

Transfer Application for all Pre-Premier Series

How to fill out this form

Please use black ink and CAPITAL LETTERS or tick ☒ as necessary.

Any corrections must be initialled; do not use correction fluid.

The receiving scheme is a money purchase scheme insured with Prudential.

The new scheme managers will usually want to know the HM Revenue & Customs Pension Scheme Tax Reference (PSTR).

The Normal Retirement Date set when the member joined the Scheme.

* There are a number of possible ways you may trigger the Money Purchase Annual Allowance (MPAA) when accessing your benefits flexibly. Your pension scheme or provider will have informed you if this is the case. For further information please speak to your Financial Adviser.

About this form

If you have any questions about this form, you can call us free on 0808 234 3030 between 8.30am to 6pm Monday to Friday. We might record your call for training and quality purposes.

- Please use a separate form for each transfer value.
- As you complete the form, please read the notes. They are there to help you.
- Sections A – D should be completed by the receiving scheme trustees and
- Sections E – F by the paying scheme/arrangement.
- Copies of plan terms and conditions and the completed application form are available on request.
- Part G should be completed by the financial adviser.

It is a serious offence to give false information. To do so, could lead to prosecution.

Part A – Details of receiving scheme

Name of Scheme

Retirement Benefits Scheme

Prudential Scheme Reference Number

 P

Pension Scheme Tax Reference (PSTR)

Part B – Member's details

Title Mr Mrs Miss Ms

Other

Surname

Forename(s)

Gender

Female ☐

Male ☐

Date of birth

Normal Retirement Date (must be a birthday)

National Insurance number

Have you previously accessed benefits flexibly?*

Yes ☐ No ☐

If Yes, please specify the date these were accessed.

Part C – Investment of contributions

Please complete the table below to confirm the investment fund(s) to be used if the transfer value:

- is NOT to be invested in a Lifetime Investment Profile, or
- is to be invested in a Lifetime Investment Profile and you want to choose the investment linked fund(s) to be used initially. Alternatively, you can leave the selection to us (there is a set basis, we do not make an individual choice). Your fund guide shows what this will be.

Please see your fund guide, this is available from your financial adviser.

Prudential Funds	% to be invested in each fund
	%
	%
	%
	%
	%
	%
	%
	%
	%
	%
	%
	%
	%
	%
	%
	%
	%
	%
	%
	%
	%
Total	100%

If you want one of the following Lifetime Investment Profiles, please complete the rest of this section (ticking only one box). Otherwise, please go to Part D.

Lifetime Investment Profiles

Please tick only **one** option.

- ☐ Lifetime Investment Profile targeting **retirement options**
 - ☐ Lifetime Investment Profile targeting **an annuity**
 - ☐ Lifetime Investment Profile targeting **100% cash**
 - ☐ Lifetime Investment Profile targeting **drawdown**

If you have chosen one of the Lifetime Investment Profiles without choosing any investment linked fund(s) above, we'll assume that you are happy to start with the funds we choose for you. There is a set basis, we don't make an individual choice.

Please go to part D.

Part D – Declaration

We declare that to the best of our knowledge and belief, the information given in this application is true and complete. We agree to accept the transfer value in respect of the member detailed in Part B.

Signed for and on behalf of the Trustees of the receiving scheme.

Signature _____ Date _____

Date _____

D	D	M	M	Y	Y	Y	Y
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Sections E to F of this form should be completed by the trustees or administrator of the transferring arrangement, or insurer of 'Section 32' or retirement annuity plan.

Part E – Details of transfer value and transferring arrangement

Member's name

Name of transferring arrangement

Name and address of trustees or administrator of transferring arrangement

Postcode

What type of pension is this?

☐

Occupational Pension Scheme – DB

☐

Occupational Pension Scheme – DC with Safeguarded (GAR or GAR equivalent)

☐

Occupational Pension Scheme – DC with Safeguarded (non-GAR or GMP)

☐

Occupational Pension Scheme – DC with no Safeguarded

☐

Buyout with Safeguarded (GMP or Deferred Annuity)

☐

Buyout with no Safeguarded

☐

PP/RAC/FSAVC with Safeguarded (GAR or GAR equivalent)

☐

PP/RAC/FSAVC with Safeguarded (non GAR)

☐

PP/RAC/FSAVC with no Safeguarded

If the transfer is coming from an overseas arrangement, the scheme must be a Recognised Overseas Pension Scheme (ROPS), and further information may be required.

Please make cheque payable to Prudential and include either the scheme or the member's name for identification e.g. Prudential: re. A. N. Other

If the transfer is coming from an Overseas scheme, please tick this box

☐

Amount of transfer value

£

If the transfer is as a result of a divorce 'pension sharing' order, the transfer can't proceed unless the Trustees and Prudential agree that the pension credit can be held in the scheme.

If the transfer value is subject to a Court Order following the member's divorce (an "earmarking order"), a copy of this order is attached.

Copy attached

☐

Is any part of the transfer uncrystallised rights* that originated in an approved occupational pension scheme where, on or after 27 July 2004 but before 6 April 2006, they took a tax-free lump sum but delayed taking pension?

Yes

☐

No

☐

If **Yes**, and this doesn't apply to the whole transfer value, please confirm the value that has already attracted tax-free cash

£

Is the transfer part of a block transfer from a registered pension scheme?

Yes

☐

No

☐

Note: If the member has been a member of our scheme for more than 12 months we'll ignore any details given below.

If Yes, please complete rest of this section. If No, go to section F.

Does the member qualify for Protected Tax Free Cash for pre 6 April 2006?

Yes

☐

No

☐

If **Yes**, Protected Tax Free Cash amount at 5 April 2006

£

Fund value at 5 April 2006

£

Does the Transfer Value include the value of any contributions paid, or benefits earned, after 5 April 2006?

Yes

☐

No

☐

* Uncrystallised rights are funds that have not yet been applied to provide pension income or moved into a drawdown pension.

Part E – Details of transfer value and transferring arrangement – continued

Has there been a previous partial transfer out from the scheme?

Yes ☐

No ☐

If **Yes**, value of previous transfer out

£

Are all benefits available from the scheme payable as a Standalone Lump Sum?

Yes ☐

No ☐

Does the investor qualify for Protected Early Pension Age?

Yes ☐

No ☐

If **Yes**, Protected Early Pension Date (must be a birthday)

£

Part F – Declaration

We declare that:

- to the best of our knowledge and belief, the information on this form is true and complete.
- the member has agreed in writing to, or requested, payment of the transfer value as detailed on this form.
- the transfer value detailed in this form is
 - consistent with UK legislation and
 - meets the requirements for equal treatment of retirement benefits between males and females in the same category of employment to the extent required by the Treaty of Rome.

Signature

Date

D	D	M	M	Y	Y	Y	Y
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For and on behalf of the administrator or trustee of the transferring scheme or the insurer of the transferring arrangement or contract.

Part G – How we use your personal information

We, Prudential UK (part of M&G plc), may receive your personal information from the trustees of a pension scheme, your employer, or other financial services organisations (known as a Data Provider) and/or direct from you. Regardless of where we obtain such information from, we take the privacy and protection of your personal information seriously. We own the personal information we hold about you and decide what happens to it. This makes us a Data Controller in respect of the personal information. You should note that the Data Provider will also be a data controller in respect of the personal information they hold about you.

We've set out below information about our processing of your personal information, what rights you have, and how you can get in touch if you want to know more.

When we say personal information, we mean information about you which we receive from a Data Provider or any other personal information you provide directly to us. For example, this may include your name, date of birth and contact details. We collect personal information from you that is necessary for us to either provide you with the product or service you've requested or to comply with statutory or contractual requirements. Unfortunately if you don't provide all of the information we require this may mean we are unable to provide our products and services to you.

Part A – How we use your personal information and why

We, M&G plc and our Business Partners, will use the personal information for the following purposes:

- the administration of our products and services, including to enable us to perform our obligations under any contracts or policies to you and to provide any relevant services as discussed with you prior to any purchase of a product or service
- complying with any regulatory or other legal requirements
- carrying out checks using agencies such as credit reference agencies, tracing companies, or publicly available information (see Part B for more)
- the provision of customer services – like to reply to a question, or tell you that something's changing
- automated decision-making or profiling (see Part C for more)
- keeping your information on record and carrying out other internal business administration

In addition, we, M&G plc, and our Marketing Partners, will use the personal information you provide to us, together with other information, to send you direct marketing offers by electronic and non-electronic means including by post, as well as sending you introductions to products and services from carefully selected third parties also by post. Please see Part G for further details.

Some of the purposes above are necessary to allow us to perform our contractual obligations to you and to enable us to comply with applicable laws and regulation. We may also rely on legitimate interests or other legal bases in using and sharing your personal information for the purposes described above to improve our products and services. This allows us to explore ways to develop our business and to gain insights into how our products and services are used. To the extent that we need your consent to use your personal information for the purposes described above, you explicitly provide your consent by signing and returning this form, or as set out in Part G as appropriate. To the extent that your personal information is provided to us by a Data Provider and we need your consent to use your personal information for the purposes described above, the Data Provider is responsible for providing the consent to us.

Who we share your personal information with and why

We may share your personal information within M&G plc and with our Business Partners, for any of the purposes set out in Part A. If you have a joint policy or investment, the other person may receive your personal information too. If appropriate, we may also pass on your personal information to financial crime prevention agencies, any legal, regulatory or government bodies.

As we, M&G plc, and some of our Business Partners are global companies, we might need to send your personal information to countries that have different data protection laws to the UK or the European Economic Area. These transfers will only be to countries in respect of which the European Commission and, where applicable, the UK Government has issued a data protection 'adequacy' decision, or to other countries, such as India or the United States of America, but only where appropriate safeguards have been put in place first. In more limited circumstances, we may also need to rely on a derogation under applicable privacy laws.

If you want to know more about these safeguards – like our use of the European Commission's or UK's Model Clauses which govern the transfer of information outside of the European Economic Area and UK respectively – further information is available on request.

Any transfer of your personal information will always be done securely.

We keep your personal information for a set amount of time

Your personal information will be stored either for as long as you (or your joint policyholder) are our customer, or longer if required by law or as is otherwise necessary. It'll always be in line with our data retention policy.

Part B – Reference checks

For certain products, we may use approved credit reference agencies, tracing companies, financial crime prevention agencies, or publicly available information, to help us to check your identity, as well as to prevent fraud and money laundering; this may include checks on your current or previous addresses. Results of these may be recorded for future reference.

These checks may also be carried out for a joint policy holder or person(s) that you provide personal information on. Should we ever lose contact with you, we may use these agencies to verify your address to help us get back in touch.

Part C – We may use your personal information to make automated decisions or profile you

We, M&G plc, our Business Partners, and our Marketing Partners may use your personal information to make automated decisions affecting you or to conduct other profiling (for example, marketing profiling).

To the extent that we conduct such automated decision making activity, we'll provide you with further information at the appropriate time.

Part D – Use of your sensitive personal information

For certain products or services, we'll need to process your sensitive personal information, such as information relating to health, genetics, biometric identifiers and sexual orientation, a Data Provider may from time to time provide this to us. In such circumstances the Data Provider is responsible for obtaining any explicit consent necessary for us to process this kind of personal information. Alternatively, if you provide sensitive personal information to us, to the extent that we need your explicit consent to process this kind of personal information in the manner described in Parts A, B, and C, you explicitly provide your consent by signing and returning this form.

Part E – You're in control

When it comes to how we use your personal information, you've got the right to:

- request a copy of your personal information for free (we may charge you for this if the request is manifestly unfounded or excessive)
- in certain circumstances request that we move your personal information to another organisation if you want us to
- request that we correct anything that's wrong, or complete any incomplete personal information
- ask us to delete your personal information if it is no longer needed for the purposes set out in Part A or if there is no other legal basis for the processing
- limit how we use your personal information or withdraw your consents (including automated decision making) you have given for the processing of your personal information
- object to us using your personal information for direct marketing (including related profiling) or other processing based on legitimate interests
- complain to a data protection authority or another independent regulator about how we're using it.

If you want to do any of these things, or would like an explanation as regards these rights, we've explained how you can get in touch in the Contact Us section.

If you do need to speak to us, it'll be useful to have to hand that the data controller of your personal information is Prudential UK. Prudential UK have also appointed a Data Protection Officer who can be reached at the address shown in the Contact Us section of this document.

We may monitor or record calls or any other communication we have with you. This might be for training, for security, or to help us check for quality.

As set out at the start of this notice, a Data Provider is also a Data Controller in respect of your personal information and you are likely to have similar rights in respect of the personal information held by a Data Provider.

Part F – Acting on someone else's behalf?

If you give us personal information about another person (or persons), we'll take that to mean they have appointed and authorised you to act on their behalf. This includes providing consent to:

- our processing of their personal information and sensitive personal information (as we've explained in Parts A, B, C, and D above)
- you getting any information protection notices on their behalf.

If for any reason you are concerned as to whether you are permitted to provide us with the other person's information, please contact us on the phone number below before sending us anything.

Part G – Direct marketing

We and M&G plc will still send you information by post about the Prudential UK and M&G plc products and services and carefully selected third parties.

Additionally, from time to time, Prudential UK and M&G plc would like to contact you by electronic means with details about products, services and any special offers. Please note that any consent you give will not apply to M&G Investments Group and Prudential International Assurance plc as they operate their own customer databases and may contact you separately.

If you consent to us contacting you for this purpose by electronic means, please tick to say how we may contact you (tick as many or as few as you like):

Email ☐ Phone ☐ Text ☐

And if you change your mind, and/or you would like to opt-out of receiving non-electronic direct marketing, it's easy to let us know. Just call us on **0800 000 000**.

Part G – How we use your personal information – continued

Contact us

If you want to exercise your rights in Part E or if you require any other information about any other part of this notice, you can contact us in a number of different ways.

Write to us at:

**Customer Service Centre
Prudential
Lancing
BN15 8GB**

Call us on: **0800 000 000**

Or visit: **pru.co.uk**

Prudential UK means The Prudential Assurance Company Limited and Prudential Pensions Limited, as appropriate.

M&G plc, means any affiliates of Prudential UK (including, Prudential Distribution Limited, Prudential International Assurance plc, PGDS (UK ONE) Limited, Prudential Life Time Mortgages Limited, M&G Global Services Private Limited, M&G Investments Group, M&G Wealth Advice Limited and Prudential Corporate Pensions Trustee Limited).

Business Partners means our service providers, accountants, auditors, IT service and platform providers, intermediaries, reinsurers, retrocessionaires, investment managers, agents, pension trustees (and other stakeholders), scheme advisors, introducers, selected third party financial and insurance product providers, and our legal advisers.

Marketing Partners means our service providers, intermediaries, pension trustees (and other stakeholders), scheme advisors, introducers and selected third party financial and insurance product providers.

For Prudential use only

Cheque acknowledgement number

Date stamp

Cheque amount

£

Adviser details (all financial advisers to complete)

Please answer all question in this section.

Was advice given?

Yes

☐

No

☐

Registered Individual's forename

Registered Individual's Surname

Please provide your FCA Individual Reference Number (IRN)

e.g. A B C 1 2 3 4 5

Please provide your Prudential agency number, name and address

e.g. 1 2 3 4 5 6 X

Agency name and address stamp

