For financial advisers only | Aegon Retirement Choices and One Retirement

Financial adviser application form

Use this form to set up your firm and add or change individual advisers. You can also use it to change the bank details for your firm. Only use this form if you've logged in using your email address rather than a numerical user ID.

How to complete this form

If you want to do more than one of the options below, please complete a separate form for each one:

- Set up a directly authorised firm/ network – complete sections 1, 3, 4 and 5.
- Change bank details complete sections 1, 3 and 5.
- Remove a financial adviser, complete sections 1, 2 and 5.
- Appoint an new financial adviser complete sections 1, 4 and 5.

An FCA registered director, partner or sole trader, as appropriate, should sign this form.

Please complete this form by typing in the boxes, including the signature box(es) and emailing it to: clientsupport@arc.aegon.co.uk

Please don't email any personal, financial or banking information as it's not a secure method of communication. If you have a dedicated secure email service with Aegon, for example Unipass Mailock, please use this service.

Which proposition is this request for?

☐ Aegon Retirement Choices (ARC)

☐ One Retirement

1. Firm details

Name of firm

Financial Services Register number

Firm address

Postcode

Contact name

Contact number

Email

Is your firm part of a network?

☐ No

☐ Yes – please provide the following details:

Name of network

Financial Services Register number

2. Remove an individual financial adviser

Financial adviser name

Financial Services Register number

You will also need to give us instructions on what is to happen with this financial adviser's clients. If some or all of their clients are to be transferred to another financial adviser within the same company please complete the Adviser bulk transfer request form.

3. Details for remuneration payments

3.1 Is this a change to existing bank details?

- [ ] No – please provide details below
- [ ] Yes – please detail the existing bank details below and complete 3.2

Name of bank/building society

Branch

Address

Postcode

Name of firm to receive the payment(s)

Account name

Branch sort code

– –

Account number

3.2 New bank details

Name of bank/building society

Branch

Address

Postcode

Name of firm to receive the payment

Branch sort code

– –

Account number

3.3 Where you're part of a network, should the remuneration payments be paid to the network or firm?

- [ ] Network
- [ ] Firm

4. ARC and/or One Retirement access

So we can set up the appropriate level of access you need to confirm the permissions you want allocated to the user(s).

Adviser view – someone who is a qualified financial adviser who only needs to view information.

Adviser transact – someone who is a qualified financial adviser and needs to be able to transact on clients' products.

User administration – allows the user to register new users, search for and update existing users in the firm and/or branches they have access to.

Scheme adviser – someone who provides advice to an employer in relation to a workplace savings scheme.

The following permissions are also available, but the person(s) in your firm with user administration permission can set these up or add these other permissions to an existing user online.

Non-adviser view – someone who acts on behalf of an adviser, for example a paraplanner who only needs to view information.

Non-adviser transact – someone who acts on behalf of an adviser, for example a paraplanner who needs to be able to transact on behalf of advisers.

Firm view – allows the user to view data at a firm level for the linked branches, such as total value held on platform, number of clients, total charges and new business figures.

Model portfolio manager – allows access to model portfolio manager to create, maintain and link clients to models.

User administration – if you're setting up a new firm we suggest you add a minimum of 2 users with the user administration permission.

Title (Mr, Mrs etc)	Name	Date of birth* (dd/mm/yyyy)	Email address

*Required for security

4. ARC and/or One Retirement access – continued

Please use this section to detail any new financial advisers.

Please note that a user with user administrator permissions can set up all non-adviser transact roles and permissions.

Registered individuals (RIs)

Title (Mr, Mrs etc)	Name	Date of birth* (dd/mm/yyyy)	Email address Each adviser must have their own unique email address.	Permissions			
				Adviser view	Adviser transact	User admin	Scheme adviser

*Required for security

Complete the permissions each adviser needs. Indicate whether they need view or transact access and tick the relevant column if any of the other permissions are required.

5. Declaration

5.1 I/We apply to use the ARC platform or access One Retirement online, whichever applies.

5.2 Where I'm/we're setting up a new firm or appointing an individual financial adviser, we confirm that the relevant Terms of Business will continue to apply.

- Aegon Retirement Choices and Aegon Platform Terms of Business, or
- Terms of business for One Retirement.

5.3 I'll/We'll read and explain to our client(s) the ARC terms and conditions or the One Retirement terms and conditions, whichever is applicable.

5.4 I/We agree that I'll/we'll only allow authorised employees and representatives of the firm to use the ARC platform/access One Retirement subject to the relevant Terms of business.

5.5 I'll/We'll make sure that employees or representatives no longer authorised or who have left the firm won't have access to the ARC platform/One Retirement as detailed in the relevant Terms of business.

You should sign and date this form by typing your full name in the signature box below and typing the date in the date box. Your typed name in the signature box will be your signature. When you sign the form, by typing your name in this box, you are making the declarations and confirming that you wish to proceed with the instructions in this form.

Date (dd/mm/yyyy)

Signature (type name here)

✗ ✗

Name of director/partner/sole trader

Position

Contact number

6. Aegon team – for internal use only

Platform Consultant

Sales contact

AEGON