

# PruFund Investment Plan Mark 3 application form

## How to fill out this form

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

Any corrections must be initialled by the applicant. Please do not use correction fluid as your application will be returned.

All sections marked as mandatory should be completed, or it might delay the investment of your funds.

## Some information before you start

Your financial adviser can apply online.

- It's really important to think about whether this product is right for you. If you have any questions when completing this application form, please speak to your financial adviser.
- Before you invest in this product you should read our Key Information Document and relevant Investment Option Document(s). These include important information which may help you make up your mind. Your financial adviser can provide these.
- You must be aged 18 or over to be the owner of the plan.
- The minimum age of each person to be covered is three months and for a single life they must be aged under 85 (next birthday).
- If a plan is to be on two lives, one person must be aged under 85 (next birthday).
- The minimum investment is £10,000 after any set-up adviser charges have been deducted.
- The maximum investment is £5m. Any growth on this plan is not subject to the limit. If you want to invest more than this, please speak to your financial adviser.

## Joint applicants (owners)

When a plan is jointly owned and one owner dies, ownership of the whole plan automatically passes to the surviving owner.

The death benefit for will only be payable when both persons covered by the plan have died.

If joint applicants do not have the same address, all future correspondence will be sent to the address of the first named applicant.

## Applications on the life of another person

If the plan is being taken out on the life of someone else please complete Section 8, Part E.

## Trust applications

If the investment is to be made by the trustees of an existing trust, or a new Prudential Loan Trust, please complete Section 8, Part F.

### Trustees – Trust Registration Service (TRS) requirements

By completing this form it means that you must comply with the requirements under the Trust Registration Service (TRS).

Before you start to complete the process, we recommend that you read this guide which will help you understand what is required: [mandg.com/pru/adviser/trs](https://mandg.com/pru/adviser/trs)

**IMPORTANT: For individual applications for policies to be issued into trust a copy of the Proof of Registration document showing registration details must be sent in along with the application.**

- A copy of the Proof of Registration document dated within the last 30 days will need to be sent to us along with this form unless there is an exemption.
- All details of the trust on the TRS (such as trustees, beneficiary classes and named beneficiaries) must match what's held on the trust document.

If you need more general information, further details can be found at [gov.uk/guidance/register-a-trust-as-a-trustee](https://gov.uk/guidance/register-a-trust-as-a-trustee)

## Some information before you start – continued

### Questions about this form?

Please speak with your financial adviser in the first instance.

You can call our customer service team on **0800 000 000** – lines are open Monday to Friday between 8.00am and 6.00pm. We might record your call for training and quality purposes.

### When you have finished filling in this form

Your financial adviser can send this form by email to **contact.us@prudential.co.uk**

Alternatively, you can post it to us at: **Freepost, Prudential, Lancing BN15 8GB.**

If your completed application doesn't contain an original signature or electronic equivalent, a signatureless declaration form will need to be sent with it. Your adviser will complete this.

When your plan is live you'll be able to register for our online service at **pru.co.uk/registernow**. You'll be able to check on your bond's value, make online withdrawals (if available), get in touch, and let us know about changes to your details anytime, all while using less paper.

### Adviser notes

If you are an adviser and have any questions about this form, please call our Adviser Centre on **0808 234 0808**. Lines are open Monday to Friday between 8.30am and 6.00pm.

For guidance on which applications can be submitted online go to **mandg.com/openwork/signatureless**

You can find more information on our products and services, including the Key Information Document and Investment Option Documents, at **pruadviser.co.uk**

Please remember to complete Section 11, the adviser checklist, before returning this form.

### Completing this application form

- **Section 1** should be completed with the details of the person(s) to be covered and on whose life/lives the plan depends. (The plan will become a claim on their death.)
- **Sections 2 to 8** should be completed with the details of the applicant(s), who will become the policy owner(s) and must be aged at least 18.
- **Sections 9 to 11** should be completed by the adviser.
- **Section 8** ensure the plan owner has answered the tax residency question and if required, completed the Tax Residency Self-Certification Declaration form.
- **Section 8** we require signatures for the following parts of this application:
  - **Part B** – Single applicant (owner) on own life
  - **Part C** – Single applicant (owner) on own life and another
  - **Part D** – Joint applicants (owners) on own lives
  - **Part E**
    - Single or joint applicant(s) (owner(s)) on single or joint life of the person(s) to be covered
    - UK company or organisation as applicant (owner) on single or joint life of the person(s) to be covered
  - **Part F** – Applications by trustees of existing trusts and new Prudential Loan Trusts.

Mandatory section.

## Section 1 – Personal details of the person(s) to be covered

### First (or only) person to be covered

Title Mr  Mrs  Miss  Ms  Dr  Other

Surname

First names

Current address   
  
Postcode

Phone number

Email address

Date of birth

Gender Female  Male

## Section 1 – Personal details of the person(s) to be covered – continued

### Second person to be covered (if applicable)

Title Mr  Mrs  Miss  Ms  Dr  Other

Surname  First names

Current address   
  
 Postcode

Phone number  Email address

Date of birth         Gender Female  Male

## Section 2 – Details of your investment and set-up adviser charge instructions

How much are you investing? You can ask us to pay on your behalf any set-up adviser charge that is due to your adviser.

The amount invested in your plan will be calculated as:

A) Your payment (The total amount you are sending to us)  £

B) Set-up adviser charge (if any) (The amount or percentage you would like us to pay to your adviser on your behalf. If you do not want us to pay any set-up adviser charge, please tick No).  £  
or  
 %  
or  
 (No payment)

C) Amount to be invested into your plan – minimum £10,000 – into your plan after any set-up adviser charges have been deducted.  £

### We have limits which set out the maximum level of adviser charging which we will facilitate.

- For set-up adviser charges this is 5% of the single contribution.
- The aggregate of all set-up adviser charges and ad hoc adviser charges cannot exceed £30,000 in any 12 month period.

Person(s) covered means life/lives assured

Mandatory section.

Please make sure you complete A, B and C.

If there are any discrepancies in the calculation, we will pay the amount specified in Box B to your adviser and we'll invest the remaining amount (A minus B) into your bond.

Mandatory section.

### Section 3A – Payment method

Please select your payment method (select one);

1) BACS or Bank transfer:  or

2) Cheque:

#### For BACS or Bank transfer payments:

Prudential bank details:

- Bank name: HSBC
- Sort code: 40-02-50
- Account number: 51015419
- Account name: Prudential Assurance Company Limited

Prudential registered office address details (your bank may ask for it):

- 10 Fenchurch Avenue, London EC3M 5AG.

Reference to quote:

Your policy number and surname(s). If you don't know your policy number please use your initials and surname(s).

#### For cheque payments:

- Please make cheques payable to The Prudential Assurance Company Limited.
- If the cheque isn't drawn on your personal account we may ask for proof the money belongs to you.
- Cheques drawn from a business account aren't acceptable for personal investments.
- All bank/building society "counter" cheques must include reference to the name of the account from which the funds have been withdrawn. For example, "The Prudential Assurance Company Ltd – Re: Your name".
- An incorrectly completed cheque may require us to return your cheque which could affect the initial purchase price of your investment.

**Important:** Your payment will be invested when we've received all the information needed to process your application. To avoid delays, please make sure all sections of this form are completed correctly and any additional documents that are needed are sent with it. If anything is incorrect or missing it will delay the processing of your application and the investment of your payment.

Mandatory section.

### Section 3B – Where do you want to invest your money?

For information on the funds available, please refer to your Key Features Document or speak to your financial adviser.

Please make your selections in the table below:

- The minimum investment in each fund is £500.
- Only one PruFund Protected Fund is allowed per plan. If you're opting for the 10 year guarantee, please make sure you include the PruFund Protected Fund in the table below.

Fund names	% to be invested in each fund
	%
	%
	%
	%
	%
<b>Total (must add up to 100%)</b>	<b>100%</b>

### Section 3C – Number of segments required

- Your bond can be issued as a group of segments.
- You can choose either the maximum number of segments available to you or the number of segments you would like. The maximum available will be based on your investment amount after any adviser set up charges have been deducted, if applicable.
- Choosing more than 20 segments is subject to a minimum investment of £1,000 per segment.
- Your bond will be issued using the standard of 20 segments unless you tell us otherwise.

Number of segments required:

(Select A or B)

A. Maximum (please tick here, we'll calculate the number available)

B. How many segments you would like (insert a whole number, maximum 999)

## Section 4 – Taking a regular withdrawal

### 4.1 How much do you want to withdraw?

Payments will be made direct to your bank or building society. Please make sure that your account is able to receive direct credit payments.

The following withdrawal limits apply:

- Minimum payment is £50.
- When regular withdrawals start or change, the amount requested during any 12 month period cannot exceed the greater of 7.5% of the full value of your plan or 7.5% of the total amount you paid in.
- Please note that if you select ongoing adviser charges in Section 5, these will contribute towards your 7.5% withdrawal limit.
- Withdrawals are taken equally from all the policies in the plan. Withdrawals will be taken from your funds proportionally unless you provide alternative instructions by completing Section 4.3.
- If you take a regular withdrawal from a PruFund Protected Fund, the amount guaranteed will be proportionally adjusted for any withdrawals you have made.

I/We wish to receive

or  each year  
or % each year of my/our amount invested  
or % each year of the value of my/our plan

### 4.2 The frequency I/we would like to receive payments is every:

1 month  3 months  4 months  6 months  12 months

Date you wish to start taking regular withdrawals (this must be at least 30 days after the start of your plan.)

### 4.3 Enter the name(s) of the fund(s) you would like to withdraw from

Only complete this section if you want the regular withdrawals taken from specific funds

Fund name:
Fund name:
Fund name:
Fund name:

### 4.4 The account you want us to pay the withdrawal money into

Name of your bank or building society

Account name

Sort code

Roll number (if applicable)

Account number

Bank or building society address

<input type="text"/>
<input type="text"/>
<input type="text"/>
Postcode

Only complete this section if you wish to take a regular withdrawal. If you **do not** wish to take regular withdrawals go to Section 5.

Any withdrawal taken will reduce the value of your plan. If withdrawals are more than any overall growth achieved the value of your PruFund Investment Plan Mark 3 will reduce below the level of original capital invested.

Select **ONE** option only.

Regular withdrawal amounts will be deducted proportionally from all your chosen funds unless otherwise specified. If you wish the amount to be taken from selected funds please specify the name of the funds.

## Section 5 – Instructions for ongoing adviser charges

You may choose this plan to cover the cost of ongoing financial advice.

- Ongoing adviser charges will be treated as a withdrawal for tax purposes.
- If selected, they will impact the level of regular withdrawals that can be taken.
- Similarly, any regular withdrawals you have selected will impact on the level of ongoing adviser charges that can be paid from your plan.
- If your plan is to be written in a trust, it's the responsibility of all the Trustees to agree the ongoing adviser charges. If you are using a Probate Trust, Gift Trust or Discounted Gift Trust then Trustees must use the "Adviser Charge Instruction form", to agree ongoing adviser charges. This is available from your adviser.

### 5.1 Do you intend to use this plan to cover the ongoing cost of advice provided?

Yes  Please complete the rest of this section    No  Please proceed to Section 6

### 5.2 Adviser charges for ongoing advice

Please indicate how you would like the adviser charges agreed for ongoing advice to be made.

Total amount to be invested  % p.a.  
or your plan value  % p.a.  
or a fixed monetary amount each year  £

We have limits which set out the maximum level of adviser charging which we will facilitate. For ongoing adviser charges this is 1% of the fund value.

### 5.3 Frequency of ongoing adviser charges payments

Ongoing adviser charges to be deducted once every:

1 month     3 months     6 months     12 months

Date you wish ongoing adviser charges to start (this must be at least 30 days after the start of your plan)

If no date is provided, your ongoing adviser charges will start at the first available frequency indicated, e.g. if you select "3 months" then this is when the charge will begin 3 months after your plan has started.

If a date is provided within 30 days of the start date of your plan (the plan will start when all our requirements have been met), the first ongoing adviser charge will be made 30 days after your plan has started and then at the frequency indicated.

If you have selected to have ongoing adviser charges paid to your adviser from this plan, and are investing in a PruFund Protected Fund and at least one other fund, you can choose to exclude your PruFund Protected Fund from these charges.

Do you wish to exclude your PruFund Protected Fund investment from ongoing adviser charges?    Yes     No

(If you select No, all ongoing adviser charges will be taken proportionately from across all your funds and your Guaranteed Fund Value within your PruFund Protected Fund will reduce proportionately.)

## Section 6 – Return of premium death benefit

Tick here if you wish to select the return of premium death benefit option.

Please see the **Return of Premium Death Benefit Option** leaflet for full details, you can request one from your financial adviser.

Yes

## Section 7 – About your investment (all applicants)

Mandatory section.

If we discover this to be incorrect, we may cancel your plan at any time. If we do, we will return your initial investment less any withdrawals and any Investor Reward that has been paid.

In the revised Joint Money Laundering Steering Group guidance, this product has been categorised as “increased risk”. We are therefore required to gather additional information about you.

- Please answer all the questions below – Trustees of existing Trusts or Loan Trusts only need to complete Section 7.1.
- For joint applications, we’ll need both applicants to provide their details.

### First applicant

7.1 Occupation or nature of business. If a Trustee state ‘Trustee’

7.2 Annual income

£0 – £14,999

£15,000 – £29,999

£30,000 – £59,999

£60,000 – £99,999

£100,000 – £149,999

£150,000 and over

7.3 Where will the funds for this investment come from?

For example, a UK bank account

7.4 How did you raise the funds?

For example, saved from salary, inheritance, property sale, divorce settlement.

### Second applicant (if applicable)

7.1 Occupation or nature of business. If a Trustee state ‘Trustee’

7.2 Annual income

£0 – £14,999

£15,000 – £29,999

£30,000 – £59,999

£60,000 – £99,999

£100,000 – £149,999

£150,000 and over

7.3 Where will the funds for this investment come from?

For example, a UK bank account

7.4 How did you raise the funds?

For example, saved from salary, inheritance, property sale, divorce settlement.

## Section 8 – Declaration

### Data Protection Notice

We, Prudential UK (part of M&G plc), take the privacy and protection of your personal information seriously.

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 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

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.

### 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.

### 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.

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

## Section 8 – Declaration – continued

### Data Protection Notice – continued

#### 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, 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.

#### 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's 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.

## Section 8 – Declaration – continued

### Data Protection Notice – 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](http://pru.co.uk)

Prudential UK means The Prudential Assurance Company Limited, Prudential Distribution Limited, Prudential Life Time Mortgages Limited, Prudential Pensions Limited, and M&G Wealth Advice Limited as appropriate.

M&G plc means any affiliates of Prudential UK (including, Prudential International Assurance plc, 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.

#### Adviser charging

I/We authorise Prudential to act upon my/our instructions regarding the facilitation of adviser charges (the “adviser charge instruction”) whether specified here now or elsewhere at any time in future. I/We also understand that Prudential shall not be required to carry out such instructions (including any permitted by my/our adviser firm) where they conflict with any applicable law or regulation and/or where they are inconsistent with Prudential’s adviser charge administration capability.

I/We understand that where there is a difference between the adviser charge instruction and the adviser charges agreed with my/our adviser firm, Prudential will only facilitate payment in accordance with my/our adviser charge instruction.

I/We confirm that the adviser charge specified in my/our adviser charge instruction is inclusive of any VAT at the prevailing rate from time to time.

I/We understand that if the level of VAT applicable within the adviser charge changes (including where previously VAT free adviser charges become subject to VAT) Prudential will only alter my/our adviser charge following a new adviser charge instruction or instruction from my/our adviser firm which sets out the new level of charges to be deducted.

I/We understand that, with the exception of changes in the level of VAT, the adviser charge may not be increased without my/our explicit authority.

I/We agree that the adviser charge may be reduced or stopped by Prudential or my/our adviser firm without my/our explicit authority.

I/We agree that where my/our adviser firm arranges for the services I/We have agreed with them to be provided by another adviser firm, I/We authorise Prudential to amend my/our adviser charge instructions to pay the adviser charges at the existing agreed level to the new adviser firm, except where they conflict with any applicable law, regulation and/or HMRC practice and/or where they are inconsistent with Prudential’s adviser charge administration capability.

I/We confirm that I/We have discussed with my/our financial adviser the tax implications of my/our investment being net of any set-up adviser charges and also the tax implications of having my/our ongoing adviser charge deducted from the contract. I/We understand that deduction of any ongoing adviser charge will be treated as withdrawal from the Bond.

A copy of the PruFund Investment Plan Mark 3 terms and conditions and the completed application form are available on request.

#### Trusts

- If you’re applying under Parts 8 B, C or D and wish to make a gift into trust (with the trust coming into existence at the moment the policy is issued), a suitable trust request form needs to be completed by the applicant(s) and attached to this application form. Your financial adviser can provide this.
- If you’re making a gift into a Probate Trust you should apply as a single applicant under Parts 8 B, C or E. Standard forms are available from us or your financial adviser.
- Trustees of an existing trust or a new Prudential Loan Trust should apply under Part 8F.
- You must also complete and enclose the Tax Residency Self-Certification Declaration form in respect of the trust in each of the above cases. Your financial adviser can provide this.
- If the policy is to be held in trust from the moment of issue, the tax residency question in Parts 8 B, C or D in respect of the individual applicant(s) does not need to be answered. The Tax Residency Self-Certification Declaration form should be completed in respect of the trust only.
- A copy of an excerpt showing details of registration on the Trust Registration Service must be submitted along with the application unless an exemption applies.

## Section 8 – Declaration – continued

### Part A

#### Signatures

This application should be read and signed by the person(s) who will own the plan. For your own benefit and protection, you should carefully read the documentation provided before signing this form. You should also carefully read any further documentation provided to you in the future. If there is anything you do not understand, please ask us for further information.

By signing this form I/we confirm I/we have read the Key Information Document and relevant Investment Option Document(s) for this product.

**Please complete only one of Part B to Part F below as appropriate:**

Part B – Single applicant (owner) on own life

Part C – Single applicant (owner) on own life and another

Part D – Joint applicants (owners) on own lives

Part E – Single or joint applicant(s) (owner(s)) on single or joint life of the person(s) to be covered

– UK company or organisation as applicant (owner) on single or joint life of the person(s) to be covered

Part F – Applications by trustees of existing trusts and new Prudential Loan Trusts.

### Part B – Single applicant (owner) on own life

I make the application for a policy(ies) of life assurance on my life and request that the policy(ies) be issued to me and any amount payable under the policy(ies) be paid to me or my executors or administrators.

Do you complete tax returns **in any other countries** outside of the UK, or are you a tax resident in an **overseas country**? Yes  No

**If Yes, please complete the Tax Residency Self-Certification Declaration form.** If you are only a UK taxpayer, you do not need to complete this form.

Signature

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

### Part C – Single applicant (owner) on own life and another

I make the application for a policy(ies) of life assurance on the two persons to be covered and request that the policy(ies) be issued to me and any amounts payable under the policy(ies) be paid to me or my executors or administrators.

Do you complete tax returns **in any other countries** outside of the UK, or are you a tax resident in an **overseas country**? Yes  No

**If Yes, please complete the Tax Residency Self-Certification Declaration form.** If you are only a UK taxpayer, you do not need to complete this form.

Signature

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Mandatory section.

## Section 8 – Declaration – continued

### Part D – Joint applicants (owners) on own lives

We make the application for a policy(ies) of life assurance on our two lives to be assured and request that the policy(ies) be issued to us and any amounts payable under the policy(ies) be paid to us, the survivor of us, or the executors or administrators of the last to die.

#### First applicant

Do you complete tax returns **in any other countries** outside of the UK, or are you a tax resident in an **overseas country**? Yes  No

If Yes, please complete the Tax Residency Self-Certification Declaration form. If you are only a UK taxpayer, you do not need to complete this form.

Signature

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

#### Second applicant

Do you complete tax returns **in any other countries** outside of the UK, or are you a tax resident in an **overseas country**? Yes  No

If Yes, please complete the Tax Residency Self-Certification Declaration form. If you are only a UK taxpayer, you do not need to complete this form.

Signature

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

### Part E – Life of another

#### (i) Single or joint applicant(s) (owner(s)) on single or joint life of the person(s) to be covered

I/We make the application for a policy(ies) of life assurance on the life/lives of the person(s) to be covered and request that the policy(ies) be issued to me/us and any amounts payable under the policy(ies):

- be paid to me or my/our executors or administrators, or (for joint applicants)
- be paid to us, the survivor of us, or the executors or administrators of the last to die.

#### First applicant

Date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Title Mr  Mrs  Miss  Ms  Dr  Other

Surname

First names

Address

<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>

Postcode

Do you complete tax returns **in any other countries** outside of the UK, or are you a tax resident in an **overseas country**? Yes  No

If Yes, please complete the Tax Residency Self-Certification Declaration form. If you are only a UK taxpayer, you do not need to complete this form.

Signature

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

**Section 8 – Declaration – continued**

**Part E – Life of another – continued**

**Second applicant (if applicable)**

Date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Title Mr  Mrs  Miss  Ms  Dr  Other

Surname

First names

Address

<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>

Postcode

Do you complete tax returns in **any other countries** outside of the UK, or are you a tax resident in an **overseas country**? Yes  No

**If Yes, please complete the Tax Residency Self-Certification Declaration form.** If you are only a UK taxpayer, you do not need to complete this form.

Signature

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

**(ii) UK company or organisation as applicant (owner) on single or joint life of the person(s) to be covered**

We are authorised to make an application on behalf of the company or organisation detailed below for a policy(ies) on the life/lives of the person(s) to be covered and request that the policy(ies) be issued to the company or organisation and any amount payable under the policy(ies) be paid to the company or organisation.

Full name of company or organisation

UK registered address

<input type="text"/>
<input type="text"/>
<input type="text"/>
<input type="text"/>

Postcode

**Please also complete the Tax Residency Self-Certification Declaration form.**

**First company representative**

Title Mr  Mrs  Miss  Ms  Dr  Other

Print full name

Position in company or organisation

Signature

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

**Second company representative**

Title Mr  Mrs  Miss  Ms  Dr  Other

Print full name

Position in company or organisation

Signature

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Where the plan is to be owned by a UK registered company, the company's name and address is required and either two directors or a director and company secretary or company director and witness must sign, stating their position (occupation) and names in full. The taxation of a plan held by a company is not the same as that for an individual(s). Particular advice from the company's advisers must be taken before making such an investment.

In Company cases a Non-Personal Corporate Entity Verification form is required and also Specimen Signatures of List of Signatories.

If, during the course of this business relationship, there is any change in the identity of the individuals or information falling within this section, or to the corporate structure, you must notify us of the change, the date on which it occurred and within 14 days from when you became aware of the change. This does not apply if you are listed on a regulated market.

## Section 8 – Declaration – continued

### Part F – Applications by trustees of existing trusts and new Prudential Loan Trusts

We will not accept applications from trusts or trustees (or any similar arrangements/ persons) not resident in the UK, the Channel Islands or the Isle of Man.

All trustees of an existing trust must sign and complete this section.

If more than two trustees, please complete details of additional trustees on a separate sheet and attach with this application.

If there is any change in the parties to the trusts e.g. any trustees or beneficiaries (including class of beneficiaries) change or a letter of wishes is received, the trustees must notify us of the changes, the date it became effective and within 14 days from the date any of the trustees became aware of the change.

I/We make this application for a policy(ies) of life assurance on the person(s) to be covered. I/We request that the policy(ies) be issued to me/us as trustees, resident in the UK, Channel Islands or Isle of Man, of a UK, Channel Islands or Isle of Man resident Trust, and any amounts payable under the policy(ies) be paid to me/us or other trustees for the time being of the trust. The trustees confirm that they have sufficient powers of investment for the purpose of effecting the proposed policy(ies) as an asset of the Trust Fund.

Please also complete the Tax Residency Self-Certification Declaration form.

Trust Deed dated

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

A certified copy (a copy signed and dated by an adviser stating "this is a true copy of the original" will be acceptable) of the trust must be provided where the plan is to form part of an Existing Trust.

#### First Trustee

Title Mr  Mrs  Miss  Ms  Dr  Other

Surname

First names

Address

<input type="text"/>
<input type="text"/>
<input type="text"/>

Postcode

Signature

Date signed

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

#### Second Trustee (if applicable)

Title Mr  Mrs  Miss  Ms  Dr  Other

Surname

First names

Address

<input type="text"/>
<input type="text"/>
<input type="text"/>

Postcode

Signature

Date signed

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

If your application is part of Prudential's Loan Trust, please give the date of birth of the Donor.

Date of birth of Donor

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

## Section 8 – Declaration – continued

This section must be completed by all existing trust applications

Beneficiaries (full names or description, address and date of birth)

### Trust registration details

Is the trust exempt from registration on the UK trusts register?

Yes

No

If Yes, please state the reason below

**If No, you must send us the HMRC proof of registration document.** You can get this from the HMRC online service. Go to [gov.uk/guidance/manage-your-trusts-registration-service](https://gov.uk/guidance/manage-your-trusts-registration-service) for more information.

## Section 9 – Verification of the customer’s identity and financial adviser’s confirmations

Introduction by a Financial Conduct Authority-regulated firm – See explanatory notes below

Explanatory notes

1. A separate confirmation must be completed for each customer (e.g. joint holders, trustee cases and joint life cases). Where a third party is involved, e.g. a payer of contributions who is different from the customer, the identity of that person must also be verified, and a confirmation provided.
2. This form cannot be used to verify the identity of any customer that falls into one of the following categories:
  - those who are exempt from verification as being an existing customer of the introducing firm prior to the introduction of the requirement for such verification;
  - those whose identity has not been verified by virtue of the application of a permitted exemption under the Money Laundering Regulations; or
  - those whose identity has been verified using the source of funds as evidence.
3. This confirmation must carry an original signature, or an electronic equivalent.

Please ensure you complete the Adviser Checklist on page 18.

### About this section

Please fill in a confirmation for each customer – joint holders, trustees etc. If a third party is involved, for example someone who will pay contributions who is not the customer, you also need to confirm you have verified their identity. This confirmation must have an original signature or electronic equivalent.

### 9.1 About the customer (applicant/owner)

#### First customer (applicant/owner)

Surname

First names

Date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Current address

<input type="text"/>	
<input type="text"/>	
Postcode	

Previous address (if their address has changed in the last three months)

<input type="text"/>	
<input type="text"/>	
Postcode	

#### Second customer (applicant/owner)

Surname

First names

Date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Current address

<input type="text"/>	
<input type="text"/>	
Postcode	

Previous address (if their address has changed in the last three months)

<input type="text"/>	
<input type="text"/>	
Postcode	

Mandatory section.

## Section 9 – Verification of the customer’s identity and financial adviser’s confirmations – continued

Mandatory section.

### 9.2 Confirmation

#### Part 1

I/We confirm the information in Section 1 was obtained by me/us in relation to the customer(s).

Please complete parts 2 and 3 below

#### Part 2

I/We confirm the evidence I/we have obtained to verify the identity of the customer(s):-

(select 2a or 2b)

- a) Meets the standard evidence set out within the guidance for the UK Financial Sector issued by the Joint Money Laundering Group  
or  
b) Exceeds the standard evidence. Written details of the further verification evidence taken are attached to this confirmation.

2a

2b

#### Part 3

I/We confirm that based on the knowledge I/we have gained of the customer(s) I/we have:-

(select 3a or 3b)

- a) No reason to believe the tax residency self-certification requires any follow up action  
or  
b) Reason to believe the tax residency self-certification requires follow up action.  
If follow up action is required, please tell us why below.

3a

3b

Name

Position

Signature

Date signed

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

### 9.3 Details of introducing firm (or sole trader)

Full name of regulated firm (or sole trader):

Financial Conduct Authority Reference Number:

## Section 10 – Additional adviser information

Mandatory section.

I/We confirm advice was given Yes  Prudential agency number

Name of registered individual (adviser name)

Adviser email address

  

Adviser phone number

Openwork case ID reference (for Openwork advisers only)

## Section 11 – Adviser checklist, to be completed by your adviser

Please make sure this application form is fully completed and you have all the relevant documents that need to be sent with it. If anything is incorrect or missing it will delay the processing of this form. Payments can't be invested until the application has been successfully processed.

Please confirm:

- Advice was given.
- Completion of the details in **Sections 2 and 5**, covering investment details and adviser charge instructions.
- Completion of the verification of identity form. **A separate confirmation must be completed for each customer (e.g. joint holders, trustee cases and joint life cases). Where a third party is involved, e.g. a payer of contributions who is different from the customer, the identity of that person must also be verified and confirmation provided.**
- The plan owner(s) has/have answered the tax residency question and if required, provided a completed **Tax Residency Self-Certification Declaration form**.
- For applications from existing trusts or individual applications that are to be issued into trust, an up to date HMRC proof of registration document, dated within the last 30 calendar days has been included.
- For a signatureless application, you have enclosed a completed **Signatureless Declaration form**.
- You have filled in the **Prudential agency number**. If you don't have a Prudential agency number, visit [mandg.com/pru/adviser/en-gb/online-services/help/access](https://mandg.com/pru/adviser/en-gb/online-services/help/access)
- Correct parts in the declaration are signed (see Page 2 for requirements).
- **Payment details are completed** – cheque, BACS or bank transfer. Don't forget to mention the client's reference (policy number and surname) when sending the payment. If policy number is not known please use the client's initials and surname(s).

Blank area for notes.

[pru.co.uk](https://pru.co.uk)

'Prudential' is a trading name of The Prudential Assurance Company Limited which is registered in England and Wales. Registered Office at 10 Fenchurch Avenue, London EC3M 5AG. Registered number 15454. Authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority.