



For use with employers, advisers, and trustees only.

# Due Diligence Information

## About this form

As part of the Money Laundering, Terrorist Financing and Transfer of Funds Regulation 2017, we must complete due diligence to understand who we are providing a pension scheme to. We will need information on the companies that will be using the scheme alongside bank accounts that contributions will be collected from. We may need to ask you further questions based on the information you provide.

Please note this form is not an application for a new pension scheme.

If you need any further information on how to complete this form, please refer to the FAQ section at the end. Once completed, please return the form to your usual Aviva pension scheme contact or [staging@aviva.com](mailto:staging@aviva.com).

Our email system and the way we deal with data internally is secure. However, we are unable to ensure the security of emails before they reach us. Please consider this when sending us sensitive information.

## 1. Company Details

Please provide details of all employers that will use the pension scheme with Aviva. If you need descriptions for the terms used below, please refer to the FAQs at the end of this form.

If you need to add details of more than 5 employers, please send the additional details to your usual Aviva pension scheme contact or [staging@aviva.com](mailto:staging@aviva.com) when returning your completed form.

### Full Company Name - Employer 1

Trading Name (if different)

Company Type

Company Registration Number (if applicable)

Registration Body (if applicable)

Country of Registration

Primary Trading Address

Day to Day Business Activities

**Full Company Name - Employer 2**

Trading Name (if different)

Company Type

Company Registration Number (if applicable)

Registration Body (if applicable)

Country of Registration

Primary Trading Address

Day to Day Business Activities

**Full Company Name - Employer 3**

Trading Name (if different)

Company Type

Company Registration Number (if applicable)

Registration Body (if applicable)

Country of Registration

Primary Trading Address

Day to Day Business Activities

**Full Company Name - Employer 4**

Trading Name (if different)

Company Type

Company Registration Number (if applicable)

Registration Body (if applicable)

Country of Registration

Primary Trading Address

Day to Day Business Activities

**Full Company Name - Employer 5**

Trading Name (if different)

Company Type

Company Registration Number (if applicable)

Registration Body (if applicable)

Country of Registration

Primary Trading Address

Day to Day Business Activities

## 2. Ownership and/or Controllorship

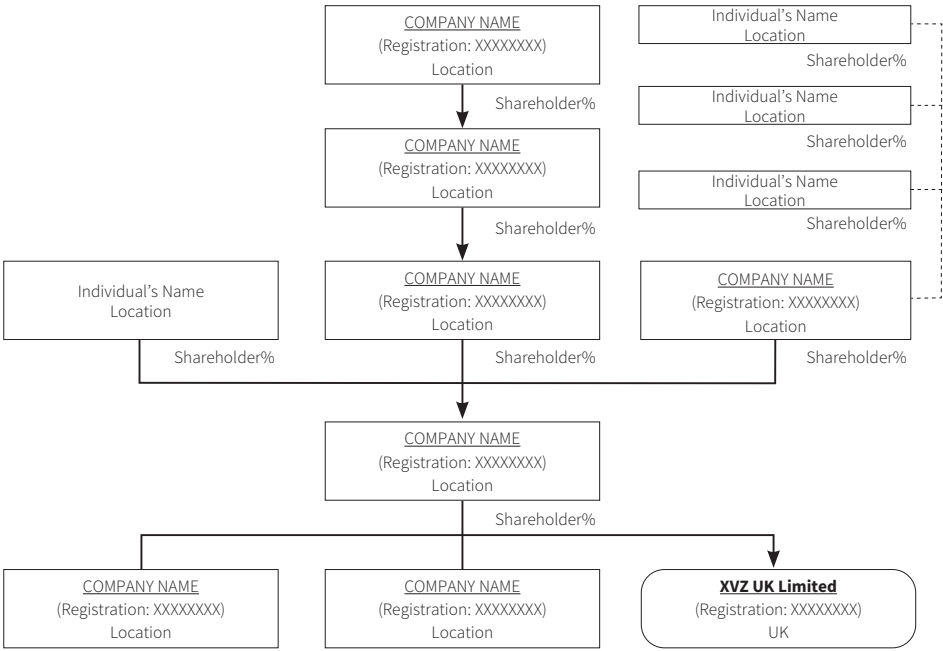
Please provide details of ownership and/or controllership as requested below. If you need to add details for more than 4 individuals, please send the additional details to your usual Aviva pension scheme contact or [staging@aviva.com](mailto:staging@aviva.com) when returning your completed form.

If there are any planned changes of ownership and/or controllership throughout any of the structure **within the next 6 months**, please also provide full details of the new structure in addition to details of the current structure.

**For companies with Share Capital and/or Ownership e.g. Private Limited Companies, Limited Liability Partnerships**

Please provide a full corporate structure including the customer entity(ies) and the full chain of ownership/controllership up to and including the ultimate beneficial owner (UBO).

Please ensure this clearly shows Company Number, Country of Registration, and percentage of shares held as per the example below.



☐ I have provided a Company Structure Chart.

As part of our customer due diligence, we need to understand who ultimately owns the employers that will use the pension scheme and whether there is anyone that meets the definition of being an ultimate beneficial owner.<sup>1</sup>

Please fill out the following, providing details of all individuals meeting the below definition of a UBO.

|                     |  |                                     |   |
|---------------------|--|-------------------------------------|---|
| How are they a UBO? |  | % of your business owned by the UBO | % |
| Full Name           |  | Date of Birth                       |   |
| Nationality         |  | Country of Residence                |   |

|                     |  |                                     |   |
|---------------------|--|-------------------------------------|---|
| How are they a UBO? |  | % of your business owned by the UBO | % |
| Full Name           |  | Date of Birth                       |   |
| Nationality         |  | Country of Residence                |   |

|                     |  |                                     |   |
|---------------------|--|-------------------------------------|---|
| How are they a UBO? |  | % of your business owned by the UBO | % |
| Full Name           |  | Date of Birth                       |   |
| Nationality         |  | Country of Residence                |   |

|                     |  |                                     |   |
|---------------------|--|-------------------------------------|---|
| How are they a UBO? |  | % of your business owned by the UBO | % |
| Full Name           |  | Date of Birth                       |   |
| Nationality         |  | Country of Residence                |   |

#### For companies without Share Capital and/or Ownership e.g. Charity, Society, Association

Where a company does not have share capital, we will seek to understand who the key controllers<sup>2</sup> are. Key controllers include members of the board of directors or equivalent (e.g., management committee, trustees of a charity, Chair of charity), senior persons responsible for the operations of the corporate organisation and other relevant persons of control.

|             |  |                      |  |
|-------------|--|----------------------|--|
| Role        |  |                      |  |
| Full Name   |  | Date of Birth        |  |
| Nationality |  | Country of Residence |  |

|             |  |                      |  |
|-------------|--|----------------------|--|
| Role        |  |                      |  |
| Full Name   |  | Date of Birth        |  |
| Nationality |  | Country of Residence |  |

|             |  |                      |  |
|-------------|--|----------------------|--|
| Role        |  |                      |  |
| Full Name   |  | Date of Birth        |  |
| Nationality |  | Country of Residence |  |

|             |  |                      |  |
|-------------|--|----------------------|--|
| Role        |  |                      |  |
| Full Name   |  | Date of Birth        |  |
| Nationality |  | Country of Residence |  |

<sup>1</sup> In respect of corporate entities (including Limited Liability Partnerships ("LLPs")), the beneficial owners are individuals that:

- own or control more than 25% (directly or indirectly) of the shares or voting rights of the company; or
- otherwise own or control the customer.

<sup>2</sup> In respect of entities without share capital or ownership the beneficial owner equivalents are individuals that:

- are entitled to or control (directly or indirectly) more than 25% share of the capital or profits or more than 25% of the voting rights; or
- exercise ultimate control over the management of the company.

### 3. Bank Accounts

Please confirm the bank account details for the accounts you will be making contributions from. Bank accounts must be UK-based.

**If a bank account is in a different name to any of the companies you have listed in Section 1, please provide a rationale for this.**

|                      |                      |
|----------------------|----------------------|
| Bank Account Name:   | Bank Account Name:   |
| Bank Provider:       | Bank Provider:       |
| Sort Code:           | Sort Code:           |
| Bank Account Number: | Bank Account Number: |

|                      |                      |
|----------------------|----------------------|
| Bank Account Name:   | Bank Account Name:   |
| Bank Provider:       | Bank Provider:       |
| Sort Code:           | Sort Code:           |
| Bank Account Number: | Bank Account Number: |

Further information:

If you need to add details of more than 4 bank accounts, please send the additional details to your usual Aviva pension scheme contact or [staging@aviva.com](mailto:staging@aviva.com) when returning your completed form.

|  |  |
|--|--|
| <b>Key Terminology</b>                               | <ul style="list-style-type: none"> <li>Employers using the scheme with Aviva: This refers to any company that directly employs people who will be joining the scheme. This would be any company noted on the contract of employment. Where the contract is under a company group, please check which entity within that group is employing people.</li> <li>Company Type: e.g. Limited Company (C), Public Limited Company (PLC), Charity, Society, Association</li> <li>Trading Address: Trading address refers to the primary location in which the company and its employees physically operate from day-to-day</li> <li>Day to Day Business Activities: This can also be called the nature of business, and should include and consider what the day-to-day activities of the company and its employees are, the industries the company operates within and how business is advertised/generated.</li> </ul>   |
| <b>Trust</b>   | <p>Where your Ultimate Beneficial Owner(s) is a trust arrangement, details of all named individuals for each role type as listed below will be required. Where there is more than one trust, this must be provided for each trust where applicable and meets the definition of Ultimate Beneficial Owner.</p> <ul style="list-style-type: none"> <li>Settlor: The person who has set up the trust</li> <li>Beneficiary: Person(s) benefitting by proceeds/income paid from the policy</li> <li>Beneficial Owner(s) of the Beneficiary: Where the beneficiary is a legal person (such as an Entity, e.g., a company or a trust) the beneficial owners (that is the natural persons) of that Entity</li> <li>Beneficiary class: Whilst the trust may not always contain named individuals (who can change over time) the trust deed will contain the class of beneficiary and this should be recorded</li> <li>Trustee: Acts on behalf of the trust and can control the fund</li> <li>The Protector: A person or group of people (not the settlor, beneficiary, or trustee) who are appointed to exercise one or more powers affecting a trust and the interest of the beneficiaries.</li> <li>Trust Deed: We also require a copy of the trust deed. A trust letter can be accepted in lieu of a copy of the trust deed. Trust letters must contain all of the information outlined above and should only be provided by trustees that are regulated e.g. by the FCA or equivalent.</li> </ul> |
| <b>Private Equity Fund</b>                           | <p>Where your corporate structure leads to a Limited Partnership (Involving a General Partner &amp; Limited Partner) or similar structure involving private equity investment, which is managed by a regulated Fund Manager, the fund manager can provide us with a letter of representation outlining the beneficial ownership position. This letter is suitable for use where the fund is organised as a Limited Partnership or multiple Limited Partnerships. An example letter can be provided on request to assist you.</p>   |
| <b>Sole Trader/<br/>Traditional<br/>Partnerships</b> | <p>We will contact you separately for additional requirements.</p>   |

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