

Declaration of beneficial ownership

Supplementary form for trustee and company applications

Notes to help you

This form should be used along with all applications by a Trust or Corporate Entity.

Before completing this form, you must read the Privacy Notice in Section 3. It explains how we use your personal data and why we're collecting it.

The personal information you provide is being collected for the purpose of entering into a contract and to discharge our legal responsibilities. If you don't provide the requested information, your application will not be processed.

Prudential International Assurance plc requires this information so that we can meet our legal and regulatory obligations.

We're required to identify and verify those persons or entities that are beneficial owners of a trust, corporate entity or other arrangement that has applied for a bond. A beneficial owner is a person or entity that has an interest in the bond or that will receive a benefit arising from payout of the bond.

Please list ALL individuals who are Beneficial Owners in respect of the bond. Please see below for definition of whose details should be provided.

If the personal information details you include in this form in relation to beneficial ownership change at any time, please provide us with the details of the change in writing as soon as possible after such a change takes place, together with the documentation required to verify the change.

Please use black ink and write in CAPITAL LETTERS. Any corrections must be initialled – please don't use correction fluid as this will invalidate your application.

Please send the completed form to: **Prudential International, Stirling FK9 4UE.**

If you have any queries while completing this form, please speak to your financial adviser or call **0808 234 2200**. Lines are open Monday to Friday, 9am to 5pm.

Corporate Entities and LLPs

- Each individual who has an interest in the entity of 25% or more, and/or who exercises control over the management of the entity;
- if no such parties are identified, the beneficial owners are the individuals holding the position of senior management of the entity (at least 2 must be verified).

Partnerships

- any partner with an interest of 25% or more in the capital or profits of the partnership, or a party that exercises control over the management of the partnership, or on whose behalf transactions are conducted.

Non-corporate trusts

- Each individual named beneficiary of the trust entitled to an interest in the trust, regardless of percentage interest.

Corporate trusts (including QROPS providers unless the QROPS is regulated)

- Each individual named beneficiary of the trust entitled to an interest in the trust, regardless of percentage interest.
- Where the beneficiary of an interest in the trust is not an individual, i.e. it is a corporate body, any individual who controls that corporate body and/or has an interest in it of 25% or more will be the beneficial owner(s) with regard to the interest entitlement of that corporate body in the trust.
- Where the Settlor is not an individual, i.e. it is a corporate body, any individual who controls that corporate body and/or has an interest in it of 25% or will be the beneficial owner(s) with regard to the interest entitlement of that corporate body in the trust.
- Protector of the trust.
- any individual who has control over the trust e.g. the trustees. If details of the trustees are given elsewhere in the application, they do not need to be provided again here.

Section 1 – Bond details

Please complete this section in full.

Name of Trust /Company applicant

Bond number if known

Application date

Section 2 – Beneficial owner details¹

First or only beneficial owner

Surname

Full forenames

Mr Mrs Miss Ms Other

Address

 Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Holding % (whole % only)

Capacity (eg settlor, protector, beneficiary, trustee)

Second beneficial owner (if applicable)²

Surname

Full forenames

Mr Mrs Miss Ms Other

Address

 Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Holding % (whole % only)

Capacity (eg settlor, protector, beneficiary, trustee)

Notes

¹ For all beneficial owners, we will need documents verifying their address and their personal identification. If you don't provide the requested information, then there will be a delay in processing your request and any monies provided may be returned to the source account.

² If there are more than two beneficial owners, please photocopy this page, complete and return with the application.

Section 3 – How we use your personal information

Privacy Notice

We, Prudential International Assurance Plc (PIA), take the privacy and protection of your personal information seriously. PIA will operate as the data controller in respect of the data we collect about you.

So 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, such as 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 Group* and our Business Partners**, will use the personal information you provide to us, together with other information, for the following purposes:

- the administration of our products and services, including to enable us to perform our obligations 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.

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'll use your personal information if we consider it is in our legitimate business interests so that we can operate as an efficient and effective business and ensure that our policyholders are appropriately protected. We use your personal information:

- to detect and prevent financial crime
- for marketing purposes, including profiling
- to obtain reinsurance for the policies we underwrite
- identifying customers that require additional support
- market research, data analytics including profiling, staff training and provision of on-line services
- for management information purposes including risk assessments, performance and management reporting.

Section 3 – How we use your personal information – continued

Where we rely on legitimate interests, we will always balance this against your rights and freedoms. Where your rights override our legitimate interests we will cease to process personal data.

In addition, we M&G plc and our Marketing Partners***, may use the personal information you provide to us, together with other information, to send you direct marketing offers by electronic or non-electronic means including by post, where you have consented for us to do so. Please see Part G for further details.

Who we share your personal information with and why

We are the data controller in respect of the personal information we collect about you and in this capacity we will share your personal information within M&G plc, with our Business Partners and with our Marketing 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 European Economic Area. These transfers will only be to countries in respect of which the European Commission 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 the above safeguards – like our use of the European Commission's Model Clauses which govern the transfer of information outside of the European Economic Area – further information is available on request.

We keep your personal information for a set amount of time

We'll keep your personal information while you're one of our policyholders (including joint policyholders), and for seven years from cessation, or longer if we need to by law. 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.

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

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. 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, we will only process such data as provided by your consent.

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). We shall respond as soon as reasonably possible and within one month of the date of receiving your request;
- 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 you have given for the processing of your personal information (including consents to automated decision making);
- 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 PIA. PIA has also appointed a Data Protection Officer who can be reached at the details shown in the '**Contact Us**' section.

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

Section 3 – How we use your personal information – continued

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 data privacy 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 provided in the ‘Contact Us’ section before sending us anything.

Part G – Direct marketing

From time to time, we, M&G plc, our Business Partners and our Marketing Partners may like to contact you by electronic or non-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 UK as they operate their own customer databases.

And if you change your mind, and/or you would like to opt-out of receiving direct marketing, it’s easy to let us know. Just contact us at the details noted in the ‘Contact Us’ section.

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: **Data Protection Officer
Prudential International
Montague House
Adelaide Road
Dublin 2**

Call us on: **+353 1 476 5000**

* M&G plc Group means any directly or indirectly connected companies of PIA within M&G plc Group (including but not limited to The Prudential Assurance Company Limited, Prudential Distribution Limited, Prudential Pensions Limited, and M&G Wealth Advice Limited, Prudential Services Limited, PGDS (UK ONE) Limited, M&G Global Services Private Limited, M&G Investments Group 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.

Signature

Capacity

(i.e. trustee, officer of Company)

Date

D	D	M	M	Y	Y	Y	Y
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Signature

Capacity

Date

D	D	M	M	Y	Y	Y	Y
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