation depending on your request. This is listed at the end of this form in the 'What happens next' section. Please make sure you complete all relevant sections. If you don't, it may delay your application. In addition, in certain circumstances we may come back to you for additional documentation.

The Investment Portfolio Terms and Conditions for corporate and corporate trustee investors along with the Adviser charge agreement (within this form) are important and you should take the time to read them. Please contact your financial adviser for a copy of the terms and conditions or if you are uncertain about the nature of the Adviser charge agreement or how to complete it.

What are our requirements?

Please provide the following documents:

- certified copy of the Trust Deed
- your adviser should provide the corporate Confirmation of Verification of Identity form (GN01780), plus copies of the documentation used to verify the company/trust company
- certified copies of documentation used to verify the trustees

Note: the minimum initial contribution or transfer for corporations is £50,000 and the minimum regular contribution is £500.

Section 1: Details of organisation - identification

Full name of corporation

Type of trust

Company Trust Company

Corporation's reference number

(eg Companies House number, or FCA registration number (for Corporate Service Providers, where applicable), tax number, etc)

Registered address

Town/city

Postcode

Section 1: Details of organisation - identification continued

Correspondence address

Town/city

Postcode

Ultimate Parent Company ("UPC")/
Ultimate Beneficial Owner
("UBO") name

If a listed company, evidence of listing should be provided, eg a screenshot of the listing on the London Stock Exchange with the ticker symbol.

List of directors obtained and attached Yes No

Nature, purpose and objectives of trust
(eg discretionary, testamentary, bare etc)

Country in which the trust
was established
(eg England & Wales, Scotland, NI)

Has the trust been registered with the
Trust Registration Service? Yes No

Details of authorised 3rd parties
(eg authorised 3rd party/signatory/
power of attorney/key person
(eg authorised 3rd party/signatory/
guarantor, or any other individual
who can act on behalf of the client)

Name of broker/introducer
(if applicable)

Full name of settlor
(please indicate if deceased)

Full name of protector
(if applicable)

If a discretionary trust, detail
the class(es) of beneficiaries

Section 1: Details of organisation - identification continued

If a non-discretionary trust,
list the full names of the
beneficiaries

Confirm the capture of mandated signatories or those authorised to give instructions for the movement of funds or assets and who have authority to operate an account or to give Platform instructions concerning the use or transfer of assets.

Mandated signatories list attached Yes No

We can give online read only access to the Investment Portfolio for the corporation. If they wish, please supply the details below of two authorised signatories to receive this access. Email address must be supplied for this access.

	Authorised signatory 1	Authorised signatory 2
First name	<input type="text"/>	<input type="text"/>
Surname	<input type="text"/>	<input type="text"/>
Email address	<input type="text"/>	<input type="text"/>

Section 2: Payment details

Single payment

IMPORTANT - DO NOT SEND PAYMENTS until we have set up the Investment Portfolio and given you the account number. This is because we must complete detailed due diligence and, under regulations, there may be issues with returning payments if your application is rejected. So in the meantime just tell us how you want to make the payment. You'll find more information in the 'What happens next' section at the end of this form.

Amount

£

Note: The minimum single payment is £50,000

How will you send us the payment when we're ready?

Cheque

Direct credit

Source of wealth

Please describe the source of wealth underlying this investment and provide details of the ultimate beneficial owner(s) of the investment.

profits from company or shares/gift/property sale/inheritance/
lottery or betting win/salary/savings/other (please specify)

Regular payment

Please also complete the direct debit mandate at the end of this form.

Amount

£

Note: The minimum regular payment is £500

Frequency

monthly

quarterly

half-yearly

yearly

Start date

1st

7th

14th

21st

28th

month/year

If there is insufficient notice to process your application, your first payment will commence the following month.

Source of wealth

Please indicate how you acquired the money you are investing:
salary/savings/dividends/other (please specify)

Transfer in (cash)

Please also complete an LF01071 transfer form.

Amount

£

Ceding scheme name

Ceding scheme
account number

Asset selection

Please select either model portfolio(s) or individual assets, or a selection of both. Please fully complete all requested details so we can identify the relevant assets.

Asset/Model portfolio (full name)	ISIN/Sedol	Single Investments £/%	Regular Investments £/%

Please continue on a separate sheet if required.

Section 2: Payment details continued

Transfer in (assets)

Please also complete an LF01071 transfer form.

Ceding scheme name

Ceding scheme
account number

Asset name (in full)	ISIN/Sedol	No. of units (may differ at transfer)

Please continue on a separate sheet if required.

Target Assets

Complete this table if any of the assets being transferred to Aviva are to be converted to a different share class.

If you want your client to be invested in the cheapest available share class for a particular asset, you should select the cheapest available share class as your target asset. Please note the cheapest share class may not be the common one. You can find details of the available share classes on our Investment Centre.

Asset name (in full)	ISIN/Sedol	No. of units (may differ at transfer)

Please continue on a separate sheet if required.

Section 3: Regular withdrawals and natural income

Regular withdrawals

Withdrawal amount per payment

£

Frequency of withdrawals (tick one)

monthly quarterly half-yearly yearly

For regular withdrawals, please state the first withdrawal date required.

Please tick one of the following dates of the month:

1st 7th 14th 21st 28th

Bank account details for regular withdrawals to be paid into:

Account holder's name

Sort code

Bank account number

Withdrawal option

Pro rata Asset-specific

If 'Asset specific' has been chosen, please indicate your asset choice below:

Asset name (in full)	ISIN/Sedol	Withdrawal amount £/%

Natural income

Please tick as appropriate, whether you would like to:

Take natural income Leave in the account as cash Reinvest

Section 4: Tax residency

In relation to taking out this plan, is the entity:

A financial institution (including professionally managed trust)

GIIN
number

A registered United Kingdom (UK) pension scheme

If you ticked any of the above you do not need to complete any further questions in this section

An actively trading non-financial organisation (ie most of your assets are trading assets and most of your gross income is trading income)

A non-trading investment body (ie most of your assets are held for investment purposes and most of your gross income is investment income)

Other (please specify)

Is the entity resident for tax purposes anywhere other than the UK¹

Yes

No

If you answered yes above then please list the countries in which the entity is resident for tax purposes, together with any tax reference number(s)/Tax Identification Numbers (TINs), if relevant. Where you do not have a reference number, please explain why.

We will not normally accept trustees resident outside of the UK. Please get in touch with your Aviva contact if you have any queries.

Country/Countries of tax residence	Tax identification/registration number or reason for not providing

If the entity is a non-trading investment body, such as a non-professionally managed trust or a private investment company, are any of the controlling person² of the entity resident for tax purposes anywhere other than the UK.

If the controlling person is a US Citizen or holds a US passport or green card, they will also be considered tax resident in the US even if they live outside the US.

Yes

No

If any controlling person² identified as part of your anti-money laundering checks is resident for tax purposes anywhere other than the UK, please list their details and the country or countries in which they are tax resident, together with any tax reference number(s)/Tax Identification Number(s) (TINs) that may be relevant.

Section 4: Tax residency continued

By signing below each controlling person agrees:

- the information they have provided is correct
- they will notify Aviva immediately if any of this information changes in the future, including any changes to the controlling persons

If there are more than two controlling persons², please provide details on additional sheet(s).

	Controlling person 1	Controlling person 2
Full name (including title)	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/>
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="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/>	<input type="text" value="D"/> <input type="text" value="D"/> <input type="text" value="M"/> <input type="text" value="M"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/> <input type="text" value="Y"/>
Full Address	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/>
Town/city	<input type="text"/>	<input type="text"/>
Postcode	<input type="text"/>	<input type="text"/>
Country	<input type="text"/>	<input type="text"/>
What makes them a controlling person	<input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/>
(beneficiary/class of beneficiary/protector/senior manager/settlor/shareholder/owner/trustee)	<input type="text"/>	<input type="text"/>
Country/Countries of tax residency	<input type="text"/>	<input type="text"/>
Tax Identification/reference/ National insurance number(s)	<input type="text"/>	<input type="text"/>
Signature of person	<input type="text"/>	<input type="text"/>

The UK Government has and will be entering into a number of inter-governmental agreements to share tax information, where applicable, with the tax authorities in other territories. The requirement to collect information about each customer's tax residence is part of UK legislation and as a financial services company we are legally obliged to collect it and report it where necessary. We are asking for your tax residency and tax identification numbers (where applicable) and will record this on our records.

If you have any questions on how to complete this form we recommend that you speak to your tax or legal adviser.

1. The UK consists of England, Northern Ireland, Scotland and Wales. Tax residency rules for entities vary from country to country, and can be quite complicated. For instance, companies will often be tax resident in the country where they are incorporated and may also be resident in any other countries in which they conduct business, while trusts may need to consider where their trustees are resident. If there is doubt about where an entity is tax resident, professional advice may be required.

Section 4: Tax residency continued

2. A controlling person is a natural person. For a trust, this includes settlor, trustee, protector (if any) beneficiary or class of beneficiaries or any natural person exercising ultimate control over the trust. For any other entity, it includes a shareholder and any other natural person exercising ultimate control over the investment.

A beneficiary's details only need to be included if they own or are entitled to at least 25% of the trust property.

A shareholder's or senior manager's details only need to be included if they own or control more than 25% of the shares or voting rights - or otherwise exercise control of the management of the entity e.g. They own less than 25% but their percentage of ownership is significantly higher than any other shareholders.

Where no natural person is seen as exercising control of an entity, the controlling person(s) of the entity will be the natural person(s) who holds the position of senior managing official.

If the entity or a controlling person is tax resident in a territory other than the UK then we will report the relevant information listed below to Her Majesty's Revenue & Customs (HMRC) and they may transfer that information to the government of that territory in accordance with the relevant agreement.

- Name, address, jurisdiction of tax residence, Tax Identification Number (TIN) and date of birth.
- Account/policy number and that the account/policy is with Aviva.
- The balance or value of the account/policy at the end of the year or at the date it was closed.
- The gross amount of interest, dividends, proceeds from sale or redemption or other amounts paid or credited to the controlling person or account/policy during the year.

In accordance with those agreements, UK Government will also begin to receive information from Governments of other territories about non-UK accounts held by UK tax residents.

Section 5: Adviser charge agreement

1. Payment of adviser charges

- 1.1 We will pay to your financial adviser the adviser charge in accordance with this agreement or as otherwise directed by you and your financial adviser.
- 1.2 The adviser charge that you have agreed to pay your financial adviser is a matter between you and your financial adviser. When we pay an adviser charge to your financial adviser, this is a payment we are making because you have asked us to do so and on your behalf. We do not assess the suitability or amount of the adviser charge you have agreed to pay.
- 1.3 If you have any queries about your adviser charge, including whether you are entitled to a refund, you should ask your financial adviser.
- 1.4 If, subject to the terms of this agreement, an adviser charge is stopped, not paid or is re-credited to your Investment Portfolio, you may remain liable to reimburse your financial adviser. You should check the terms of your arrangement with your financial adviser.
- 1.5 The payment of an adviser charge is separate to any charges that you may be required to pay Aviva in respect of your Investment Portfolio.
- 1.6 We will only pay an adviser charge to your financial adviser's firm account or as otherwise directed by your financial adviser.
- 1.7 Once we have received your instruction to pay an adviser charge, we will not be able to stop the payment if you subsequently ask us to do so.
- 1.8 We will tell your financial adviser if you instruct us to alter or stop the payment of any adviser charges.
- 1.9 Where there is insufficient cash to cover the payment of either an ongoing charge or spread initial adviser charge, we reserve the right to sell investments to cover these charges. You can find further information about this in your The Investment Portfolio terms and conditions for corporate and corporate-based trustee investors.

2. Calculation of your adviser charge

- 2.1 Initial adviser charge – we will deduct the amount which you have agreed with your financial adviser to cover the cost of any initial advice from your payment(s) before we invest them.
- 2.2 The spread initial adviser charge on regular contributions is taken for a set period of time. It is taken either monthly, quarterly, half-yearly or annually, as agreed by you with your adviser.
- 2.3 Ongoing adviser charge – we will deduct the amount which you have agreed with your financial adviser to cover the cost of any ongoing advice from your Investment Portfolio. If the amount you have agreed is a percentage of your Investment Portfolio then this will be calculated based on the daily value of your Investment Portfolio on the date the calculation is carried out, this means the amount of ongoing adviser charge deducted, will vary.

3. Cancelling the Investment Portfolio

- 3.1 If you decide to cancel your Investment Portfolio within the cancellation period we will still pay the initial adviser charge to your adviser.

4. Change in financial adviser

- 4.1 You should let us know as soon as possible if you change your financial adviser. If you change your financial adviser, we will stop paying further adviser charges to that adviser. If you change your financial adviser and you wish to pay adviser charges to a new financial adviser, you will need to complete a new adviser charge agreement.
- 4.2 If your financial adviser tells us that it has transferred its business to another authorised firm which will take responsibility for providing you with ongoing service, we will transfer all future adviser charges to the new firm.
- 4.3 On a change of financial adviser, we may provide details of the adviser charges paid under this agreement to your new financial adviser to the extent required to enable your new financial

Section 5: Adviser charge agreement continued

adviser to provide you with advice and services in connection with your Investment Portfolio and entering into this agreement is your consent to allow us to do so.

5. Termination of this agreement

5.1 You can terminate this agreement at any time by giving us 30 days' notice. We will then cancel the adviser charge agreement at the next available opportunity. You do not have to give us any reason why you are terminating the agreement and we will not charge you for doing so.

6. Keeping you informed

6.1 We will provide you with written confirmation when we set up the arrangements to pay the adviser charges you have instructed us to pay to your financial adviser. We will ask you to check the

information that we provide to you. You will need to contact your adviser if you believe there are any errors.

6.2 We will also provide you with a statement every three months which will set out all of the adviser charges paid over this period.

7. Miscellaneous

7.1 This agreement does not give any rights to any person other than you and us. No other person shall have any rights under the Contracts (Rights of Third Parties) Act 1999 to rely on any terms under this agreement.

7.2 This agreement is to be governed by and interpreted in accordance with the laws of England. The Courts of England and Wales shall have non-exclusive jurisdiction over any claim, dispute or difference which may arise out of, or in connection with, this contract.

Initial adviser charge

Complete this section if you have agreed a charge for advice with your adviser from your lump sum payments. This charge will only be deducted once.

Contribution type	Contribution amount £	Deduction amount £ or %
Single payment	£	£ or %
Transfer in cash	£	£ or %

Spread initial adviser charge

You should complete this section when setting up or amending an initial adviser charge on regular contributions.

Amount per deduction £	Deduction frequency	Number of deductions	Total charge
£			

Ongoing adviser charge

Complete this section if you have agreed to pay your adviser for ongoing advice.

Deduction amount £ or %	Deduction frequency	Number of deductions
£ or %		

Section 6: Financial crime

To prevent financial crime, your information may be used by any company within the Aviva group and may be shared with third parties who provide services to us, as well as other organisations where required to by law and regulatory requirements.

A record may be kept of any searches carried out and any suspicions of financial crime and related details may be retained and used to assist other companies for verification and identification purposes.

Section 7: Privacy Notice

Aviva Wrap UK Limited is the main company responsible for your Personal Information (known as the controller).

We collect and use Personal Information about you in relation to our retirement and investments products and services. Personal Information means any information relating to you or another living individual who is identifiable by us. The type of Personal Information we collect and use will depend on our relationship with you and may include more general information (e.g. your name, date of birth, contact details) or more sensitive information (e.g. details of your health).

Some of the Personal Information we use may be provided to us by a third party. This may include information already held about you within the Aviva group, information we obtain from publicly available records, third parties and from industry databases, including fraud prevention agencies and databases. Where you are a member of an occupational or workplace pension scheme, or if you join a savings product through your employer, we may obtain information from, and share information with, the employer who set up your pension or savings product, the trustees of the pension and any third parties who are providing services to you or them.

Section 7: Privacy Notice continued

This notice explains the most important aspects of how we use your Personal Information, but you can get more information by viewing our full privacy policy at aviva.co.uk/privacypolicy or requesting a copy by writing to us at: The Data Protection Team, Aviva, PO Box 7684, Pitheavlis, Perth PH2 1JR. If you are providing Personal Information about another person you should show them this notice.

We use your Personal Information for a number of purposes including providing our products and services and for fraud prevention.

We also use profiling and other data analysis to understand our customers better (e.g. what kind of content or products would be of most interest) and to predict the likelihood of certain events arising (e.g. to assess risk or the likelihood of fraud).

We may sometimes make decisions using automated decision making. More information about this, including your right to request that certain automated decisions we make have human involvement, can be found in the 'Automated Decision Making' section of our full privacy policy.

We may use Personal Information we hold about you across the Aviva group for marketing purposes, including sending marketing communications in accordance with your preferences.

If you wish to amend your marketing preferences please contact us at contactus@aviva.com or by writing to us at: Aviva, Freepost, Mailing Exclusion Team, Unit 5, Wanlip Road Ind Est, Syston, Leicester, LE7 1PD. More information about this can be found in the 'Marketing' section of our full privacy policy.

Your Personal Information may be shared with other Aviva group companies and third parties (including service providers and regulatory and law enforcement bodies). We may transfer your Personal Information to countries outside of the UK but will always ensure appropriate safeguards are in place when doing so.

You have certain data rights in relation to your Personal Information, including a right to access Personal Information, a right to correct inaccurate Personal Information and a right to erase or suspend our use of your Personal Information. These rights may also include a right to transfer your Personal Information to another organisation, a right to object to our use of your Personal Information, a right to withdraw consent and a right to complain to the data protection regulator. These rights may only apply in certain circumstances and are subject to certain exemptions. You can find out more about these rights in the 'Data Rights' section of our full privacy policy or by contacting us at dataprt@aviva.com

Section 8: Client declaration (corporation)

- I/We confirm the entity is resident in the UK for tax purposes or if this is not the case the details have been completed in Section 4. I/We agree that the Aviva Investment Portfolio terms and conditions apply to my/our investment.
- This investment will be subject to the law of England.
- I/We declare this application form is completed to the best of my/our knowledge and belief.
- I/We will notify Aviva immediately if any information relating to this application changes in the future.
- I/We instruct Aviva to set up and pay initial adviser charges and/or ongoing adviser charges as I/we have agreed with my/our financial adviser, in accordance with the terms and conditions of this agreement.
- I/We agree that the Investment Portfolio Terms and Conditions for corporate and corporate trustee investors apply to this investment.
- I/We have been provided with Aviva's fair processing notice (GN01514) which sets out how Aviva will collect, process and may share personal information relating to me/us and beneficiaries under the trust. I/We further confirm that I/we have provided this information to the beneficiaries.
- I/We authorise Aviva to carry out an asset conversion for any assets where we are transferring by unit transfer and we have applied for a discounted share class of the same asset. This is in line with the Investment Portfolio Terms and Conditions.

I/We confirm we have read and agreed to the above Client Declaration and have authority to act on behalf of this Corporation.

Authorised signatory

Print name

Position in the company

Signature

Date

Authorised signatory

Authorised signatory

Print name

Position in the company

Signature

Date

Authorised signatory

Section 9: Adviser declaration

For adviser use only - your adviser should complete this section

Adviser name

Adviser reference number

Firm name

Firm reference number

I confirm that:

I am submitting this application for a Investment Portfolio for my client on behalf of the above named firm.

My client(s) has/have been provided with:

- (a) a key features illustration for the Investment Portfolio, which includes the Investment Portfolio and fund charges and demonstrates the effect of these charges on their investment
- (b) a key features document for the Investment Portfolio for corporate and corporate-based trustee investors
- (c) The Investment Portfolio terms and conditions for corporate and corporate-based trustee investors
- (d) Key investor information document/key information document for each fund selected where applicable
- (e) the Aviva Platform fair processing notice for ISA Portfolio and Investment Portfolio (GN01514 - available in the literature library on our adviser website).

My client(s) has/have received advice and have authorised the above named firm to deal in investments and issue instructions to Aviva on their behalf.

My client(s) understand(s) the charges of the Investment Portfolio, and also the nature of any risks inherent to the product.

What happens next?

When we've processed the application, we'll send any authorised signatories who've requested, their login details and a link so they can access information online.

As the adviser, you'll be able to send us a single payment at this point. When you do, should quote the new Investment Portfolio account number.

Once we receive and process the payment we'll also write to the trust with:

- a confirmation schedule
- a charges schedule
- an illustration of the Investment Portfolio
- the right to cancel.

Checklist

Before returning the completed declaration to your adviser, please make sure you've:

- read, signed and dated the Declaration
- ensured that all relevant parties have signed this Declaration
- included an authorised signatory list (if applicable)
- included a completed and signed individual direct debit instruction for regular contributions (if applicable)
- included an Aviva Platform Transfer-in or Re-registration form - non-Origo transfers only (LF01071) (if applicable)
- included a certified copy of the Trust Deed
- included the Corporate Confirmation of Verification of Identity Form (GN01780), plus copies of the documentation used to verify the company.

Where do you need to send this declaration?

Please check you have all corresponding documentation and email it, along with this declaration, to **advisedplatform@aviva.com**





INSTRUCTION TO YOUR BANK OR BUILDING SOCIETY TO PAY BY DIRECT DEBIT



**Aviva Wrap UK Limited,
Wellington Row, York, YO90 1WR**

Please fill in the whole form using a ball point pen and email it to: advisedplatform@aviva.com

Name and full postal address of your Bank or Building society

To The Manager	Bank/Building Society
Address	
Postcode	

Service user number

2	9	8	2	6	9
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Instruction to your Bank or Building Society

Please pay Aviva Wrap UK Limited Direct Debits from the account detailed in this Instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this instruction may remain with Aviva Wrap UK Limited and, if so, details will be passed electronically to my Bank/Building Society.

Name(s) of Account Holder(s)

Bank/Building Society account number

--	--	--	--	--	--	--	--

Branch Sort code

--	--	--	--	--	--

Reference

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Signature(s)

--

Date

Banks and Building Societies may not accept Direct Debit Instructions for some types of account.

This is not part of the Instruction to your Bank or Building Society and must be detached by Aviva Wrap UK Limited before submission to the Paying Bank.

Account holders address	Address
Preferred payment day (Between 1st and 28th)	Postcode

This guarantee should be detached and retained by the payer.

The Direct Debit Guarantee



- This Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits.
- If there are any changes to the amount, date or frequency of your Direct Debit Aviva Wrap UK Limited will notify you eight working days in advance of your account being debited or as otherwise agreed. If you request Aviva Wrap UK Limited to collect a payment, confirmation of the amount and date will be given to you at the time of the request.
- If an error is made in the payment of your Direct Debit, by Aviva Wrap UK Limited or your bank or building society, you are entitled to a full and immediate refund of the amount paid from your bank or building society.
 - If you receive a refund you are not entitled to, you must pay it back when Aviva Wrap UK Limited asks you to.
- You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify us.

| Retirement | Investments | Insurance | Health |

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