For advisers only

Submitting ISA and GIA business on the Aegon Platform

The screens we show are for demonstration purposes only and occasionally may differ slightly from what you see. They don't represent a real customer.

Contents

Learning objectives

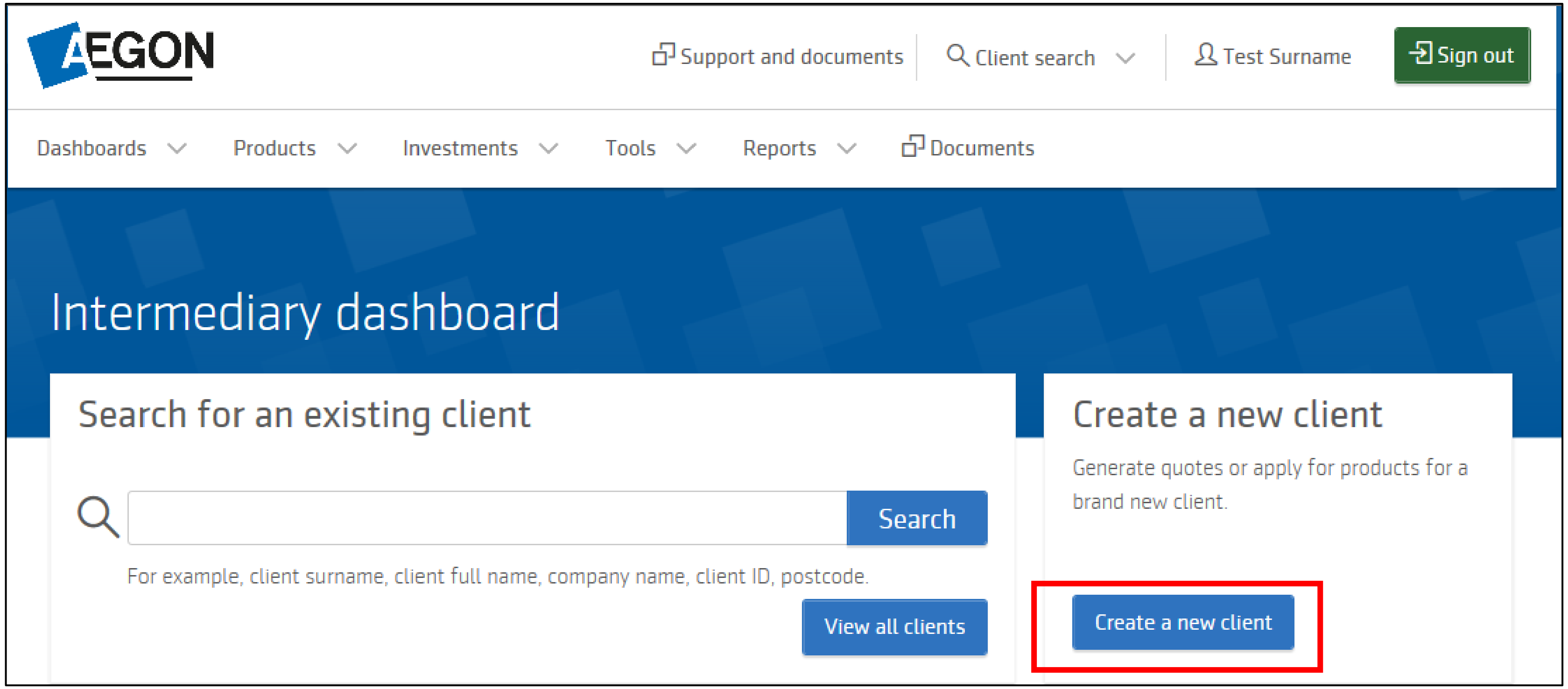
Learning objectives

- To learn how to create a new client and/or product.
- To set up a new quote and learn how to quote and apply online.
- To be able to explain the different payment options.
- To understand how and where to get updates on your applications.

Create a new client

Create a new client

On your dashboard select the **Create a new client** button



Client details

The GIA client type can be:

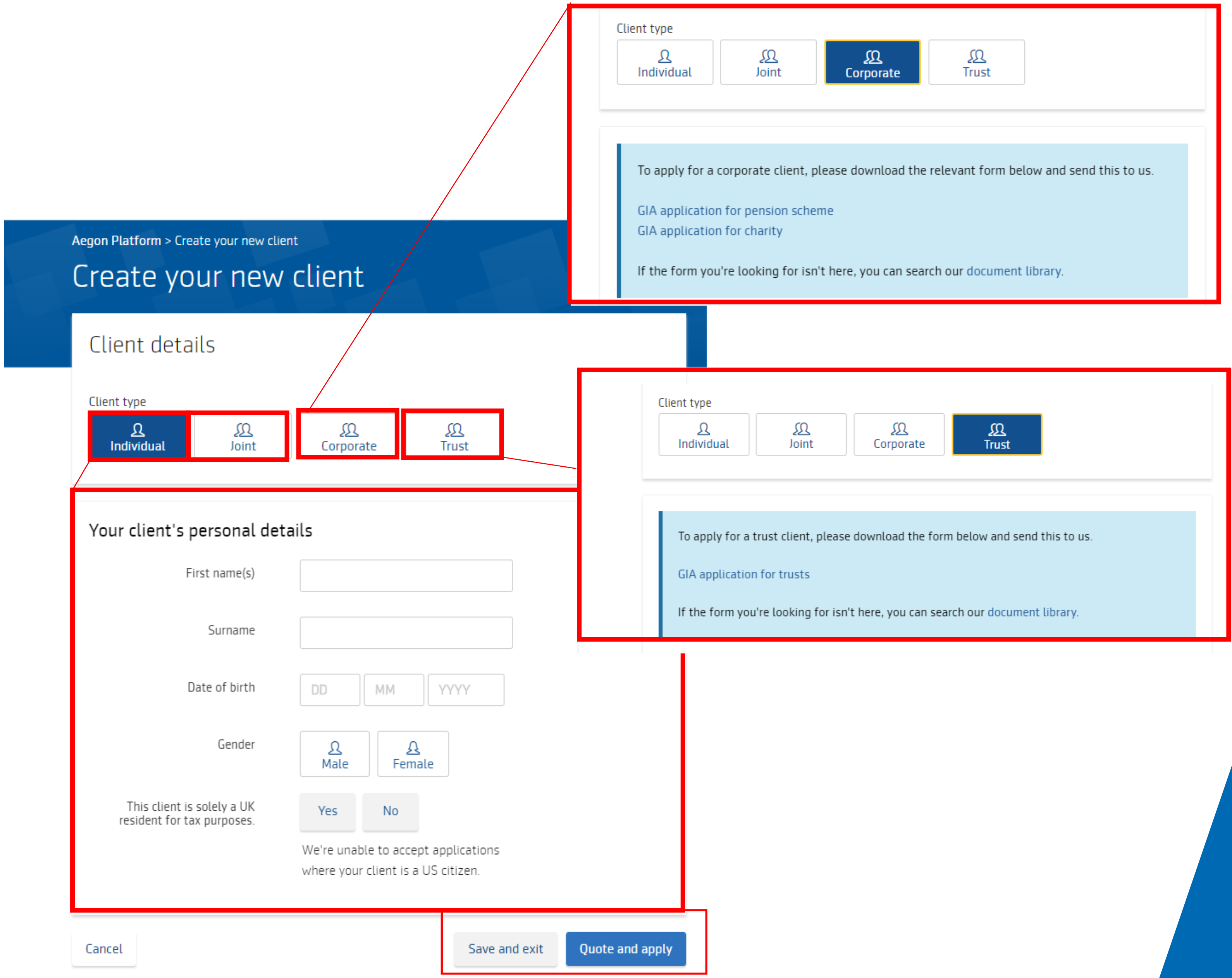
- Individual
- Joint
- Corporate
- Trust

If you’re applying for an ISA, then you’ll only see **Individual** as an option.

Corporate and **Trust** applications can be set up for GIA but require an offline paper form.

Enter your client’s details and select the **Quote and apply** button.

To save the client’s details without proceeding, select the **Save and exit** button.

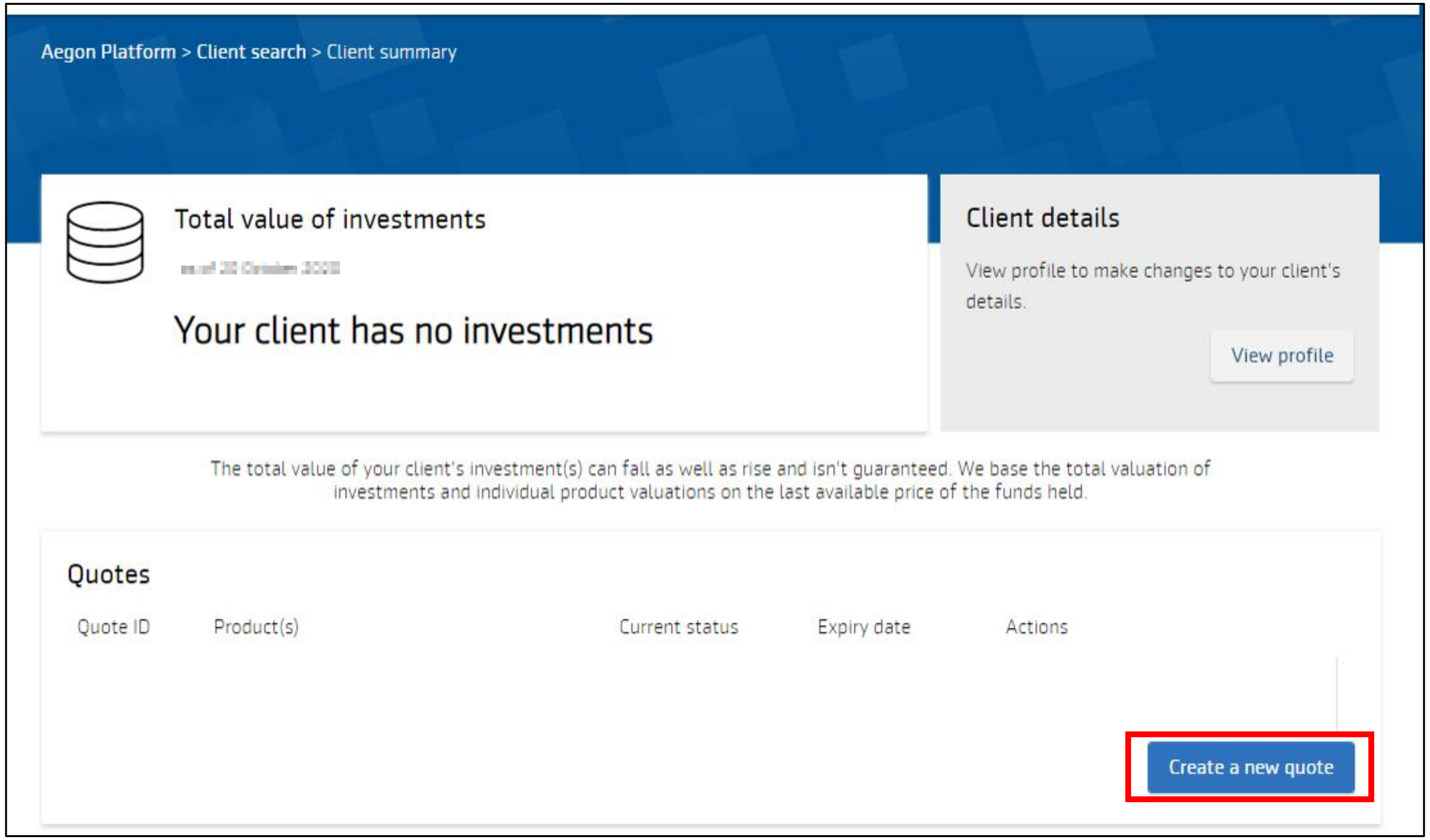


ISA/GIA quote and apply

Creating a new quote

Go to the **Client summary**.

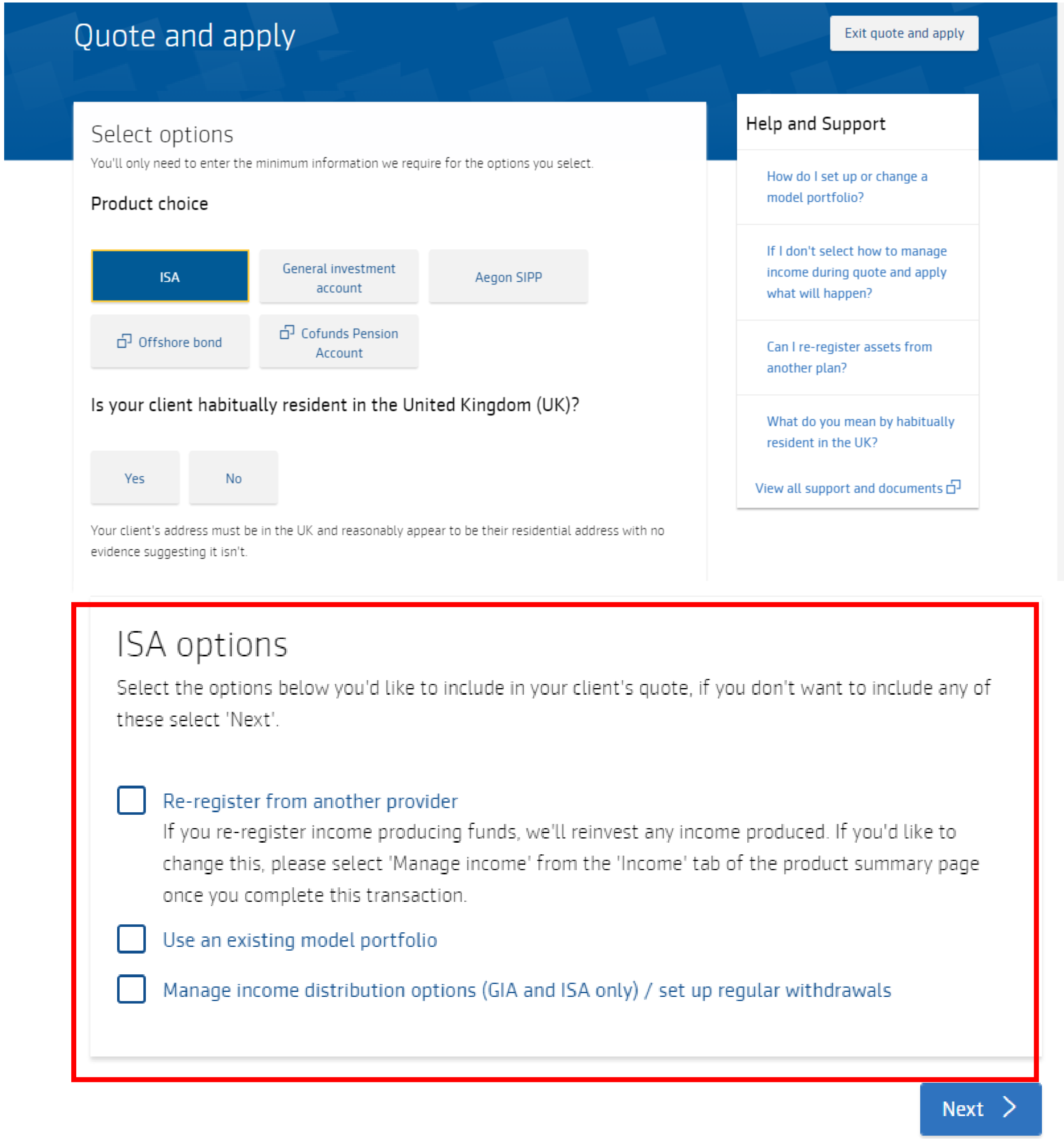
Select **Create a new quote**.



ISA quote

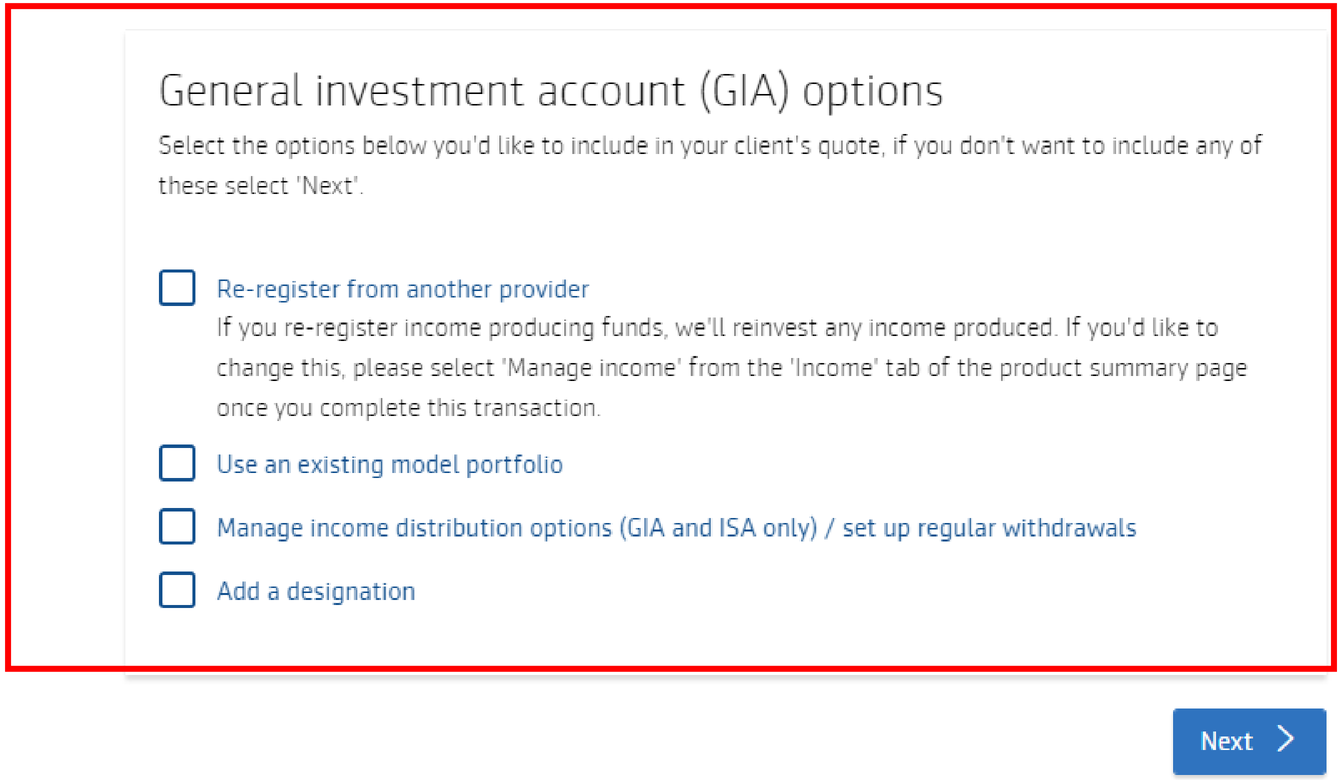
Choose the product you want to quote on. We've chosen ISA, where you can select to:

- Re-register from another provider
- Use an existing model portfolio
- Manage income distribution options/set up regular withdrawals



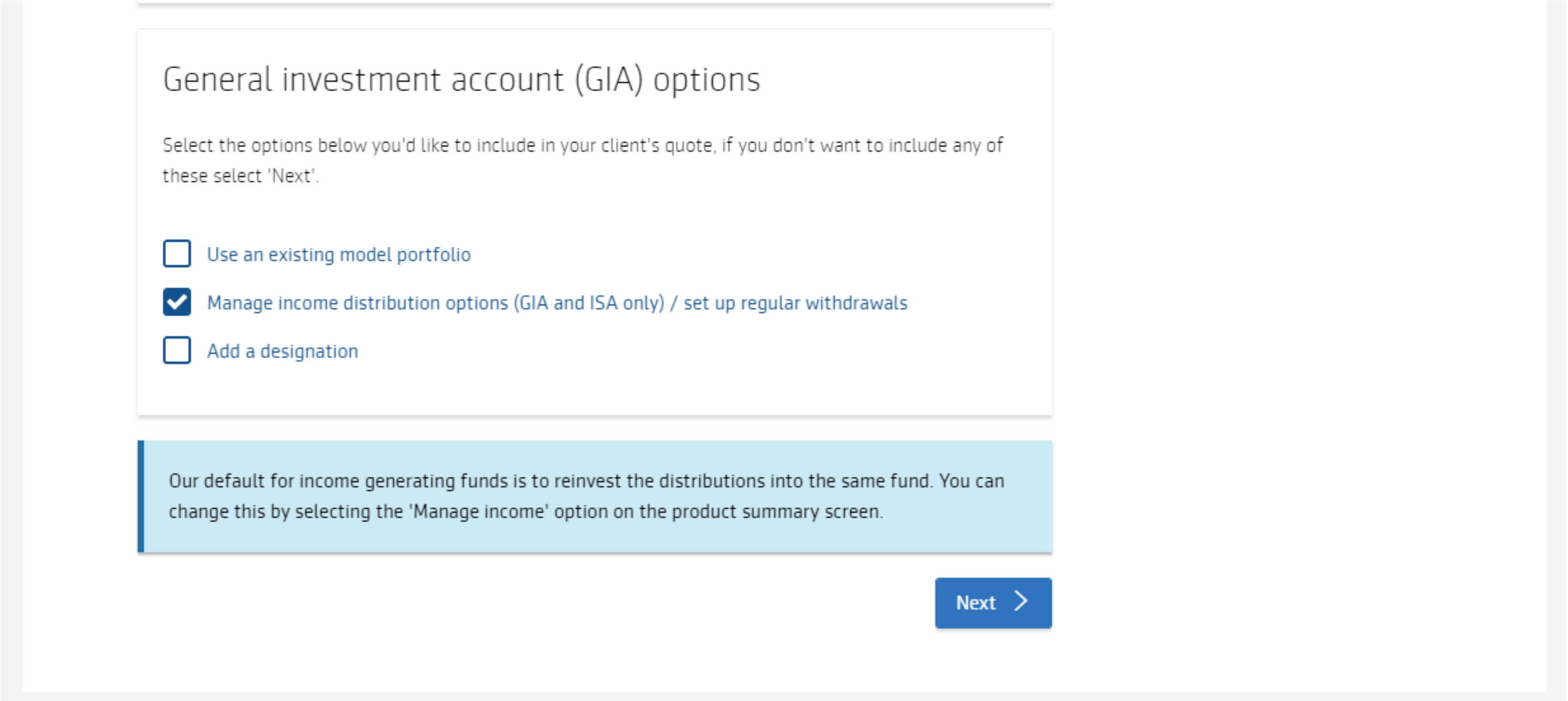
GIA quote

If you choose to quote a GIA, you'll see an extra option appear to **Add a designation**.



Managing income

If investing in income funds, by default we reinvest income distributions into the same fund. You can change this by selecting the **Manage income** option on the product summary. Your guide to managing your clients' income distribution options on Aegon Platform provides more information.

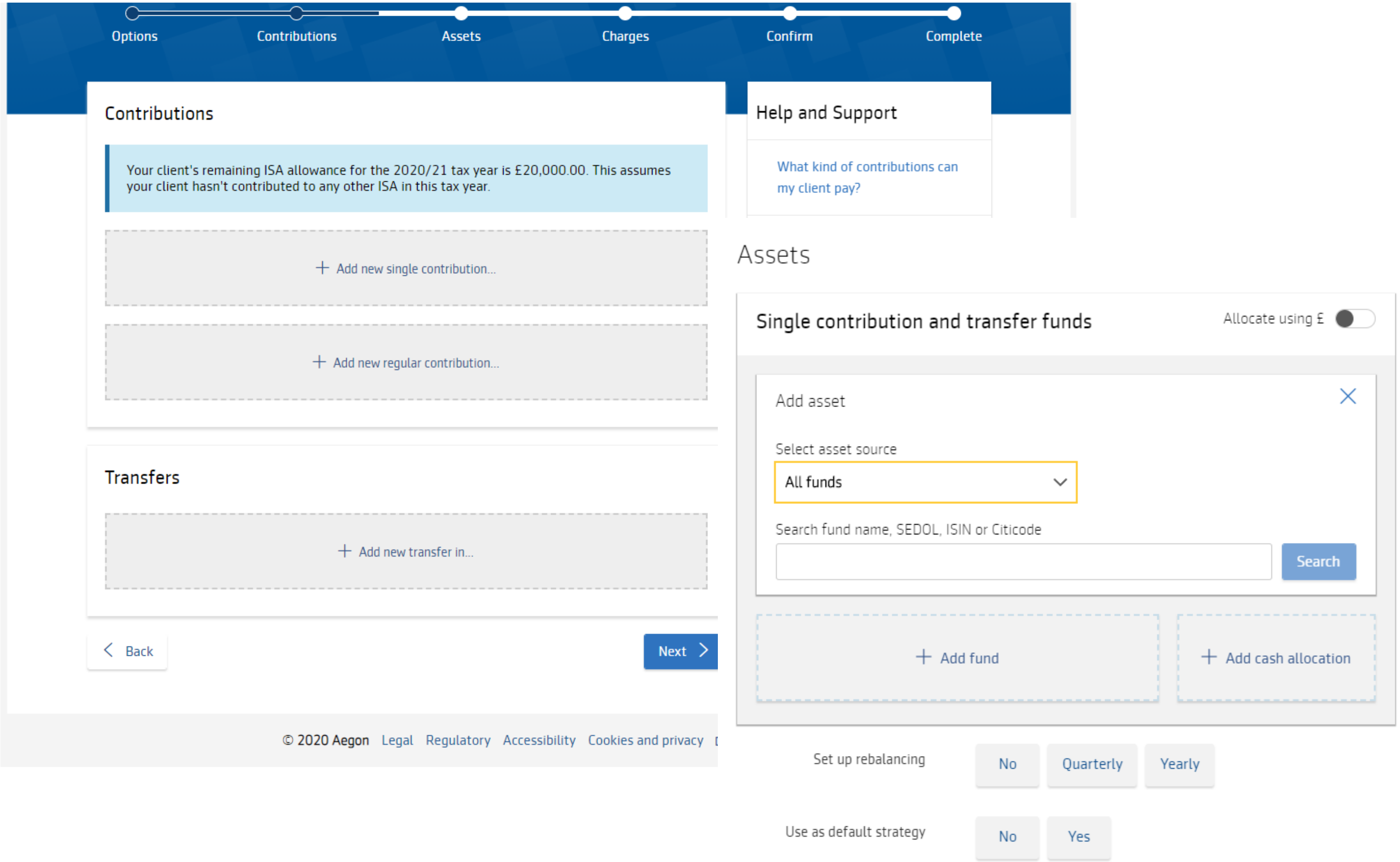


Contributions

£1 minimum for single and regular contributions.

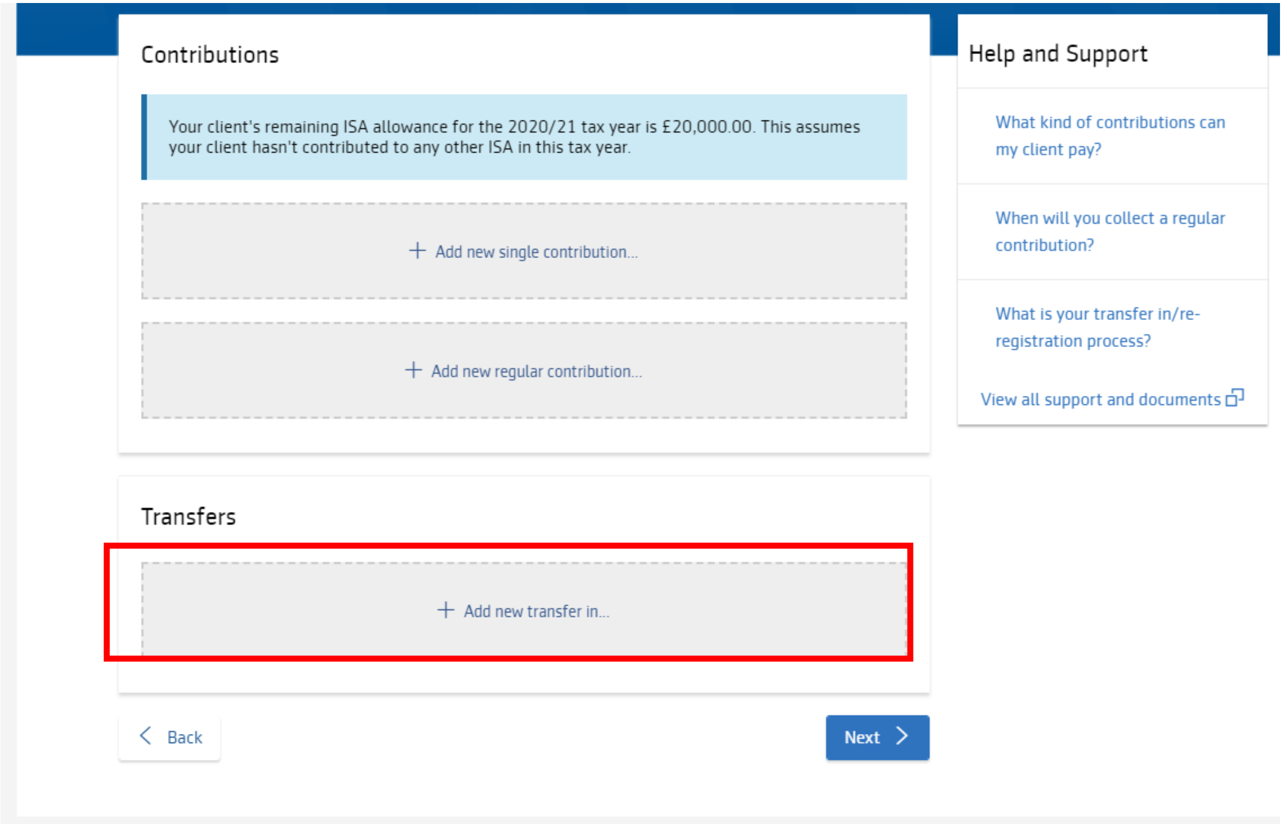
Choose any day between 1st and 28th of the month for us to collect regular contributions.

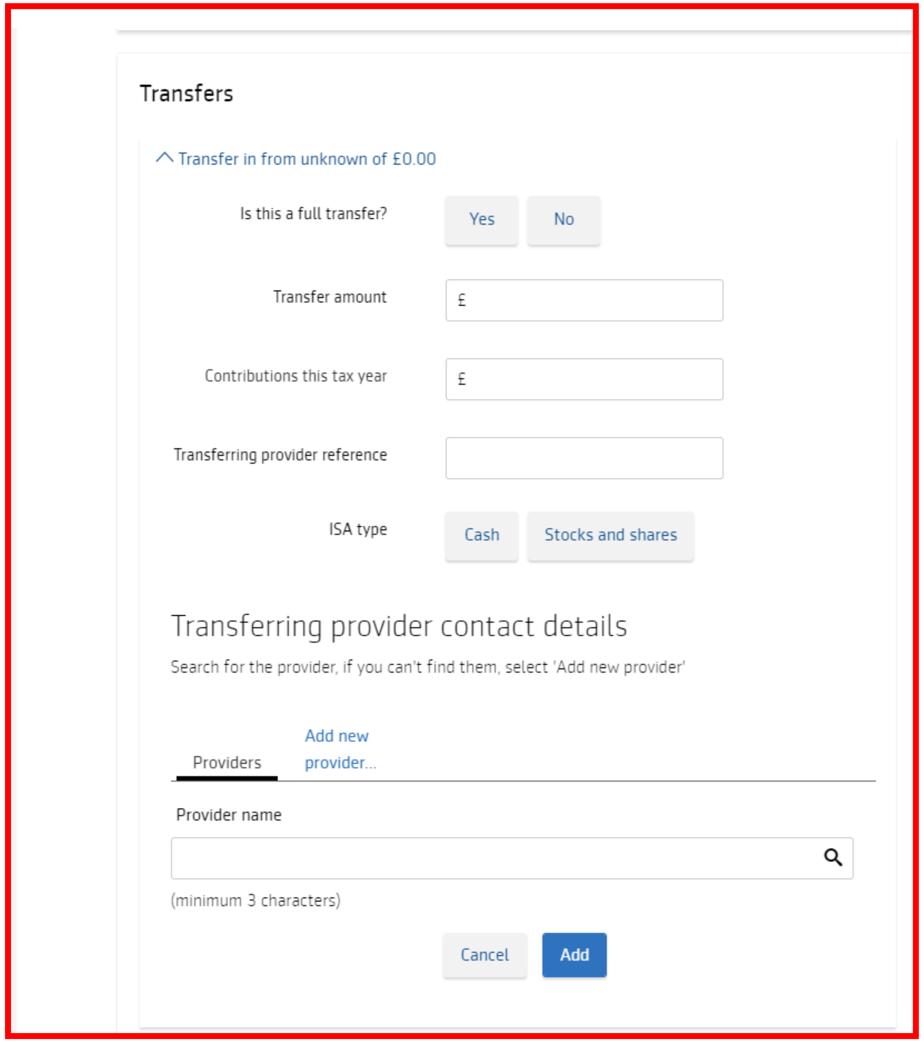
It takes 10 calendar days to set up the first collection.



Cash transfer from another provider

Select **Add new transfer in** and complete the transfer in details.





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Choose your funds

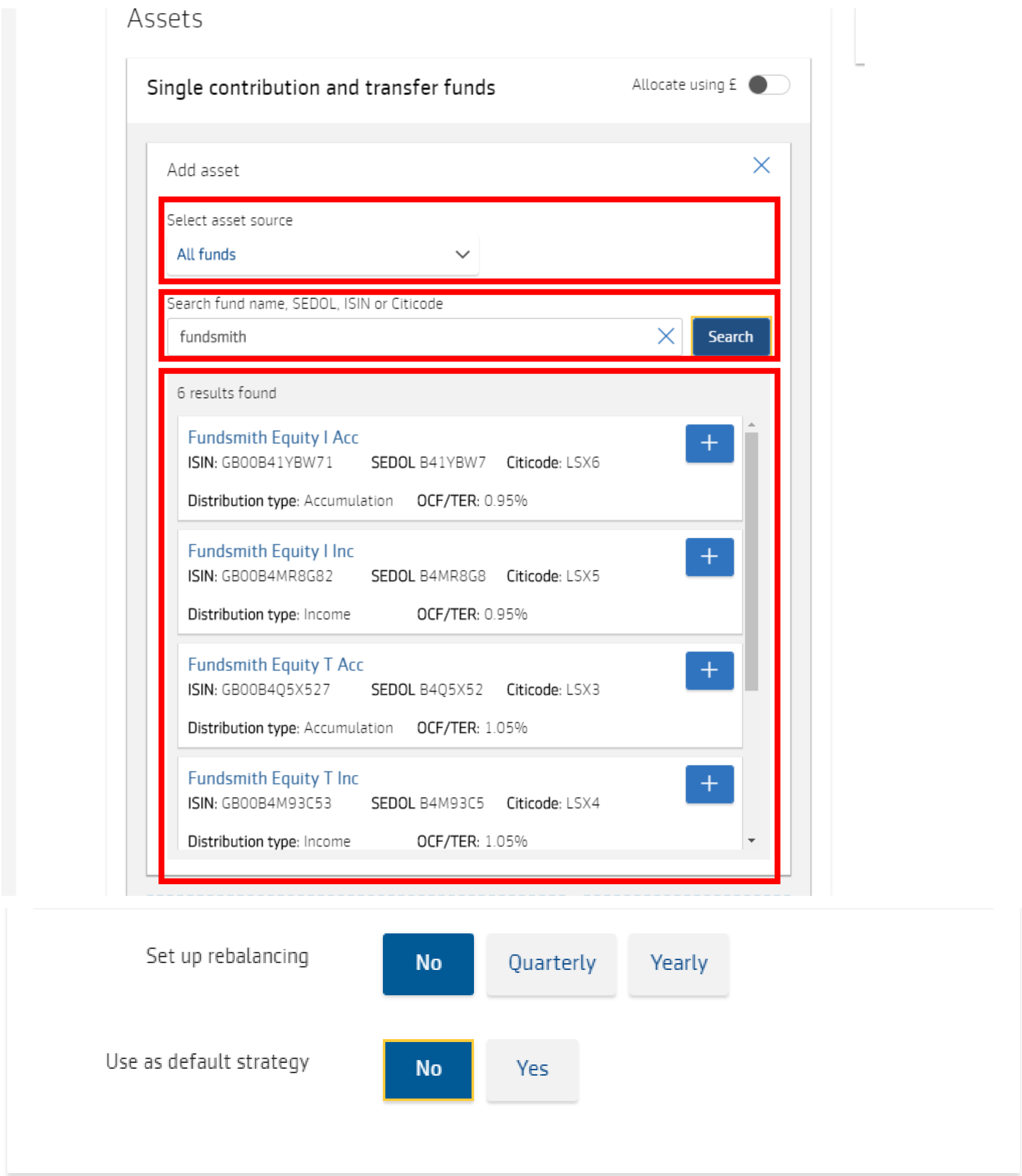
Tell us which funds (assets) you'd like to invest in.

It must total 100% of the amount you want to invest.

You can also add a cash allocation.

Search for funds using their names, SEDOL, ISIN or Citicode.

Use the **Select asset source** dropdown to access any fund panels you've created.

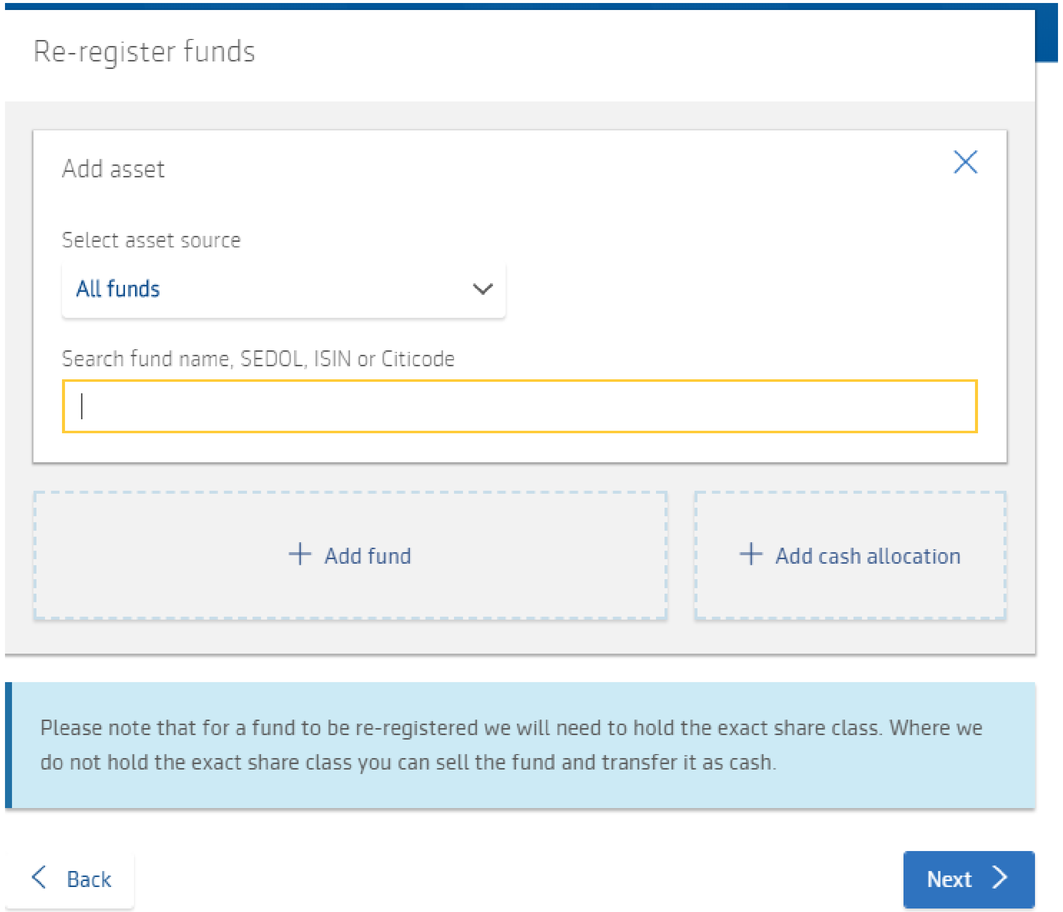


Re-registration from another provider

Fund re-registration can't take place unless SEDOL codes match – we'll get in touch if there are any issues matching funds.

If we don't hold a fund you can transfer it as cash or we'll work with you to add the fund to the Aegon Platform.

Select **Next**.



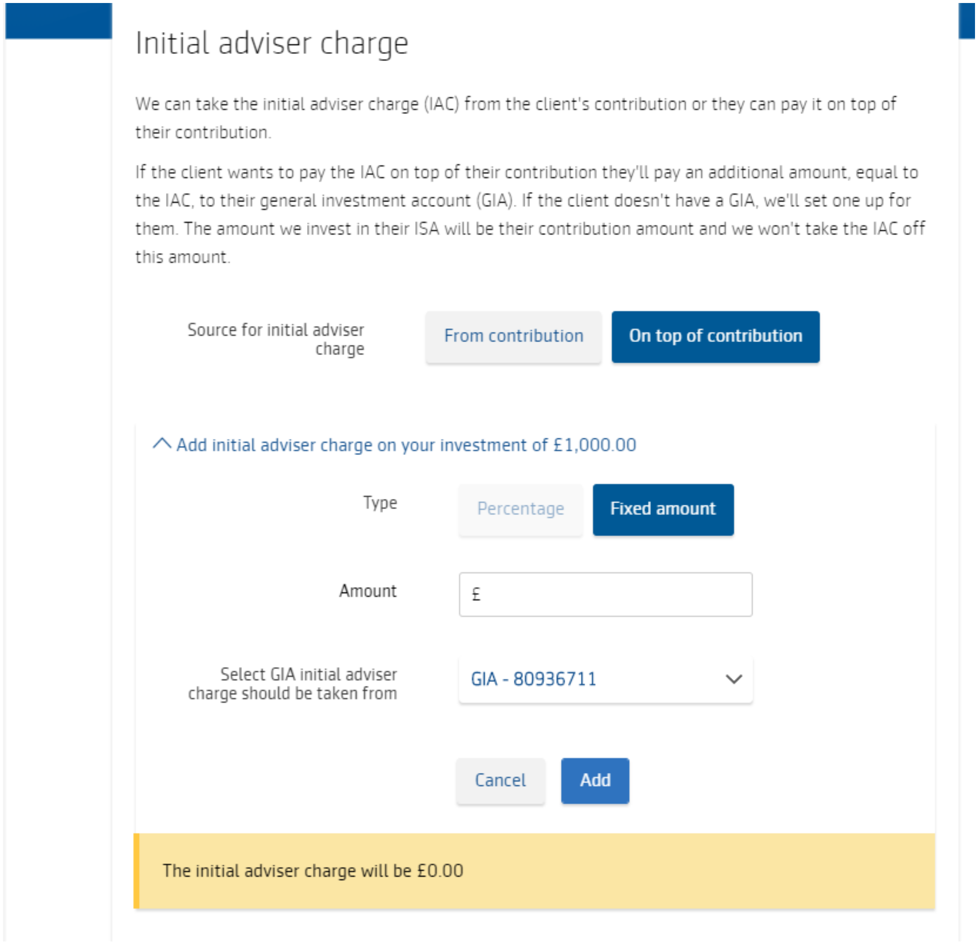
Initial adviser charge

Add any initial adviser charges in the **Charges** section.

You can select to add **From contribution** or **On top of contribution**.

You can choose either a fixed monetary amount or a percentage.

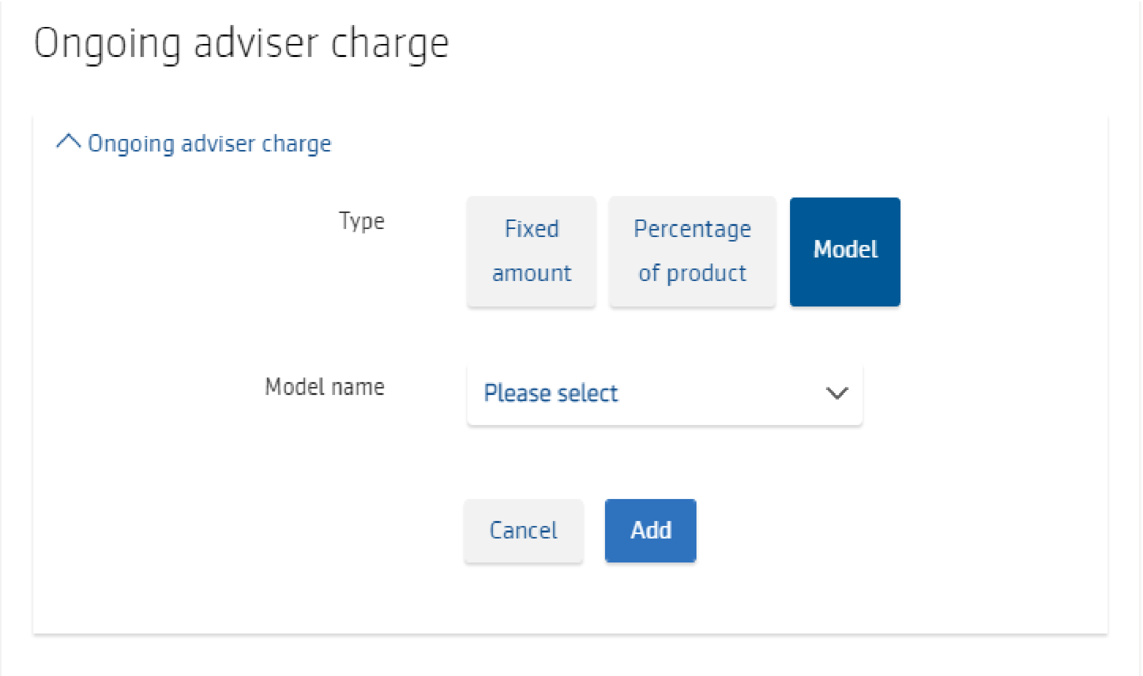
You can apply VAT, if applicable, to the charge.



Ongoing adviser charge

You can also set up ongoing adviser charges.

The most efficient option is to use fee models. These can be a £ or fixed percentage, tiered percentage and have the option of minimum or maximum charge. VAT can also be included where appropriate



You'll need to send us a Charge set up form to set up a new fee model

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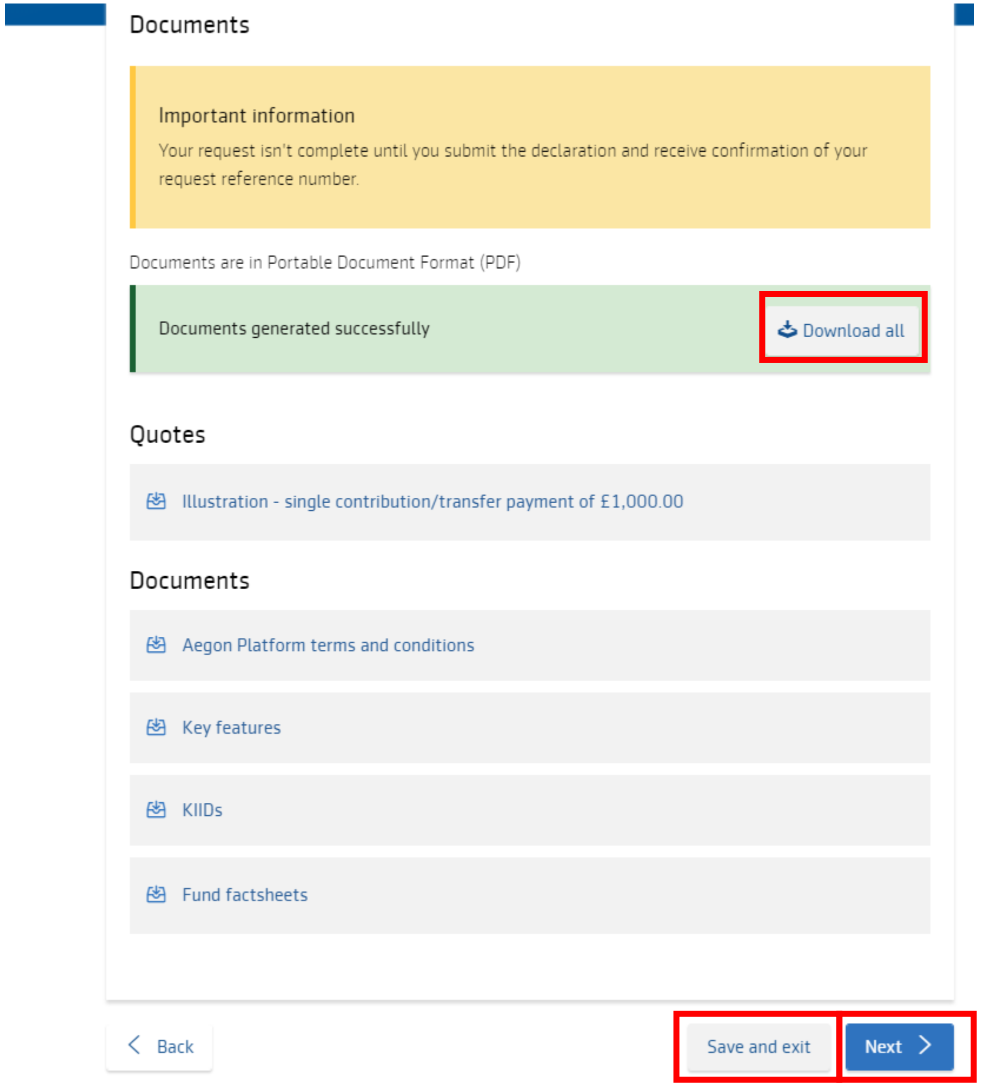
Documents

Documents relevant to the application are shown here.

Select **Download all**.

Select **Next** or **Save and exit** to retrieve the quote and apply at another time.



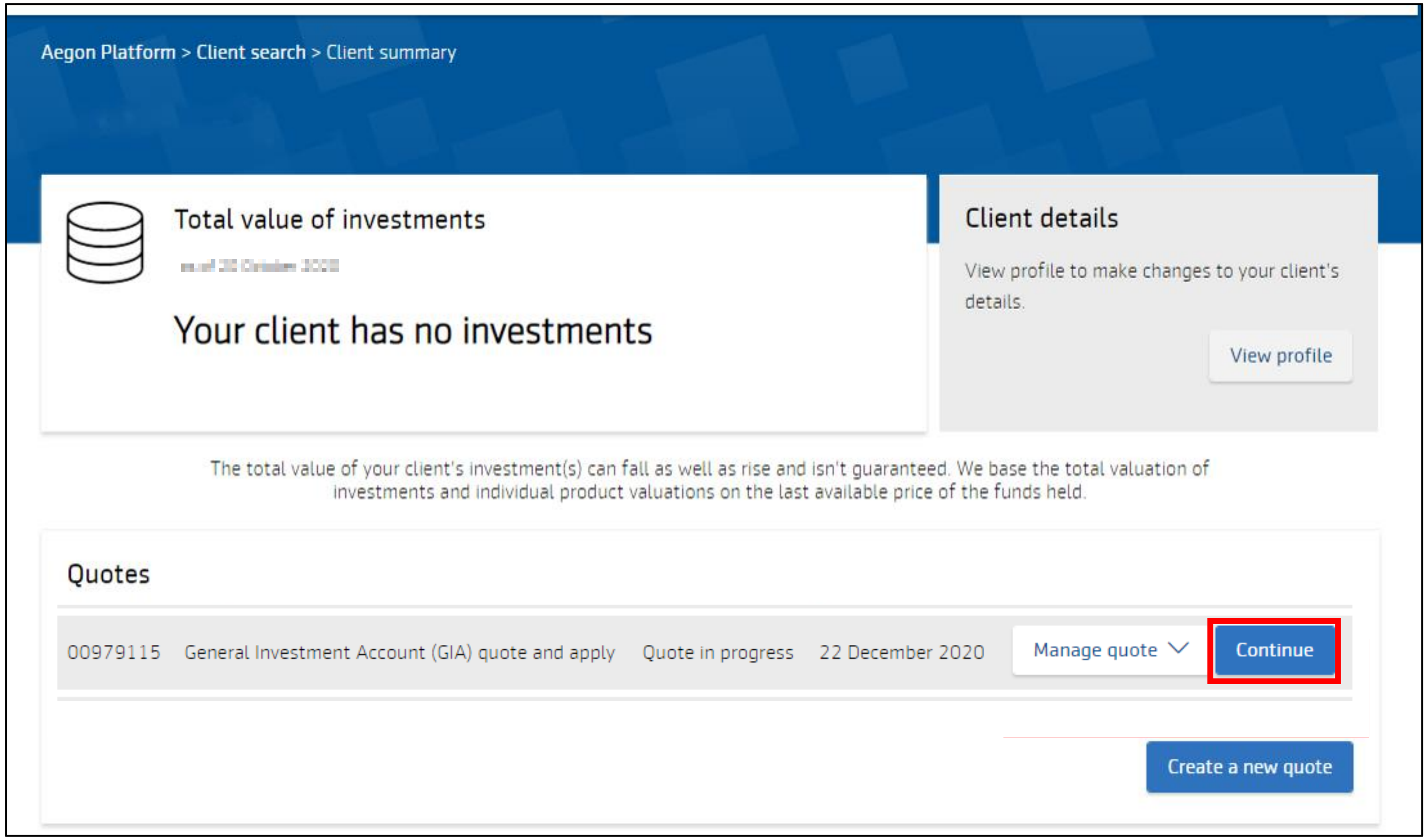
ISA/GIA application

Retrieve a quote

In the client summary screen select **Manage quote** next to the relevant quote to:

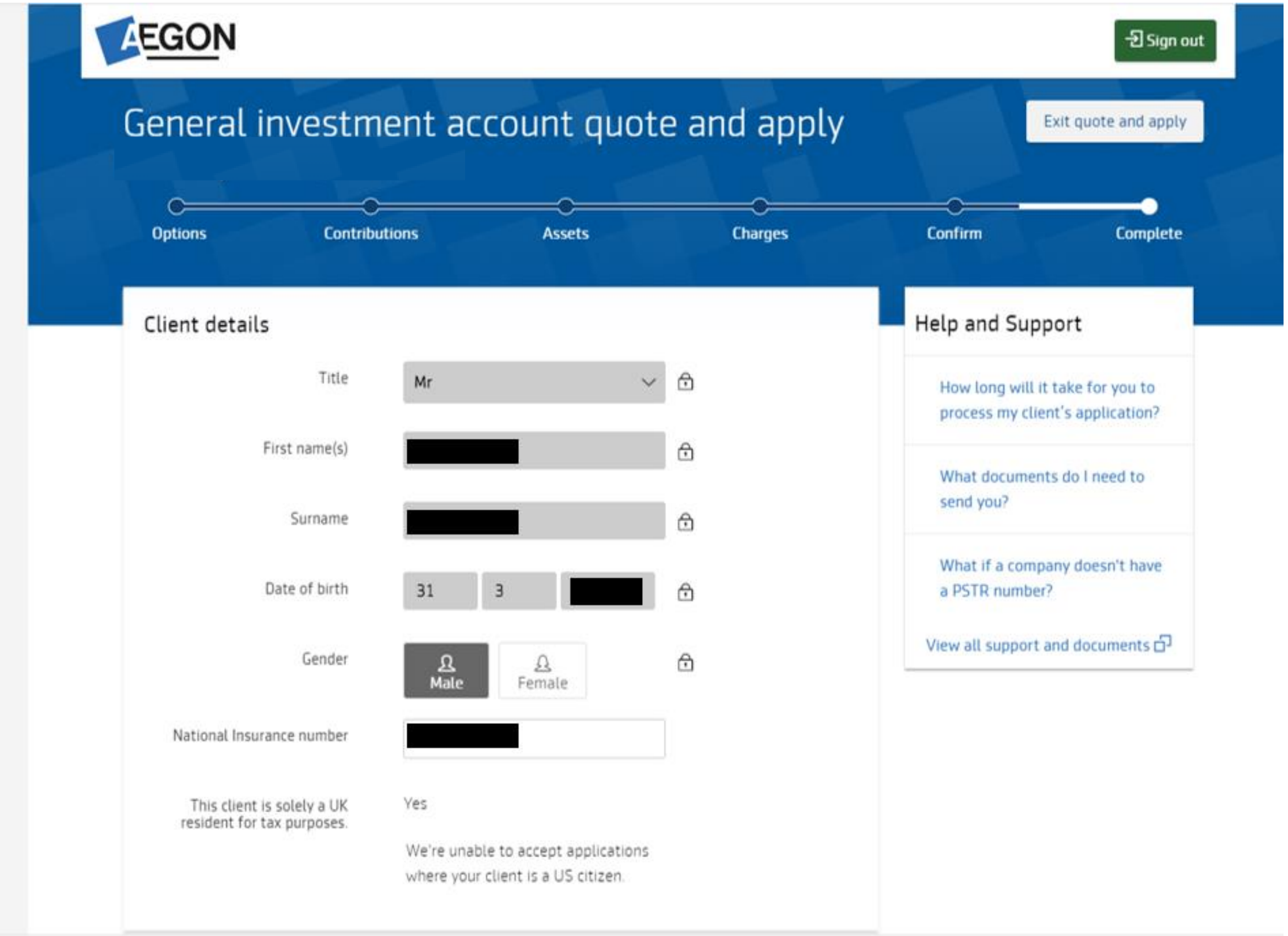
- View
- Edit/Quote again
- Delete

If you don’t want to make any changes, select **Continue**.



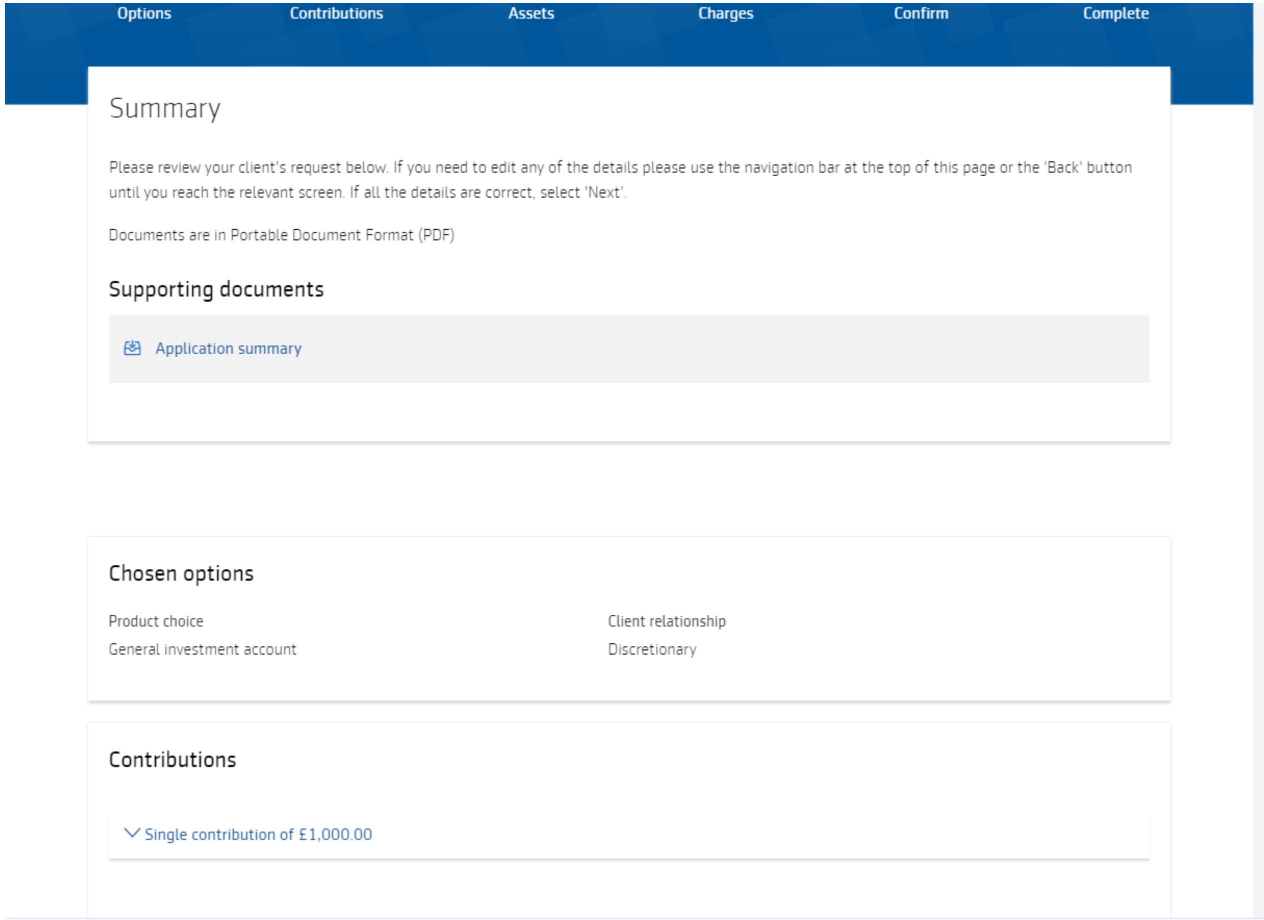
Client details

Pre-populated client information will appear.



Application summary

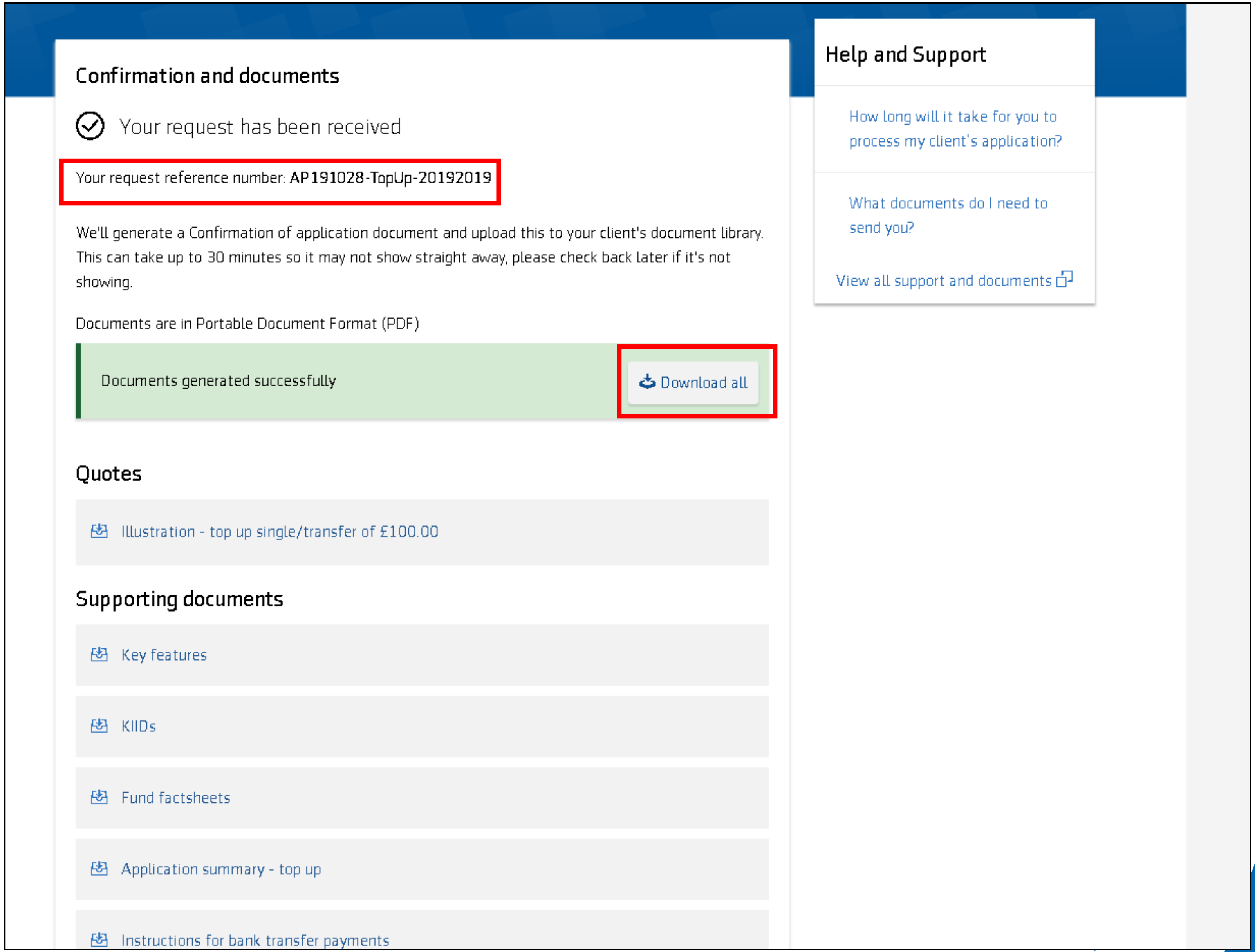
You can review the full application on the **Summary** screen.



Completed application

You'll see your reference number for the transaction at the top of this page. You can make a note of this, should you need to contact us about a specific transaction.

You can also download all documents relevant to the application, once you've submitted it.



Completed application

Here are some examples of the references and the format you'll see:

Transaction type	Example deal reference
New product application	AP123456-App-20190909
Top up	AP123456-TopUp-20190909
Switch	AP123456-Switch-20190909
GIA to ISA	AP123456-GIA/ISASwitch-20190909
Set up and manage regular contribution	AP123456-RegCont-20190909
Ad hoc Withdrawal	AP123456-AdhocWith-20190909
Ad hoc Adviser Charge	AP123456-AAC-20190909

Payment options

Payment Options

You can make contributions using bank transfer, debit card and cheques.

View our Making contributions to products on the Aegon Platform guide for more details.

For intermediaries only

Making contributions to products on the Aegon Platform

Your clients can make contributions to Aegon Platform products by:

- bank transfer;
- cheque, and/or
- debit card.

If they select bank transfer or cheque they'll need the details below.

Please remember to set up a request so we can allocate the payment. If we don't receive a request we'll return the payment to your client. Find out how to set up a request below.

Setting up a request

Aegon ISA and Aegon GIA

- To set up a new product, submit an online application.
- If you want to top up an existing product, submit a request online by selecting Top up on the client or product summary.

Aegon SIPP

- To set up a new product, submit an online application.
- To top up an existing product, submit a request online by selecting Top up on the client or product summary.

Cofunds Pension Account

- To set up a new product, complete a Cofunds Pension Account provided by Curtis Banks application form.
- To top up an existing product, complete a Cofunds Pension Account additional contribution form.
- You can generate an illustration online for new products or top ups using the CPA portal from your dashboard.

Pensions | Investments | Protection

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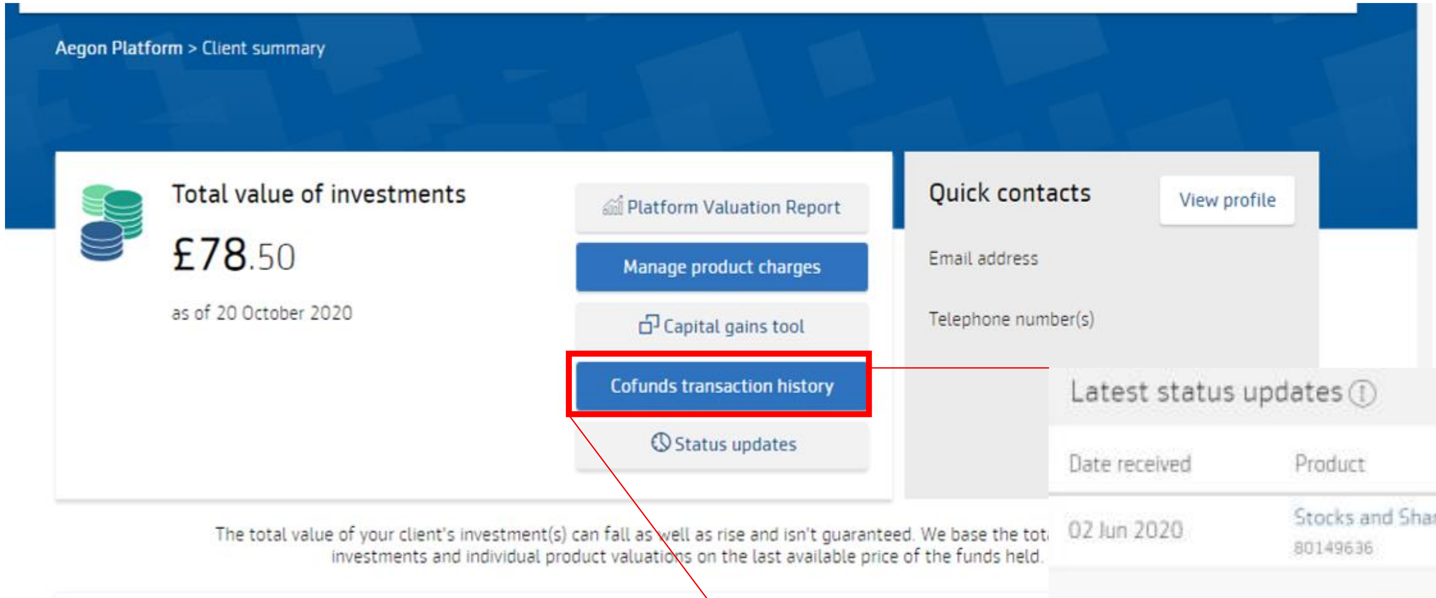
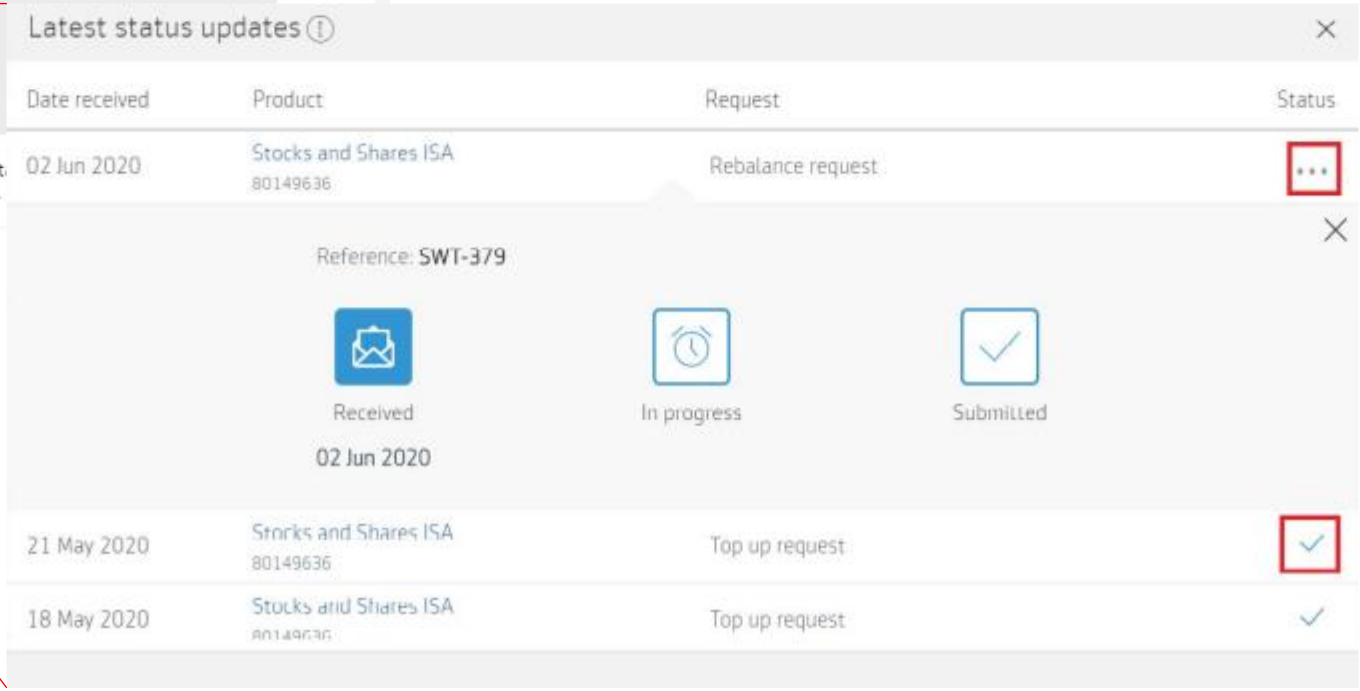
Progress of your application

Status updates



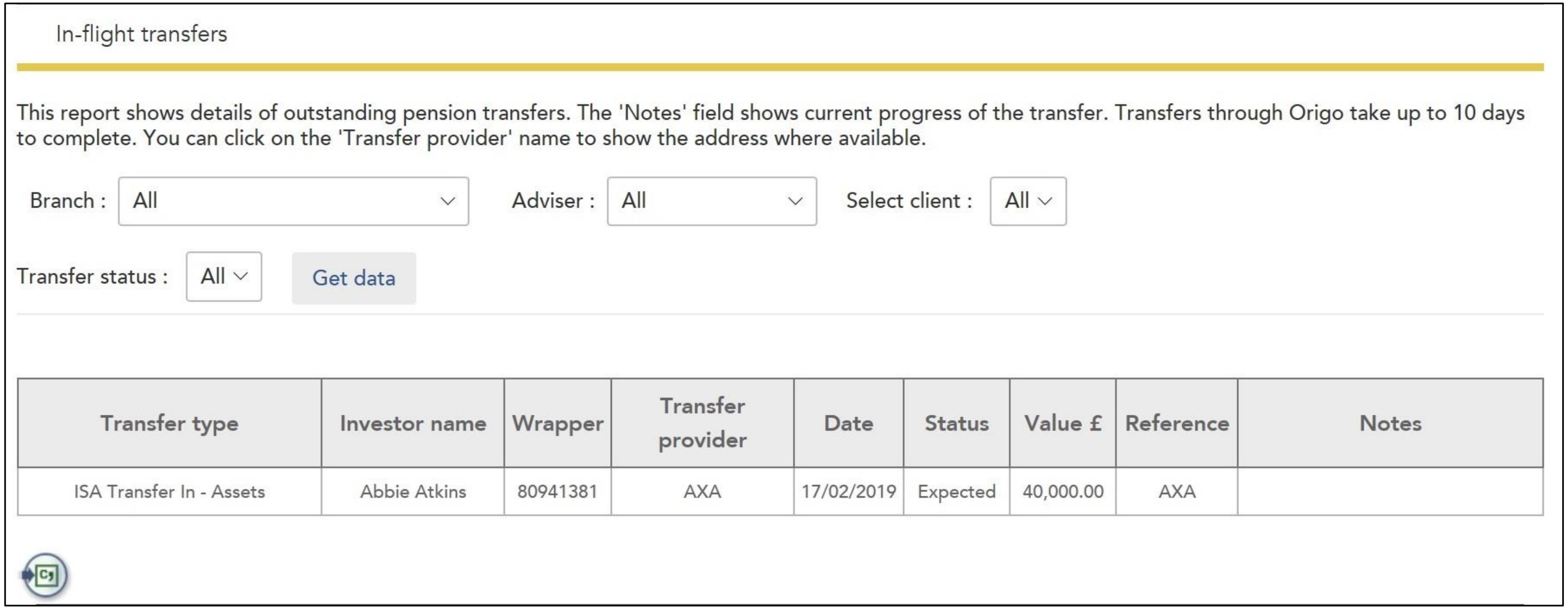


Status updates provides an overview of requests you or your client submit to us.

Your guide to status updates on Aegon Platform provides more information.

Transfer tracker

In the **Product Wrappers opened and held** section of our Report Zone, the **In-flight transfers** report allows you to keep track of any transfer applications.



In-flight transfers

This report shows details of outstanding pension transfers. The 'Notes' field shows current progress of the transfer. Transfers through Origo take up to 10 days to complete. You can click on the 'Transfer provider' name to show the address where available.

Branch : All Adviser : All Select client : All

Transfer status : All Get data

Transfer type	Investor name	Wrapper	Transfer provider	Date	Status	Value £	Reference	Notes
ISA Transfer In - Assets	Abbie Atkins	80941381	AXA	17/02/2019	Expected	40,000.00	AXA	

Learning outcomes

Learning outcomes

- How to use your dashboard to invest in an ISA or GIA.
- You should be able to justify and additional documentation required from your client.
- How to check the progress of your transfer applications easily.

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