

# Company Pension/ Company Stakeholder



## Additional Category Employer Application

(where a separate payment arrangement is needed or for adding a new or changed category)

### Welcome

Thank you for choosing Company Pension/Company Stakeholder for your pension scheme. Our aims are to install your scheme in a smooth and timely manner, and provide you with high quality ongoing administration. By completing this form fully and accurately you will help us achieve our aims.

### How to complete this form

This application form confirms the basis and details of your category. In addition, it also contains a payroll questionnaire for contributions monitoring legislation. For auto-enrollment schemes only: This application form confirms the information required for us to update our records to reflect your chosen Auto Enrollment strategy. As you are using this scheme for auto enrollment then you will need to complete and sign the Automatic Enrollment Employer Agreement (SP03289) which we will send to you. Completing this form is a legislative requirement. It details the nature of the formal agreement between you and Aviva to ensure our auto enrollment process is being followed.

A copy of this completed application form together with a copy of the plan terms and conditions, will be available on request.

### Sections

- |                          |                           |                         |
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| 2. Category information  | 5. Administration         | 8. Authorised Signatory |
| 3. Payroll questionnaire | 6. Notes                  | 9. Direct Debit         |

### 1. Scheme information

Scheme Name

Scheme Number (if known)

TK/SP	0					
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## 2. Category information

Category Name   
(maximum of 30 characters)

Please confirm how the category name is to be displayed on policyholder documents.

Capitals  Title case  Lower case

Other, please specify .....

The above preference will also be applied to the Employer's name for this category.

What is the category start date?

Will this category bill independently?  Yes  No

If Yes answered above, who will receive the payment request notification for this category?

Or if No answered above, then where will this category be billing from?

Category Number (if known)  TK/SP  0

Category Type  Group Personal Pension  Group Stakeholder

Entity name

Entity registered number

Registered address   
  
 Postcode

Trading address if different from the above   
  
 Postcode

Annual benefit statements will be issued to members on the anniversary of the scheme, unless another month is stated here

### 3. Payroll questionnaire

We are required by The Pensions Regulator to monitor payments made by an employer or deducted from an employee's pay and passed on to the scheme. The details requested below will help us to confirm you're complying with the legislation. We need these details for each category of employment. For more information on this, please read the 'Information for employers making payments to personal/stakeholder plans', (SP56012).

You can select the most appropriate date for making payments to us to tie in with your own procedures, but you need to be aware that the legal due date for payments is the 22nd of the month after the calendar month in which you take them from employees' pay. This also applies to employer payments that you make for the same month and means the payment must be received by Aviva on or before the 22nd.

Where employees' payments are to be deducted from salary/wages, and you are not using the auto-enrolment process to enter them into the scheme, you should obtain written authorisation from all of the individuals concerned. You do not need to obtain this permission from employees if you are following the auto-enrolment rules. Please seek additional clarification if you are unsure if this applies.

How often do you pay the employees?

Every week       Every two weeks       Every four weeks       Every calendar month

Date you'll deduct the first contribution

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When will Aviva receive the contributions?

In the same month as they are deducted (Current month basis).

By the 22nd of the following calendar month (Previous month basis)

Will payments be raised using Salary Sacrifice?

Yes     No     Partial

#### Payment by Direct Debit

Payment is only taken once the payment information is provided to, and successfully processed by Aviva, and will not be taken before the preferred collection date in the payment month.

Note: Please also complete the Direct Debit at the back of this application.

**For Aviva use only** What is the Preferred Collection Date? (This must be between the 1st and 28th)

#### 4. Investment information

Category retirement age  (This is when you expect most employees will choose to retire. Minimum retirement age is age.) The minimum retirement age is currently 55. From 6 April 2028 this will be age 57.

The default fund strategy is My Future Focus - if you wish to use an alternative default fund strategy, refer to our Investment Proposition Guide and enter the details below:

The My Future Focus range offers ready-made lifestage approaches that target drawdown, annuity and cash lump sum outcomes. These options are available to employees in addition to any investment options you choose for your scheme. For more information please refer to our Investment Proposition Guide.

If you have any alternative bespoke lifestages you'd like to offer your employees please list them below:

**Please note:** You will need to speak to a financial adviser to choose any bespoke investment option, or options for your scheme. You are responsible to ensure your default bespoke lifestage approach and any alternative bespoke lifestage approaches are reviewed by a financial adviser every 3 years, failure to do so is a breach of your auto enrolment responsibilities.

## 5. Administration

Category contact details.

Title (Mr, Mrs, Miss, Dr, Other)

Point of contact name

Aviva may need to contact you with personal information on your members. Our method of communication is via our secure email service, details of which we can provide to you during your scheme installation.

We'll send alerts and notifications about your payments and any opt out requests we may receive from your employees to the email address you provide. This can be a group or personal email address. If you're entering an individual's email address rather than a group account, you'll need to add their details below.

### Note:

- Scheme Administrator access authorises any individual employed by the company/agency of the appointed adviser (who is acting as Scheme Administrator responsible for administering your scheme) access to the Aviva online services.
- It's recommended that at least one deputy is nominated for holidays and illness.

Title (Mr, Mrs, Miss, Dr, Other)

Full Name

Email address

Company Name

Company Address

<input type="text"/>	
<input type="text"/>	Postcode

Phone Number

Title (Mr, Mrs, Miss, Dr, Other)

Full Name

Email address

Company Name

Company Address

<input type="text"/>	
<input type="text"/>	Postcode

Phone Number

Please note only one email address can receive the payment request notification (per payment source).

If you need additional space, please photocopy this page of the form. Any individual requiring access must be listed or subsequently notified to us in writing.

## 6. Notes

This section is a free format note section for any additional relevant information to be captured.

## 7. Terms and Conditions for electronic services for employers or financial advisers

### Scope

Save for the Auto-Enrolment Manager for Employers (AME), these terms and conditions apply to all/any of our electronic services for which you have registered or will register in the future. There are separate terms of use governing our Auto-Enrolment Manager for Employers (AME). You will be asked to accept the AME terms of use if you apply to use AME.

We may notify you of and ask you to accept any additional terms and conditions online and/or by revisions to this document.

### Security

Access to our online services is controlled by each user having a unique Online Account Number and PIN (or other security identification data or token).

If you register for our electronic services, then you should provide us with an e-mail address to which we shall forward the password-protected communication. If you need to change the e-mail address to which password-protected communications are to be sent, then you must do so in writing. You also agree to ensure a virus-free scan is performed before any data is sent to us using a current version of software suitable for this purpose.

We will provide a sealed password for the authorised persons nominated. We will require them to use this password when sending password-protected data to us and to access data provided by us. We undertake to use the password when sending details to the named individual which we deem to be sensitive. You authorise us to treat password-protected instructions sent to us in this way as being instructions from you. We accept no liability for any losses arising in following these instructions.

You are responsible for ensuring that each user within your organisation protects his/her own PIN (or other security identification data, password or token) and is under an obligation:

- not to share Online Account Number and PINs (or other security identification data, password or token);
- not to leave a computer (which, for the purposes of this document, includes portable computing devices) unattended whilst the browser, e-mail or other document is active;
- not to allow a session to be accessed by anyone else; and
- to destroy or securely store any information printed off.

If a computer on which any of our services have been used is sold or leaves your control for any reason you must take all reasonable steps to ensure that all our data, including temporary Internet (cached) files are removed.

You are responsible for ensuring that any software used to access our online services has adequate security features to protect your Online Account Number and PIN (or other security identification data, password or token) and in particular you must ensure that such security features are in place whenever you leave your computer unattended.

We will accept no liability for any consequential loss or damage, however it may be caused, arising from the use or operation of the electronic media or the password protection or the document/information which you download from them.

We will not accept liability for any misuse of any password-protected information forwarded to you.

### Data Protection - data about you

For each online session, we will gather information relating to the identity of the user, the time of use, and the way in which the user

has navigated through our website and our online services. This information may be used for administrative or security purposes.

### Data Protection - member data

If you have registered for our online services we will allow you access to Scheme Level and Category Level data relating to the Pension Plan(s) for which you are designated Employer.

To comply with Data Protection guidance we require you to check that you still have authority to act on behalf of any members of the pension plan(s).

The data held on our systems belongs to Aviva. You are only authorised to use it in connection with the administration of your pension plan(s).

If you access or obtain data to which you are not entitled, due to our error or yours, you have no authority to use it and must notify us immediately. Data to which you are not entitled includes, in particular, data relating to an individual who is no longer or never has been a member of your pension plan or personal data about a member of your plan which does not relate exclusively to information concerning their membership or contributions paid by or for them to the pension plan.

You agree not to send personal data to us by electronic media, except as a password protected attached or document, or if it's via a secure platform provided by and/or authorised by Aviva.

You promise to pay us any losses or expenses we suffer which is attributable to a breach of your responsibilities under the Data Protection Law.

### Data Protection Notice and use of data

1. For the purposes of this section, the following expressions shall have the meanings below:
  - 1.1 Controller, Data Subject, Personal Data Breach, Process/ Processing and Supervisory Authority shall have the same meaning as in the Data Protection Laws.
  - 1.2 Data Protection Laws means the Data Protection Act 2018, and the General Data Protection Regulations EU 2016/679 (GDPR) in such form as incorporated into the law of England and Wales, Scotland and Northern Ireland by virtue of the European (Withdrawal) Act 2018 and any regulations thereunder and any other Applicable Laws, rules, regulations, regulatory guidance, regulatory requirements from time to time, relating to the processing of personal data and privacy in England and Wales, Scotland and Northern Ireland.
  - 1.3 Personal Data means any personal data, as defined in the Data Protection Laws, disclosed by one party (Discloser) to the other party (Recipient) in the performance of that party's rights or obligations under this Employer Application.
2. The parties acknowledge that each party will act as a separate and independent Controller in relation to the Personal Data which they Process pursuant to the administration of the Pension Scheme.
3. The parties shall each comply with their respective obligations under the Data Protection Laws in respect of their Processing of Personal Data.
4. Where acting as a Discloser, each party shall:
  - 4.1 only disclose the Personal Data for one or more defined purposes which are consistent with the terms of the Agreement (other than to comply with a requirement of applicable law to which a party is subject) ("Purposes");

## 7. Terms and Conditions for electronic services for employers or financial advisers (*continued*)

- 4.2 provide a fair processing notice to those Data Subject(s) whose Personal Data are to be disclosed to a Recipient under this Agreement, informing them that their Personal Data will be disclosed to the Recipient for the Purposes;
- 4.3 obtain the necessary consents or authorisations required to permit the disclosure of such Personal Data to the Recipient for the Purposes.
5. Where acting as a Recipient, each party shall notify the Discloser without undue delay following any Personal Data Breach involving the Personal Data and each party shall co-operate with the other, to the extent reasonably requested, in relation to any notifications to Supervisory Authorities or to Data Subjects which are required following a Personal Data Breach involving the Personal Data.
6. Each party shall co-operate with the other, to the extent reasonably requested, in relation to:
  - 6.1 any other communication from a Data Subject concerning the Processing of their Personal Data including requests to exercise their rights; and
  - 6.2 any communication from a Supervisory Authority concerning the Processing of Personal Data, or compliance with the Data Protection Laws.

### Additional users

You may request additional user access for new or different members of your organisation at any time. Requests may be made by letter, fax, e-mail or telephone, but must always be confirmed in writing by the authorised signatory (see below).

We will contact you for authentication of the request. Subject to any other checks we consider necessary the additional user(s) will be set up.

We will send you a list of current authorised users for your organisation on your request.

### When a user leaves your organisation

For our mutual protection, when a user leaves your organisation or you withdraw the authorisation of an administrator you must telephone our Call Centre immediately so that we can disable their access to our services.

You must also notify us in writing by fax, e-mail or post within 24 hours of the user leaving your organisation (or leaving your premises if earlier).

We will acknowledge revocation of a user's access by sending you a confirmation communication.

We will not accept liability for any loss or damage suffered by you or your clients arising from continued access to our online services after a user has left your organisation and has ceased to act with your authority.

### Revoking access

If your organisation ceases to be the designated employer for a pension plan we will revoke authority to access our online services for all your users.

We will also revoke any Online Account Number or registration as a user if not used for a period of 13 months.

### Availability/alteration of services

Availability of our online services depends on our own systems availability and where applicable normal Internet availability. We will not accept liability for unavailability of the system for any reason.

We may amend, extend or withdraw any service at any time.

## Additional conditions for policy information

### 1. Access Rules

The information can be accessed only by policy number or plan name (as appropriate).

### 2. Information Available

The details available under each policy are for illustrative purposes only. Formal surrender/maturity illustrations or quotations should be requested through your Financial Adviser.

The date when the information was last updated will always be shown on the screen or document.

You or your designated representatives will be responsible for ensuring the confidentiality of any password-protected information. All password-protected information must be used only for the purposes of administration of the pension plan and you will be responsible for any misuse of password-protected personal data communicated to you.

If you register for our electronic services, you will use the standard format outlined, any change to the format must be agreed in advance.

If you register for our electronic services, you agree to use software and password(s) specified by us before sending data to us. Use of any other software must be agreed, in writing, in advance of the data being sent to us.

### 3. Errors and Omissions

It is your responsibility to ensure the employee details you send us are accurate and up to date. If you become aware that any information is not accurate or up to date you must notify us immediately.

We endeavour to keep our records up to date at all times. However, there may be changes of which we have not been notified. If you access a record or document which contains errors or omissions please tell us immediately.

The details available are for illustrative purposes only and should not be relied upon in isolation. We will not accept liability for any claims by you and/or your clients for damages or loss arising from an inaccurate record where the inaccuracies are due to your error (whether such error is negligent or otherwise).

Formal illustrations are available on request.

### 4. Compatibility

We give no warranty that any of the media options available under our electronic services will be compatible with the hardware or software on which you will download or process the password-protected information and can give no guarantees over the level of security of the methods and password(s) used.

### 5. Terms and conditions

#### Employer's agreement

I agree to pay until further notice the employer's payments, if any, in respect of each of the members. This will provide benefits for the members under the Aviva Personal Pension Scheme or Aviva Stakeholder Pension Scheme ("the scheme").

I understand that such benefits are payable subject to, and in accordance with the terms of the policy or policies issued to each of the members, and in accordance with the Rules of the scheme. Copies of our member terms and conditions and key features documents are available on request.



## 7. Terms and Conditions for electronic services for employers or financial advisers (*continued*)

The Rules of the scheme are amended from time to time and I have no rights, charge or lien in respect of benefits payable under the scheme.

I can confirm that I have complied with my responsibilities under Data Protection Law, and have a legal basis to share information with Aviva. Members of the group personal pension scheme are aware and consent to their Personal Data being shared between me, or a person acting on my behalf and Aviva for the purposes of providing and administering the group personal pension scheme. Any member of a scheme who has not given their permission, or who has withdrawn their permission for such data access and transfer, will either never become a member or will immediately leave the group personal pension scheme.

Where applicable, I have received or will obtain the necessary authorisation from the members and I agree to deduct the agreed contributions from their earnings, after deductions of basic rate tax relief (if applicable), and to forward them promptly to Aviva.

The employer's schedule gives details for individual members and forms part of this application.

This agreement will end for any employee who leaves our employment, opts out or on an earlier date agreed with the employee. In either case, I will notify Aviva accordingly.

I have received and accepted these Terms and Conditions for online services on behalf of the whole organisation I represent.

I confirm that any employees authorised may have access to our online services or other electronic services should they choose to register in the future.

Where employee payments are made to the Company Pension or Company Stakeholder, I confirm that the employee's consent has been obtained to join the scheme and deduct payments from salary, and that this consent will also be obtained for any future new entrants.

## 8. Authorised Signatory

The authorised signatory must be authorised to enter into a legal agreement with us.

Full name of authorised official

*Please use BLOCK CAPITALS*

Position (for example, DIRECTOR)

*Please use BLOCK CAPITALS*

Signature

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

## 9. Authorised Signatory (where the employer is a UK branch of an overseas company)

Full name of authorised official

*Please use BLOCK CAPITALS*

Position (for example, DIRECTOR)

*Please use BLOCK CAPITALS*

Signature

Signed as an authorised signatory  
on behalf of

*Please state the name of  
the PARENT COMPANY*

Date

D	D	M	M	Y	Y	Y	Y
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INSTRUCTION TO YOUR BANK OR BUILDING SOCIETY  
TO PAY BY DIRECT DEBIT



Aviva Life & Pensions UK Limited,  
Wellington Row, York, YO90 1WR

Please fill in the whole form using a ball point pen and send it to: Aviva Life & Pensions UK Limited, PO Box 520, Norwich, NR1 3WG.

Name and full postal address of your Bank or Building society

To The Manager	Bank/Building Society
Address	
Postcode	

Service user number

4	0	9	6	6	2
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Instruction to your Bank or Building Society

Please pay Aviva Life & Pensions 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 Life & Pensions UK Limited and, if so, details will be passed electronically to my Bank/Building Society.

Signature(s)

Date

Name(s) of Account Holder(s)

Bank/Building Society account number

Branch Sort code

Reference

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 Life & Pensions UK Limited before submission to the Paying Bank.**

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

**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 Life & Pensions UK Limited will notify you five working days in advance of your account being debited or as otherwise agreed. If you request Aviva Life & Pensions 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 Life & Pensions 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 Life & Pensions 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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[aviva.co.uk](https://www.aviva.co.uk)

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