

Investment Funds Transfer Application

SELF-DIRECTED

Explicit Pricing

The disclosure documentation applicable to this transaction is **0 4 1 5 S D E**

This form is to be used for Self-directed clients only, on Explicit Pricing.

Please ensure that this form is used with the correct Transfer Authority. On receipt of any assets re-registered from your previous provider it will be Cofunds normal business practice (and by signing this application, you agree to such practice) to convert to the commission-free equivalent available to your intermediary. If a commission-free share class is not available, we will be unable to transfer the assets to Cofunds.

Please complete this application form using black ink in BLOCK CAPITALS and return to: Cofunds Limited, PO Box 1103, Chelmsford, CM99 2XY

1 Intermediary Details (For intermediary use only)

You will require a Cofunds Authorisation Code before being able to transact business. If you do not include this we will not be able to process this application. Please note: our system will be updated to link the client to this Intermediary Authorisation Code.

Cofunds Intermediary Authorisation Code

Intermediary's Client/Deal Ref.

If you need to keep a record of the Confirmation of Verification of Identity for your client, there is a standalone form available on the Cofunds website.

2 Personal/Company Details (Please complete this section in full)

Primary holder. Please see Section 5 for joint holders.

Existing Cofunds Client Reference

I have not received advice from a financial adviser in relation to this investment.

Mr/Mrs/Ms/Miss/Other

Surname

Full first name(s)

or company name

Male Female Date of Birth / /

For individual investors, please read the following sentence and confirm by ticking the box if applicable. If you can't confirm and tick the box, please complete the Individual Self-Certification Form that can be issued to you by your intermediary.

I confirm that I am solely UK resident for tax purposes and not a US citizen

Please note that it's a requirement for all joint holders to complete this information.

For corporate investors please ensure that you have completed the Entity Self-Certification Form that can be issued to you by your intermediary.

For corporate investors please ensure you have completed all the signatory requirements in Section 9.

Current permanent residential address (if registering in the name of a company, please provide the company address here)

Postcode

Time at this address

 yrs mths

If at current address for less than two years, please supply previous address and time there

Postcode

Time at this address

 yrs mths

If more than one previous address in the last two years, please provide full details including the time at each address on a separate sheet of paper and staple securely to this application form.

3 Segmentation (For intermediary use only)

Only complete this section if the client is not currently segmented, or if you wish to change their segment. All clients trading through Cofunds must be assigned to a segment.

Please note: we will only update the segment of the primary holder. If you wish to update the segments of any other holders you may do so online by visiting the 'Client Servicing' section of the Cofunds website.

Please enter the full name of the segment as known by Cofunds using BLOCK CAPITALS

We will update your client's segment to the one entered above. Please note: if you change your client's segment this may alter the charge model your client is assigned to.

If the chosen segment has a Fund Sale Instruction applied your client must be made aware of this. Should you wish to take a charge, please ensure that the applicable charge model is assigned to the segment entered. Please note: the client will only be assigned to the charge model where it is set as mandatory for the chosen segment.

4 Designations (You can designate an account here using a maximum of eight alphanumeric characters)

This section is optional.

If you wish to specify a unique designation for this account please ensure that the designation reference does not make a meaningful word. Only the named applicants of this investment will be recognised as beneficial owners. If this section is not completed we will not designate this account. If you are funding this investment from a Cofunds Cash Account please ensure this designation is identical to that of the cash account.

5 Joint Holders (You can nominate up to two additional holders)

Please include the full name and address of each holder. All correspondence will be sent to the primary holder. Joint holders must have the same investment service as the primary holder.

Joint Holders: Please list each holder's full name on the Transfer Authority Form. If any holder's name has changed (by marriage for example), please contact your intermediary.
Signatures: Please note that all joint holders must sign the Transfer Authority Form. Unfortunately we are unable to accept the form without relevant signatures.

Second holder

Mr/Mrs/Ms/Miss/Other
Surname
Full first name(s)
Current permanent residential address
Postcode
Time at this address <input type="text"/> yrs <input type="text"/> mths
I confirm that I am solely UK resident for tax purposes and not a US citizen <input type="checkbox"/>

Male Female Date of Birth / /

If at current address for less than two years, please supply previous address and time there

Postcode

Time at this address yrs mths

If more than one previous address in the last two years, please provide full details including the time at each address on a separate sheet of paper and staple securely to this application form.

Third holder

Mr/Mrs/Ms/Miss/Other
Surname
Full first name(s)
Current permanent residential address
Postcode
Time at this address <input type="text"/> yrs <input type="text"/> mths
I confirm that I am solely UK resident for tax purposes and not a US citizen <input type="checkbox"/>

Male Female Date of Birth / /

If at current address for less than two years, please supply previous address and time there

Postcode

Time at this address yrs mths

If more than one previous address in the last two years, please provide full details including the time at each address on a separate sheet of paper and staple securely to this application form.

6 Nominated Bank Account

Complete this section if you have not provided us with your nominated bank account details, or would like to change the details we hold for you.

You will need to verify this bank account before it can be used alongside your Cofunds account. To verify your account, please send us a void signed cheque or a bank statement within the last three months.

You can change your nominated bank account at any time, however you can only nominate one.

Name of account holder
Bank or Building Society name and address
Postcode

Branch Sort Code - -

Bank/Building Society Account Number

Building Society Roll Number

7 Income

Complete this section if you have requested income units/shares ('INC'). The option you choose will be applied to all income units/shares you hold within this product unless 'Retain in fund' is selected. If you have selected the option to 'Retain in fund' this will only be applied to the commission-free share class funds you hold, any commission-included share class funds you hold will continue to pay income in accordance with your previous instruction.

Please note: if you are taking regular withdrawals from your cash account you may only select the 'Cofunds Cash Account' or 'Retain in fund' options.

- Consolidated monthly income**
Income generated from your investment funds will be consolidated into your cash account and paid to your nominated bank account on a monthly basis.
- Cofunds Cash Account**
Income generated will be paid into your cash account to be held on platform for withdrawals or future investment.
- Retain in fund**
Income generated from this investment will be retained in the fund.

If you do not already hold income units/shares within this product and you do not tick one of these boxes we will select the 'Retain in fund' option by default. If you already hold income units/shares within this product and you do not tick one of these boxes we will apply your existing income option to all funds within this product.

Please note: for an existing client, if new distribution income instructions are not provided on this application, distributions will continue to be paid as per existing arrangements while any conversion is taking place. Any changes made to an existing income mandate will come into effect once the conversion is complete.

8 Service Charge (For intermediary use only)

This section is used to agree a Service Charge allowing payments to be made to you, the intermediary. Please ensure that the charge model applies to the segment the client is being assigned to.

Service Charge model name	Annual Service Charge* %	VAT** <input type="checkbox"/> Yes <input type="checkbox"/> No
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* Taken monthly. If you have a tiered Service Charge you should enter the highest possible percentage.

**Cofunds will use the VAT rate that is in place at the end of the month for which the calculation is being performed.

9 Declaration and Authorisation

I confirm that:

I have viewed the Terms and Conditions of the Cofunds Platform (Self-directed Explicit Pricing) and by signing this application form I agree to be bound by them.

I have viewed the relevant product Key Features and Fund specific information and/or Key Investor Information Documents (KIID) relating to my investment. A copy of the KIID can be found via the following link (if you have difficulty locating your fund, please contact your intermediary):

https://www.cofunds.co.uk/Investors/Reports_and_Accounts_Investors.aspx

I understand that there are fees (the Cofunds Platform Charges) for the use of Cofunds services. I authorise Cofunds to collect these fees from my Cofunds Cash Account. If there is insufficient money in my account, I authorise Cofunds to sell enough of my platform assets to pay these fees in accordance with the 'Our Charges' section of the Terms and Conditions of the Cofunds Platform (Self-directed Explicit Pricing).

I understand that the Terms and Conditions of the Cofunds Platform (Self-directed Explicit Pricing) are the standard terms upon which Cofunds intends to rely, and it is important that I read and understand the terms before agreeing to be bound by them. If there is any term or point I do not understand or do not wish to be bound by, I understand that I can request further information before signing this application.

I understand that my signed application form (once accepted by Cofunds) together with the Terms and Conditions of the Cofunds Platform (Self-directed Explicit Pricing) form my customer agreement with Cofunds Limited.

I understand that instructions may be delayed or rejected if this application form is not complete in all respects.

You may undertake a search with a reference agency for the purposes of verifying my identity. To do so, the reference agency may check the details I supply against any particulars on any database (public or otherwise) to which they have access. They may also use my details in the future to assist other companies for verification purposes. A record of the search will be retained as an identity search.

I declare that the information contained in this application form is correct to the best of my knowledge and belief.

I am aged 18 or over.

If you require a Fund prospectus, please contact your intermediary or Fund Manager directly.

I understand that it's Cofunds normal business practice to process my conversion following receipt of my assets from my previous Fund/Plan Manager. The instruction to convert is then passed to the Fund/Plan Manager who will convert and confirm back to Cofunds upon completion. Cofunds upon receipt of confirmation will then reflect the change(s) to my accounts. This process is subject to change dependant on volumes and individual Fund/Plan Manager processing procedures. I authorise Cofunds to convert on my behalf as outlined above.

I understand that Cofunds will convert commission-included share class funds to their commission-free share class equivalent where available to my intermediary.

I understand that Cofunds will convert commission-free share class funds to commission-free exclusive share class funds where available to my intermediary.

I understand that Cofunds will convert any funds re-registered that are not available to me through my intermediary to the commission-free share class equivalent that is available to my intermediary.

Primary holder signature 	Date
Capacity (if applicable)	

Third holder signature	Date
Capacity (if applicable)	

This form will be returned if it's not signed and dated.

If you are completing this as a company you must include a copy of the Articles of Association.

Fund Sale Instruction

If a Fund Sale Instruction applies to the segment linked to my investment, I accept and agree that funds will be sold to settle any outstanding fees and charges which have accrued prior to this date and all fees and charges payable hereafter.

Data Protection

Cofunds Limited is a registered Data Controller and a fully owned subsidiary of Aegon UK plc. Cofunds Limited will use your information for the administration and servicing of your investments and all other related activities. We may disclose your information to other companies within the Aegon group of companies, future owners of our business, and suppliers we engage to process data on our behalf for these purposes. We may also disclose your information to organisations for compliance with legal and regulatory requirements.

With the exception of the above provisions, we will not pass on your details to any other third party without your permission, but we will disclose information concerning your investment to your nominated intermediary.

Cofunds may transfer your information to countries outside of the EEA for the administration and servicing of your investments. In such cases, contracts will be put in place to ensure that the service providers protect your information in accordance with the requirements of the Data Protection Act or any legislation that may be enacted to replace that Act.

Service Charge

I confirm that I have received my Fees and Charges Schedule and understand which fees and charges are applicable to my investment. I instruct Cofunds to pay my intermediary (named above) the Service Charge specified in Section 9 of this form, and in my Fees and Charges Schedule, from my relevant Cofunds payment account.

I understand that Cofunds will accept authority from the primary holder only, in most circumstances. For trusts and Powers of Attorney more than one signature may be required.

If I have an active Sale for Regular Payment mandate, or the segment linked to my investment applies to a Fund Sale Instruction (as described in my Fees and Charges Schedule) and there is insufficient money within my relevant payment account, I authorise Cofunds to sell enough of my platform assets to pay the Service Charge in accordance with the relevant Terms and Conditions of the Cofunds Platform or Customer Agreement applicable to my investments/assets.

A copy of the relevant Terms and Conditions of the Cofunds Platform can be found at <https://www.cofunds.co.uk/web/platformterms.aspx>

All holders must sign and date this form.

Where there are two signatories for a corporate investor, please delete reference to primary and second holder.

Number of attached Transfer Authority Forms

Second holder signature	Date
Capacity (if applicable)	

Investment Funds Transfer Authority

Please note that a separate authority will be required for each Fund/Plan Manager. If transferring from more than one Fund/Plan Manager, please request more Transfer Authority Forms from your intermediary.

Please complete all details requested.

Please ensure that all details match those held by the existing Fund/Plan Manager. Any differences could cause delays to the requested transfer.

Name of Fund/Plan Manager
Address
Postcode

Client Name(s) as they are registered with the above Fund/Plan Manager. Please print in BLOCK CAPITALS.

Primary holder
Address of primary holder
Postcode
Second holder
Third holder
Fourth holder

Existing Cofunds Client Reference

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I hereby transfer my entire holdings in the funds listed below to Cofunds Nominees Limited, with immediate effect. Please forward confirmation to Cofunds Limited, PO Box 1103, Chelmsford CM99 2XY. I also authorise Cofunds to submit all information contained in this Transfer Authority to the Registrar of the Fund/Plan Manager named opposite and request that the register be updated as necessary to give effect to this transfer. I confirm that the re-registration of the funds listed will not change the beneficial ownership from (or among) the current holder(s). I confirm that this transaction is exempt from SDRT by virtue of paragraph 6 of Schedule 19 of the Finance Act 1999.

Signature(s) Corporate investors please state capacity of signatory and sign under the company seal.

Primary holder signature X	Date
Capacity (if applicable)	
Second holder signature	Date
Capacity (if applicable)	
Third holder signature	Date
Capacity (if applicable)	
Fourth holder signature	Date
Capacity (if applicable)	

Please note: all holders must sign and date the form.

1 Designations

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Please provide any current designations as held by the existing Fund/Plan Manager. Please note: a separate authority form will be required for each designated holding.

2 TeX

If your Fund/Plan Manager does not offer this service or you wish to re-register certain funds only, please complete Section 3. TeX stands for Tax Incentivised Savings Association Exchange which is an industry network that allows Fund Managers and platforms to transfer assets on behalf of clients electronically. If your Fund/Plan Manager offers this service you only need to complete this section. A list of TeX and non TeX Fund/Plan Managers can be found via the following link: www.cofunds.co.uk/docs/teXmembership

A/C or plan nos. (This must be completed)

Re-register all Cofunds supported funds (Please tick if applicable)

<input type="checkbox"/>
<input type="checkbox"/>
<input type="checkbox"/>

3 Details of funds to be re-registered (For non-TeX transfers only)

Please note: if your intermediary has agreed exclusive share classes with a Fund/Plan Manager for your selected funds, we'll always invest in that exclusive share class and not the share class you've selected below. These funds may be converted as detailed in the Declaration.

Account reference with the above Fund/Plan Manager
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Fund manager and fund name	Share class	Type of unit/share (delete as appropriate)*
		ACC/INC
		ACC/INC
		ACC/INC
		ACC/INC
		ACC/INC
		ACC/INC
		ACC/INC
		ACC/INC
		ACC/INC
		ACC/INC
		ACC/INC
		ACC/INC
		ACC/INC
		ACC/INC
		ACC/INC

*If you do not specify ACC or INC in this column, Cofunds will not be able to process your application. If you have chosen income units/shares, please ensure you complete Section 7 of the Investment Funds Transfer Application for income to be paid to you.

