Aviva Investors Investment ISA

Transfer Form

Please answer all questions in CAPITAL LETTERS and tick boxes where appropriate.

Please complete a separate transfer form for each company you wish to transfer an ISA from.

Once you have completed this form, please return it to Aviva Investors UK Fund Services Limited, PO Box 10410, Chelmsford, CM99 2AY.

An ISA for the current tax year must be transferred in its entirety. An ISA for a previous tax year may be transferred in full or part. If a partial transfer is required, please specify the monetary amount of the transfer and/or the assets to be sold. Any partial transfer must be in accordance with the terms and conditions of your existing ISA.

A copy of this completed transfer form is available on request.

This is an application for the funds listed in section 2 within the Aviva Investors Investment ISA.

Please note that only section 11 of this transfer form will be sent to your existing ISA manager. Any supplementary instructions should therefore be included in the relevant fields within those sections.

If you would like to start contributions into a current tax year ISA with Aviva Investors, you will also need to complete a current tax year ISA application form. This needs to be completed before any money can be paid into your new ISA with Aviva Investors.

1. Personal details

Title	Mr / Mrs / Miss / Ms
Forename(s)	
Surname	
Address	
	Postcode
Date of birth	D D M M C C Y Y
Daytime telephone number	
Email address	

If you already hold an Investment ISA with us and would like to top-up your investment, please state your existing client reference number.

National insurance number	

This is a Government requirement and must be supplied. You should be able to find your National Insurance Number on a payslip, form P60, notice of coding or tax return. Otherwise your employer or tax office may be able to help. If you are in receipt of a state pension, your National Insurance Number may be shown on your bank statement next to any state pension payments you've received.

If you do not have a National Insurance Number, please tell us why in the space below.

2. Investment details – Transfer to the Aviva Investors Investment ISA

Name of existing ISA provider	
Approximate value of transfer	£

Please indicate the amounts you wish to invest in each fund.

We will purchase Class 1 shares, except for the Global Equity Endurance Fund where we will purchase shares in Class 6, unless you indicate otherwise.

	Single investments (min £500 per fund)	Tick if income is to be paid out
Income Funds		
Corporate Bond	£	
Higher Income Plus	£	
Managed High Income	£	
Monthly Income Plus	£	
Growth Funds		
Climate Transition Global Equity Fund	£	N/A
Continental European Equity	£	N/A
Global Equity Endurance	£	N/A
International Index Tracking	£	N/A
UK Listed Small and Mid-Cap Fund	£	N/A
UK Smaller Companies	£	N/A
Income & Growth Funds		
Distribution	£	
Global Equity Income	£	
Sustainable Stewardship Fixed Interest Feeder	£	
Sustainable Stewardship International Equity Feeder	£	
Sustainable Stewardship UK Equity Feeder	£	
Sustainable Stewardship UK Equity Income Feeder	£	
Strategic Bond	£	
UK Listed Equity Income	£	
UK Index Tracking	£	
UK Listed Equity Unconstrained Fund	£	

2. Investment details – Transfer to the Aviva Investors Investment ISA (continued)

	Single investments (min £500 per fund)	Tick if income is to be paid out
Multi-asset Funds		
Multi-asset Plus Fund I	£	N/A
Multi-asset Plus Fund II	£	N/A
Multi-asset Plus Fund III	£	N/A
Multi-asset Plus Fund IV	£	N/A
Multi-asset Plus Fund V	£	N/A
Multi-asset Core Fund I*	£	N/A
Multi-asset Core Fund II*	£	N/A
Multi-asset Core Fund III*	£	N/A
Multi-asset Core Fund IV*	£	N/A
Multi-asset Core Fund V*	£	N/A
Multi-Manager Funds		
Multi-Manager 20-60% Shares	£	
Multi-Manager 40-85% Shares	£	
Multi-Manager Flexible	£	N/A
Multi-Strategy Fund		
Multi-Strategy Target Return	£	N/A

* The Aviva Investors Multi-asset Core Fund I, Aviva Investors Multi-asset Core Fund II, Aviva Investors Multi-asset Core Fund III, Aviva Investors Multi-asset Core Fund IV and Aviva Investors Multi-asset Core Fund V all have a minimum single investment of £5,000.

Note: Certain funds enable you to receive income should you wish to do so. These funds offer income shares or units. If you wish to have your income reinvested, the income will be used to buy further shares or units in the relevant fund. For the other funds, accumulation shares or units are issued which results in income being rolled up into the capital value of your holding. Unless you have indicated otherwise, accumulation shares or units will be issued where available. For investments where no bank or building society details are provided, income is automatically reinvested or accumulated as appropriate. We reserve the right to deal only following the receipt of cleared funds.

3. Bank/building society details

Please provide bank/building society details below to be used for future withdrawals (including regular capital withdrawals for the Multi-asset Plus Funds where applicable).

Full name and address of UK bank/ building society

Postcode

Name of account holder

Account number **Sort code**

Building Society Roll no. (if applicable)

If you would like us to pay your income distribution payments to the same bank account, please tick this box. ☐

If you wish to use different account details for your income payments, please tick this box and provide a covering letter with these details. ☐

If you wish for income payments to be reinvested, please tick this box. ☐

Please note that income is only paid from those funds indicated by a tick box in section 2. Where selected, income will be paid by direct credit to your UK bank or building society account and will be paid from outset. For all investments where no bank or building society details are provided, or if no option is selected above, income will be automatically reinvested or accumulated as appropriate. It is not possible to take income while making regular investments. If you wish to take income at a later date, please contact us at the time.

4. Regular capital withdrawals (Multi-asset Plus Funds)

This facility is only available for customers who have an investment in the Multi-asset Plus Funds of £10,000 (net of initial charges) or above when a regular capital withdrawal is made. This facility is not available to customers who are paying regular investments.

If you wish to receive regular capital withdrawals, please indicate below the amount or percentage you wish to withdraw (the regular capital withdrawal will be applied proportionately across the Multi-asset Plus Funds indicated in section 2).

I wish for my regular capital withdrawal to be taken (please tick one box)

Monthly ☐ **Quarterly** ☐ **Half-Yearly** ☐ **Once a year** ☐

I wish to receive my first regular capital withdrawal payment on the month specified below (if left blank your first withdrawal will take place at the next available payment date). **Shares must be held for one year before proceeds are payable, so this date must be at least one year from the date of the first investment into the Fund.**

Month **Year**

I wish to withdraw the following amount, which will be paid in instalments as indicated above. Please indicate a percentage (of investment value) or £ amount.

% or £

Please complete section 5 to indicate where these payments will be made.

For more information on the terms of capital withdrawals, please read the Supplementary Information Document.

5. Privacy Notice

Personal Information

We collect and use personal information about you so that we can provide you with your investment. This notice explains the most important aspects of how we use your information but you can get more information about the terms we use and view our full privacy policy at **www.avivainvestors.com** or request a copy by writing to us at the address stated in the "Contacting us" section below.

The data controller(s) responsible for this personal information is Aviva Investors UK Fund Services Limited.

Personal information we collect and how we use it

We will use your personal information:

– To provide you with your investment: we need this to set up and administer your investment,

– To support legitimate interests that we have as a business: we need this to detect and prevent fraud and to help us better understand our customers and improve our customer engagement (this includes marketing),

– To meet any applicable legal or regulatory obligations: we need this to meet compliance requirements with our regulators (e.g. Financial Conduct Authority), to comply with law enforcement and to manage legal claims; and

– To carry out other activities that are in the public interest: for example we may need to use personal information to carry out anti-money laundering checks.

We may also use personal information about other people. This may include individuals who are authorised to act on your behalf, for example, an attorney or (in the case of a corporate investor) individuals who work for or otherwise represent you. **If you are providing information about another person we expect you to ensure that they know you are doing so and are content with their information being provided to us. You might find it helpful to show them this privacy notice and if they have any concerns please contact us in one of the ways described below.**

The personal information we collect and use will include name, address, date of birth and contact and investment details.

Of course, you don't have to provide us with any personal information, but if you don't provide the information we may not be able to proceed with setting up your investment.

Some of the information we collect as part of this application will be provided to us by third parties and this can include information already held about you within the Aviva Group, information we obtain from publicly available records, our trusted third parties and from industry databases, including fraud prevention agencies and databases.

We do not currently make any decisions based on automatic decision making using your personal information to decide whether we can provide an investment. If in the future we need to make decisions based on automatic decision making, we will inform you about this.

5. Privacy Notice (continued)

How we share your personal information with others

We may share your personal information:

– With the Aviva Group, our agents and third parties who provide services to us to help us administer our products and services;

– With regulatory bodies and law enforcement bodies, including the police, e.g. if we are required to do so to comply with a relevant legal or regulatory obligation;

– With other organisations including public bodies and the police (either directly or using shared databases) for fraud prevention and detection purposes;

Some of the organisations we share information with directly or indirectly may be located outside of the European Economic Area ("EEA"). We'll always take steps to ensure that any transfer of information outside of Europe is carefully managed to protect your privacy rights. For more information on this please see our privacy policy or contact us.

How long we keep your personal information for

We maintain a retention policy to ensure we only keep personal information for as long as we reasonably need it for the purposes explained in this notice. We need to keep information for the period necessary to administer your investment and deal with any queries on your investment. We may also need to keep information after our relationship with you has ended, for example to ensure we have an accurate record in the event of any complaints or challenges, carry out relevant fraud checks, or where we are required to do so for legal, regulatory or tax purposes.

Your rights

You have various rights in relation to your personal information, including the right to request access to your personal information, correct any mistakes on our records, erase or restrict records where they are no longer required, object to use of personal information where this use is based on our legitimate business interests. For more details in relation to your rights, including how to exercise them, please see our full privacy policy or contact us.

Contacting us

If you have any questions about how we use personal information, or if you want to exercise your rights stated above, please contact our Data Protection Officer by writing to them at The Data Privacy Office, Aviva Investors (Floor 6), St Helen's, 1 Undershaft, London EC3P 3DQ or email dpoffice@avivainvestors.com

If you have a complaint or concern about how we use your personal information, please contact us in the first instance and we will attempt to resolve the issue as soon as possible. You also have the right to lodge a complaint with the Information Commissioner's Office at any time.

Marketing – How we keep you informed

The Aviva Group and its agents may use personal information we hold about you across the Aviva Group to help us identify and tailor products and services that may be of interest to you and would like to contact you from time to time to provide you with updates and offers for Aviva's products and services tailored to you by direct marketing by post, phone, email or text. We may continue to do this after your investment has ended.

To tell us if you would prefer not to hear about Aviva products and services please contact us at Aviva, Freepost, Mailing Exclusion Team, Unit 5, Wanlip Road Ind Est, Syston, Leicester, LE7 1PD.

6. Prevention of money laundering

In accordance with EU and UK legislation relating to the prevention of money laundering we are obliged to verify the identity and address of all parties to this contract (e.g. planholder, third parties including beneficial owners). In the case of legal arrangements we are also required to establish the identity of any controllers that are not named parties as well as individuals who have a specified beneficial interest in the contract.

Where a financial adviser or Aviva Investors Representative is involved they will let you know what evidence you need to produce. If you are applying to us direct we will verify your identity with a third party identity verification company.

In certain circumstances you may be required to provide further evidence of your identity and confirmation of address, in which case Aviva Investors will contact you. If the product you are applying for allows payment by cheque and you wish to pay with a Bank/Building Society cheque or Banker's Draft, the Society or Bank must endorse the cheque with the full name of the person from whose account the funds are drawn.

7. Delivery versus payment (DVP) exemption

We may make use of the Delivery versus Payment (DVP) exemption for Collective Investment Schemes as defined in the Financial Conduct Authority's Client Assets Sourcebook. This means your uninvested money may not be protected if Aviva Investors UK Fund Services Limited becomes insolvent during the period covered by the exemption.

There are no circumstances under which you should pay money into Aviva Investors UK Fund Services Limited's own bank accounts in relation to your Aviva Investors Investment ISA and we will not ask you to do so. However, in the event that we do receive money from you directly into these accounts, the DVP exemption will be used and any money we receive from you into those accounts may not be protected from the day we receive it to the close of the next business day. We will not use the DVP exemption for any payments received from you by cheque, Direct Debit or debit card and therefore these payments will be protected at all times.

The DVP exemption will also be used when we make payments to you by electronic bank transfer. When this happens your money may not be protected from the start of the day we are due to make the payment to you up to the end of the next business day. We will not use the DVP exemption for any payments we make to you by cheque and therefore these payments will be protected at all times.

8. Declaration

The Aviva Investors Investment ISA Terms & Conditions, Key Investor Information Document(s) and Supplementary Information Document are important and you should take time to read them. If there are any terms you do not understand you should ask for further information.

- I am 18 years of age or over.
- I have read the latest relevant Key Investor Information Document(s), Supplementary Information Document and Aviva Investors Investment ISA Terms and Conditions and am aware that I should retain a copy of these for my future reference.
- I confirm that no financial advice has been received in respect of this investment other than from the financial adviser, if any, named below unless otherwise indicated.
- I understand that you may undertake a search with a third party company who provide identity verification services for the purposes of verifying my identity and the details I have submitted as part of this application. To do so the third party company 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 future to assist other companies for verification purposes. A record of the search will be retained.
- I declare that the information given in this Application Form is correct to the best of my knowledge and belief.
- I authorise Aviva Investors UK Fund Services Limited:
  - To hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash; and
  - To make on my behalf any claims to relief from tax in respect of ISA investments.
- I consent to Aviva Investors UK Fund Services Limited's use of the DVP exemption referred to above and as described in the Aviva Investors Investment ISA Terms & Conditions and understand that my money will not be protected from the insolvency of Aviva Investors UK Fund Services Limited during the periods covered by the exemption.
- I agree that the Aviva Investors Investment ISA Terms & Conditions apply to my investments.

Signature _____ **Date** ___ / ___ / ___

Name _____

9. Transfer checklist

Before sending a transfer form, please complete the following checklist to ensure that you have fully completed this transfer form.

- ☐ **Personal details**
- ☐ **National Insurance Number**
- ☐ **Existing ISA details**
- ☐ **Bank/Building Society details (if applicable)**
- ☐ **Investment details**
- ☐ **Declaration(s) signed and dated**
- ☐ **ISA Transfer Authority signed and dated**

10. For Financial Advisers' use only

I/We have seen the Aviva Investors Terms of Business for Firms as in force from time to time, the latest version of which can be found at **www.avivainvestors.com/tob**, and agree that this application constitutes "Business" as defined in and is therefore subject to those terms.

Signature of adviser		**Date**	/ /
Full name and address of agent			
	Postcode		
Firm reference number			
Agent number			

Please tick this box if no advice has been given ☐

11. ISA transfer authority form

a. ISA Transfer Authority Form

Name of existing ISA manager				
Address of existing ISA manager				
1. Existing ISA number				
2. Existing ISA type	Cash ISA ☐		Stocks and Shares ISA ☐	
	Innovative Finance ISA ☐		Lifetime ISA* ☐	

Please select the appropriate ISA type from the fields above. If you wish to transfer more than one type of ISA, please complete a transfer application form per ISA. Please note that if the incorrect ISA type is chosen, your existing ISA manager may reject the transfer request. This could result in additional delays and you may be required to complete a new ISA transfer authority form. If you are unsure of which type of ISA you hold, please contact your existing ISA manager to confirm.

* Subscriptions to a Lifetime ISA may be transferred, but will be treated as a withdrawal and may be liable to a withdrawal charge. Please contact your existing ISA manager for more details.

11. ISA transfer authority form (continued)

3. Do you wish to transfer your current tax year ISA? (Note: a current tax year ISA must be transferred in its entirety)

If yes, please complete: Yes ☐ No ☐

Total contributions made to date in the current tax year £

Date of 1st contribution in current tax year / /

4. Do you wish to transfer your previous tax year ISA? Yes ☐ No ☐

Tax year(s) of ISA to be transferred Full transfer ☐ Partial transfer ☐

If partial transfer, please indicate the assets to be sold or the cash value to be transferred.

Asset/fund name **Quantity

Asset/fund name OR **Quantity

Total cash value to be transferred £

** If the full holding of an asset is not to be sold, please specify either the number of shares/units or the value of the required transfer.

Instructions for existing ISA manager

b. Declaration

1. I would like to transfer my ISA to Aviva Investors UK Fund Services Limited, HM Revenue & Customs number Z1907.
2. Please encash my current ISA investments and transfer their value to Aviva Investors UK Fund Services Limited.
3. I authorise you to provide Aviva Investors UK Fund Services Limited with any information they may request from you in relation to my ISA.

Investor's Signature **Date** / /

Full Name

Issued by Aviva Investors UK Fund Services Limited. Registered in England No. 1973412. Authorised and regulated by the Financial Conduct Authority. Firm Reference No. 119310. Registered address: St Helen's, 1 Undershaft, London EC3P 3DQ. An Aviva company. www.avivainvestors.com

503554 - 30/11/2024