

Aviva Platform

Individual trustee(s) application form – Investment Portfolio



Please note: trustees must be UK based. However, there may be exceptions to the rule on trustee residency. Please contact us for more information.

How to fill in this form

This form should be completed by you as:

- a trust run by individual trustees
- 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. You can find the checklist at the end of this form. 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 along with the Adviser charge agreement (within this form) are important and you should take the time to read them. Please contact your 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
- certified copies of documentation used to verify the identity of the trustees

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

Trust Registration

If your policy is written into a trust, there may be an action to register the trust with HMRC. Registration is the trustee's responsibility. As part of our checks, we may ask to see evidence that this has been done. If you can't show us proof, this may delay your policy being processed. You can find more information about the Trust Registration Service on the **Government website**. If you're unsure about what you need to do, you should speak to a legal or financial adviser.

Section 1: Trust details

Name of Trust

Date trust created

Correspondence address

(should be the address of the trust or a trustee)

Town / city

Postcode

Country of establishment

Trustee details

If you are assigning an existing individual or joint Investment Portfolio into trust please complete the following section.
Any additional trustees should complete the full personal details section on the next page.

Forename	<input type="text"/>
Surname	<input type="text"/>
Forename(s)	<input type="text"/>
Existing Investment Portfolio account number	<input type="text"/>

Personal details

	Trustee one	Trustee two
Title (Mr / Mrs / Miss / Ms / Mx / Dr / Other – please state)	<input type="text"/>	<input type="text"/>
Forename(s)	<input type="text"/>	<input type="text"/>
Surname	<input type="text"/>	<input type="text"/>
Home address	<input type="text"/>	<input type="text"/>
Town / city	<input type="text"/>	<input type="text"/>
Post code	<input type="text"/>	<input type="text"/>
National insurance number	<input type="text"/>	<input type="text"/>
Date of birth	<input type="text"/>	<input type="text"/>
Nationality	<input type="text"/>	<input type="text"/>
Trustee's email address	<input type="text"/>	<input type="text"/>
Telephone number	<input type="text"/>	<input type="text"/>
Read only access to the Investment Portfolio required	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>

	Trustee three	Trustee four
Title (Mr / Mrs / Miss / Ms / Mx / Dr / Other – please state)	<input type="text"/>	<input type="text"/>
Forename(s)	<input type="text"/>	<input type="text"/>
Surname	<input type="text"/>	<input type="text"/>
Home address	<input type="text"/>	<input type="text"/>
Town / city	<input type="text"/>	<input type="text"/>
Post code	<input type="text"/>	<input type="text"/>
National insurance number	<input type="text"/>	<input type="text"/>
Date of birth	<input type="text"/>	<input type="text"/>
Nationality	<input type="text"/>	<input type="text"/>
Trustee's email address	<input type="text"/>	<input type="text"/>
Telephone number	<input type="text"/>	<input type="text"/>
Read only access to the Investment Portfolio required	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>

Section 2: Other information

Nature of trust (e.g. bare / flexible / discretionary / will)

Classes of beneficiaries – if flexible

Names of beneficiaries – if bare

Account name

Settlor – full name (please indicate if deceased)

Protector (if applicable)

Section 3: 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 explain how funds being invested have been acquired ("Please note at our discretion, we may request evidence of the Source of wealth"):

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

Frequency:

1st

7th

14th

21st

28th

month/year

If there's 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

Section 3: Payment details continued

Asset selection

Please select either model portfolio(s) or individual assets, or a selection of both.

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

Please continue on a separate sheet if required.

Transfer in (assets)

Please also complete an LF01071 transfer form.

Ceding scheme name

Ceding scheme
account number

Asset name	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 4: 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	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 5: Tax residency

Please confirm all the trustees on this application are resident for TAX PURPOSES in the United Kingdom.

(Please note: UK is England, Northern Ireland, Scotland and Wales)

If a trustee 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.

All trustees are resident for tax purposes in the UK only One or more trustees are resident elsewhere for tax purposes

If you answered one or more trustees are resident elsewhere above, please list the countries in which these trustees are 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.**

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

The UK Government has been and will be agreeing a number of inter-governmental agreements to share tax information, where applicable with the tax authorities of other jurisdictions. The requirement to collect certain information about each customer's tax arrangements is part of UK legislation and as a financial services company we are legally obliged to collect it. Please be aware that UK law also obliges us to provide certain information to the tax authorities regarding this application in the event that this section is not completed.

We are asking for your tax residency and tax ID numbers (where applicable) and will record this on our records now, but will only disclose this information to the relevant tax authorities if and when we are required to do so under UK law, and this may be exchanged with other tax authorities as required.

As stated above, tax regulations require us to collect certain information about each policyholder's tax status. In certain circumstances, we will be obliged to share this information with HM revenue & Customs (HMRC). The information is as follows:

- your name, address, jurisdiction of tax residence, Tax Identification Number (TIN) and date of birth
- your account/policy number and that the account/policy is with Aviva, the balance or value of your 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 you or your account/policy during the year.

In accordance with those agreements, the UK Government will also begin to receive information from Governments of other territories about non-UK.

If you have any questions about your tax residency status please talk to your financial adviser.

Section 6: 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 Investment Portfolio Terms and Conditions.

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 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.

Section 6: Adviser charge agreement continued

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 will have jurisdiction over any dispute arising from this agreement.

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 7: Financial crime

To verify your identity and 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. The search is not a credit check and your credit rating should not be affected.

Section 8: 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.

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).

Section 8: Privacy Notice continued

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 9: Client declaration (trust)

- We confirm all trustees are resident in the UK for tax purposes or if this is not the case that the non-UK resident trustee(s) has/have completed section 5.
- We confirm that as trustees we have satisfied ourselves that investments in the Investment Portfolio and the making of any fund switches or the taking of withdrawals are in accordance with the terms of the trust and do not breach any of the trust's powers.
- We declare and confirm that our powers under the above named trust are sufficiently wide to allow trust monies to be used in this manner.
- We will advise Aviva immediately of any material changes to the trust (e.g. change of trustee or their details).
- We will notify Aviva immediately if any information relating to this application changes in the future.
- We instruct Aviva to set up and pay initial adviser charges and/or ongoing adviser charges as we have agreed with our financial adviser, in accordance with the terms and conditions of this agreement.
- We agree that the Investment Portfolio Terms and Conditions apply to this investment.
- 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 and beneficiaries under the trust. We further confirm that we have provided this information to the beneficiaries.
- 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.

Please note: Aviva recommends that the trustees take independent legal advice if in doubt about their powers or the terms of the trust. Aviva can't be held responsible in such circumstances.

All trustees must sign and date this declaration.

We confirm we have read and agreed to the above Client declaration and have authority to act on behalf of this trust.

	First trustee	Second trustee
Print name	<input type="text"/>	<input type="text"/>
Signature	<input type="text"/>	<input type="text"/>
Date	<input type="text"/>	<input type="text"/>
	Third trustee	Fourth trustee
Print name	<input type="text"/>	<input type="text"/>
Signature	<input type="text"/>	<input type="text"/>
Date	<input type="text"/>	<input type="text"/>

Section 10: Adviser declaration

For adviser use only

Adviser name

Adviser reference number

Firm name

Firm reference number

I confirm that:

I am submitting this application for an 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 product and fund charges and demonstrates the effect of these charges on their investment
- (b) a key features document for the Investment Portfolio
- (c) Terms and conditions for the Investment Portfolio
- (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 from 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 trustees who've requested their login details a link so they can access all of the information online.

As the adviser, you'll get told the new Investment Portfolio account number and will be able to send us a single payment at this point. It's important when you do send us the payment, you quote the 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

Remember to include the following if applicable:

- individual direct debit instruction at the end of this form for regular contributions
- Aviva Platform Transfer in or Re-registration form – non Origo transfers only (LF01071)
- certified copy of the Trust Deed
- certified copies of documentation used to verify the trustees

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

