

PruFund Investment Plan Mark 3 additional investment application form

How to fill out this form

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

Any corrections must be initialled.

Please do not use correction fluid as this will invalidate your application.

Some information before you start

Your financial adviser can apply online or once completed can send this form by email at contact.us@prudential.co.uk The Signatureless Declaration form will also need to be sent with the application. Alternatively, you can post it to us at: **Freepost, Prudential, Lancing BN15 8GB.**

- 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.
- You can find the latest Key Information Document and relevant Investment Option Document(s) for this product on our website at pru.co.uk/pro-docs/PFIP

Questions about this form?

Please speak with your financial adviser in the first instance.

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.

You can find more information on our products and services at pruadviser.co.uk

Please remember to complete the application checklist at the back on page 8, before returning this form.

Ongoing adviser charges

If you have already asked for ongoing adviser charges to be deducted from your original plan, and have expressed them as a percentage of the full value of

your plan or a percentage of the total premium, this instruction will automatically apply to your additional investment and no further action is required by you.

If you have asked for ongoing adviser charges to be deducted and expressed them as a cash amount, they will continue at the current level and no further action is required by you.

If you want to make any changes to your ongoing adviser charges at this time, please complete a PruFund Investment Plan Mark 3 Adviser Charge Instruction Form.

You can get a copy of this form from your financial adviser, from pru.co.uk or give us a call on **0345 640 1000**.

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.

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

- **IMPORTANT: We will only be able to action your request when we have a complete and accurate Proof of Registration of the trust or the exemption reason, otherwise we will not be able to proceed further with your request and may face a delay in investing your funds.**
- 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 or there has been no change to the trust since you last provided a valid proof of registration document.
- 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

Section 1 – Details of your investment and set-up adviser charge instructions

Please make sure you complete all the relevant boxes in this section.

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.

The maximum investment (including any top up premiums) is £5 million per person. Any growth on your plan is not subject to this limit; it only applies to the amount of your single premium and any top up premiums.

We may accept larger investments in certain circumstances. If appropriate, your financial adviser can ask on your behalf.

Existing plan number

Openwork case reference number

Plan holder name

Plan number

How much do you want to add to your plan?

A) Total amount of additional payment (the amount you are sending to us)

£

B) Set-up adviser charge

£

or

%

or

(No payment)

c) Amount to be invested (your additional premium) (minimum £10,000)

£

to be divided equally between all the identical policies in my PruFund Investment Plan Mark 3, numbers commencing

- 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.

How to pay

Please select your payment method (select one);

BACS or bank transfer

Cheque

Prudential bank details:

Bank name: **HSBC**

Sort code: **40-02-50**

Account number: **51015419**

Account name: **Prudential Assurance Company LTD – 400250-51015419**

If the cheque isn't drawn on your personal account we may ask for proof that the money belongs to you.

Please make cheques payable to: The Prudential Assurance Company Limited.

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.

Please note cheques drawn from business account aren't acceptable for personal investments.

Section 2 – Where you want to invest your money

Please make your fund selections below.

The minimum investment in each fund is £500 and you can invest in up to five funds at any time. The PruFund Protected Funds are not available for additional investments. For more information on the funds, please see “A Guide to your PruFund Investment Plan Mark 3” (PIPS10040_Openwork), which is available from your financial adviser or you can visit pru.co.uk

Fund Names:	
	%
	%
	%
	%
	%
Total (must add up to 100%)	100%

Section 3 – Taking a regular withdrawal

Any withdrawals taken will reduce the value of your plan. If withdrawals are more than any overall growth achieved, the value of your plan will reduce below the level of the original capital invested.

If you have previously invested in the PruFund Protected Growth Fund or the PruFund Protected Cautious Fund, the amount guaranteed will be adjusted for any withdrawals you make from that fund.

3A – Continuing, changing or starting withdrawals

If you are currently taking regular withdrawals and there are no revised instructions shown in the “Commencing or changing withdrawals” section below, your regular withdrawals will continue and:

- if the withdrawals are for variable amounts e.g. a fixed % of fund value, then the amount will be increased in the future in line with the new additional investment, or
- if the withdrawals are for a fixed amount these will continue unaltered.

I/We have no revised instructions – [please go to Section 4](#)

Commencing or changing withdrawals

Please complete the following only if you want to start or amend an existing withdrawal instruction:

I/We want to commence withdrawals – [please complete section 3B, C and E or](#)

I/We want to amend withdrawals – [please complete Section 3B and C \(and 3E if your bank details are changing\)](#)

3B – The Amount

The following withdrawal limits apply:

- The 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 premium(s) invested.
- If you have asked for ongoing adviser charges to be deducted from your Plan, these will contribute to your 7.5% withdrawals 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 3D.
- If you take a regular withdrawal from a PruFund Protected Fund, the amount guaranteed will be adjusted for any withdrawals you have made.

I/We want to receive

<input type="text" value="£"/>	each year or
<input type="text" value=""/>	% of my/our total premium(s) invested each year or
<input type="text" value=""/>	% of the value of my/our plan each year

For additional investments, the requested regular withdrawals will be provided in proportion from the units relating to the original investment and each additional investment.

If you **do not** currently take, or do not want to start taking regular withdrawals please go to Section 4.

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

Section 3 – Taking a regular withdrawal – continued

3C – Frequency of Payments

1 month

3 months

4 months

6 months

12 months

Date you want to start taking regular withdrawals (this must be at least 30 days from the date of the additional investment).

Regular withdrawal payments will usually reach your account within five working days of the date you have chosen.

3D – Only complete this section if you want the regular withdrawals taken from specific funds

Fund name:

Fund name:

Fund name:

Fund name:

3E – The account you want us to pay the withdrawal money into

Name of your bank or building society

Sort code

- -

Account Number

Roll Number (if applicable)

Account Name

Address

Postcode

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 (enhanced due diligence) on the customer. Please answer all the questions below and where there are joint applicants, please give details of both.

First applicant

4.1 Occupation or nature of business

Trustees should just put ‘Trustee’

4.2 Annual earnings (including income from any pensions) or net annual turnover (not applicable to existing trustees)

0 – £14,999

£15,000 – £29,999

£30,000 – £59,999

£60,000 – £99,999

£100,000 – £149,999

£150,000 and over

Second applicant (if applicable)

0 – £14,999

£15,000 – £29,999

£30,000 – £59,999

£60,000 – £99,999

£100,000 – £149,999

£150,000 and over

4.3 Where did the funds for this investment come from?

For example, a UK bank account.

4.4 How did you raise the funds?

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

Regular withdrawal amounts will be deducted proportionally from all your chosen funds unless otherwise specified. If you want the amount to be taken from selected funds please specify the name of the fund(s) below.

Section 5 – Declaration

- a. I/We enclose a payment for my/our additional investment and request that the appropriate number of units be allocated in the fund(s) indicated. It is understood that a copy of this completed application and the terms and conditions are available from the Prudential on request.
- b. I/We declare that the information given in this application is true and complete to the best of my/our knowledge and belief.
- c. For your own benefit and protection, you should read carefully the documentation provided before signing the form. You should also read carefully any further documentation provided to you in future. If there is anything you do not understand please ask us for information.

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 charges following a new adviser charges 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 charges may not be increased without my/our explicit authority.

I/We agree that the adviser charges 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 charges 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 charges 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 a withdrawal from the bond.

How we use your personal information

For a copy of our latest Data Protection Notice, please visit pru.co.uk/mydata. This details how and why we use your personal information (including any sensitive personal information), who we may share it with and your rights around your personal information. Alternatively, you can request a hard copy to be sent to you by writing to The Data Protection Officer, Customer Service Centre, Lancing BN15 8GB.

Please note that 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.

Section 5 – Declaration – continued

Signature(s) and Full Names of Owners

Trusts

If a policy is subject to trust, all trustees must sign.

Where the plan is owned by a UK registered company, either two directors or a director and company secretary or company director and witness must sign, stating their position (occupation) and names in full.

Print full name

Signature

Date declaration signed

D	D	M	M	Y	Y	Y	Y
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Print full name

Signature

Date declaration signed

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

Print full name

Signature

Date declaration signed

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

Print full name

Signature

Date declaration signed

D	D	M	M	Y	Y	Y	Y
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Confirmation of verification of identity – private individual

Introduction by an FCA-regulated firm – See explanatory notes below

1. Details of individual

Full name of customer

Current address

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

Postcode

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

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

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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2. Confirmation

I/we confirm that

- a) the information in section 1 above was obtained by me/us in relation to the customer;
- b) the evidence I/we have obtained to verify the identity of the customer:

meets the standard evidence set out within the guidance for the UK Financial Sector issued by the Joint Money Laundering Steering Group

or

exceeds the standard evidence (written details of the further verification evidence taken are attached to this confirmation)

Signature

Date declaration signed

D	D	M	M	Y	Y	Y	Y
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Full name

Position

3. Details of introducing firm (or sole trader)

Full name of regulated firm (or sole trader):

Firm Reference Number:

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 8.

Adviser checklist – to be completed by financial adviser

To help us process the application accurately, please tick the relevant box and complete all the details below. If this form is not completed fully, it could cause delays in the processing of this application. Please make sure you have all the relevant documents that need to go alongside this form. Please confirm:

Have you attached a copy of the relevant illustration?

Yes No

If this is not available, insert illustration reference number here and please ensure you complete the details below

Name of registered individual (adviser name)

Prudential agency number (eg. 012345)

Adviser phone number

Adviser email address

Was advice given? (We cannot process this application unless this question has been answered.)

Yes No

Have you completed the details in Section 1 covering investment details and adviser charge instructions?

Yes No

The Financial Conduct Authority requires us to record whether a personal recommendation was given to the client. Please confirm if a personal recommendation was given?

Yes No

Have you completed 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.**

Yes No

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.

Yes No

For a signatureless application, you have also sent the **Signatureless Declaration form**.

Yes No

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

Yes No

Payment details are completed – cheque or BACS. Don't forget to mention the client's reference (initials and surname) when sending the monies.

Yes No