

Prudential ISA – data capture form

This is not an application form

This data capture form is intended to help you collect all the data you need to make an online ISA application. This is not an application form and should not be returned to Waystone Financial Investments Limited. For 'Power of Attorney' cases, the online application process is not available.

Any data you collect on this form is your sole responsibility. You need to ensure you obtain all necessary rights and permissions to disclose any of the data in this form to us in the ISA online application.

The Prudential ISA is provided by Waystone Financial Investments Limited, who is the ISA Plan Manager. Waystone Financial Investments Limited is responsible for all regulatory and legal aspects of the ISA and the provision of all customer services, including issuing contract notes, statements and other post-sales communications.

1. Client details

Client's personal details

Title	
First name	
Middle name (optional)	
Last name	
Date of birth DD/MM/YYYY	
Gender	
National Insurance number	

A National Insurance number is a mandatory requirement for opening a new ISA. You will not be able to submit an application without providing this.

Client's address details

Tax residence	
Address 1	
Address 2	
Town/City	
Country	
Postcode	
Country of birth	

Client's contact details

Work telephone number (optional)	
Home telephone number (optional)	
Mobile (optional)	
Email address	

1. Client details – continued

Client's bank details

Name of Bank or Building Society	
Name(s) of the Account Holder(s)	
Sort Code	
Account number	
Roll number (Building Society only)	

2. Money in

Enter the amount(s) to be paid to your client's Prudential ISA in the transfers, and/or single contribution and/or regular contribution sections below.

Transfers

	Transfer 1	Transfer 2
1. Ceding company name		
2. Address		
3. Plan number		
4. Estimated transfer amount	£	£
5a. ISA type	<input type="checkbox"/> Cash (go to 5b)	<input type="checkbox"/> Cash (go to 5b)
	<input type="checkbox"/> Stocks & Shares (go to 6)	<input type="checkbox"/> Stocks & Shares (go to 6)
5b. Account type	<input type="checkbox"/> Bank account (complete 5c and 5d)	<input type="checkbox"/> Bank account (complete 5c and 5d)
	<input type="checkbox"/> Building Society (see note 1)	<input type="checkbox"/> Building Society (see note 1)
	1. To ensure the transferring ISA Manager will accept the electronic transfer instruction, you'll need to ensure the transferring account information you provide matches their requirement, or they may reject the transfer request. Please contact the Building Society to confirm which of the information in 5c, 5d and 5e should be completed and any specific formatting requirements they require.	
5c. Cash ISA Sort code	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
5d. Cash ISA Account number		
5e. Cash ISA Roll number		
6. Transfer type	<input type="checkbox"/> Full (go to 9)	<input type="checkbox"/> Full (go to 9)
	<input type="checkbox"/> Partial (got to 7)	<input type="checkbox"/> Partial (got to 7)
7. Does the transfer include the value of current tax years subscriptions	<input type="checkbox"/> Yes (the ISA manager will only accept if the full value of these subscriptions are being transferred)	<input type="checkbox"/> Yes (the ISA manager will only accept if the full value of these subscriptions are being transferred)
	<input type="checkbox"/> No	<input type="checkbox"/> No

2. Money in – continued

8a. Does the transfer include the value of previous tax years subscriptions	<input type="checkbox"/> Yes (go to 8b) <input type="checkbox"/> No (go to 9)	<input type="checkbox"/> Yes (go to 8b) <input type="checkbox"/> No (go to 9)
8b. What value of the previous tax years subscriptions is being transferred	<input type="text"/> % or <input type="text"/> £	<input type="text"/> % or <input type="text"/> £
9. Notice period	<input type="checkbox"/> Serve full notice period <input type="checkbox"/> Proceed immediately	<input type="checkbox"/> Serve full notice period <input type="checkbox"/> Proceed immediately

Single contribution

Amount	£ <input type="text"/>
Payment method	Bank transfer <input type="checkbox"/> Cheque <input type="checkbox"/>

Regular monthly contribution

Monthly contribution	£ <input type="text"/>
Payment day (Please choose a day between 1st and 28th)	<input type="text"/>
First payment date MM/YYYY	<input type="text"/>
Bank details	The bank details captured in 1. Client details will be used to set up the direct debit for your client's regular contribution.

3. Adviser charges

Initial adviser charges

The total initial adviser charge to be paid on any transfers and single contribution can't exceed the lesser of 5% of the total transfer(s) and single contribution and £20,000. The maximum total initial adviser charge payable on any regular contribution is 5% of regular contribution or 25% of the first 12 months regular contribution.

Transfers		
	Charge	
	Percentage	Amount
Transfer 1	<input type="text"/>	<input type="text"/>
Transfer 2	<input type="text"/>	<input type="text"/>

Single contribution		
Is charge to be added to the client payment?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
	Charge	
	Percentage	Amount
Single contribution	<input type="text"/>	<input type="text"/>

Regular contribution		
	Charge	
No. of payments	Percentage	Amount
<input type="text"/>	<input type="text"/>	<input type="text"/>

Ongoing adviser charge

The ongoing adviser charge can't exceed 1.00% of the ISA value.

Charge		Frequency	Payment day Please choose a day between the 1st and 31st)	First payment date (MM/YYYY)
Percentage	Amount	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly		/
		<input type="checkbox"/> Half-yearly <input type="checkbox"/> Yearly		

4. Investment

Fund Name	Transfers %	Single contribution %	Regular contribution %
Prudential PruFund Risk Managed 1 Fund			
Prudential PruFund Risk Managed 2 Fund			
Prudential PruFund Risk Managed 3 Fund			
Prudential PruFund Risk Managed 4 Fund			
Prudential PruFund Risk Managed 5 Fund			
Prudential PruFund Cautious Fund			
Prudential PruFund Growth Fund			
WS Prudential Risk Managed Active 1 Fund			
WS Prudential Risk Managed Active 2 Fund			
WS Prudential Risk Managed Active 3 Fund			
WS Prudential Risk Managed Active 4 Fund			
WS Prudential Risk Managed Active 5 Fund			
WS Prudential Risk Managed Passive 1 Fund			
WS Prudential Risk Managed Passive 2 Fund			
WS Prudential Risk Managed Passive 3 Fund			
WS Prudential Risk Managed Passive 4 Fund			
WS Prudential Risk Managed Passive 5 Fund			
Total	100%	100%	100%

Notes

- Where selecting PruFund funds, a maximum of 5 PruFunds can be selected per payment type.
- The minimum total lump sum investment (transfers and single contribution) is £500 per fund, e.g. £500 could be invested in Prudential PruFund Cautious fund made up of £200 from a single contribution and £300 from a transfer payment.
- The minimum investment for a monthly regular contribution is £50 per fund.

5. Regular withdrawals

If your client wants to take regular withdrawals then complete this section. Remember your client can't have a regular withdrawal facility if they're paying a regular contribution to their ISA.

Payment frequency	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Half-yearly <input type="checkbox"/> Yearly
Please indicate your preferred payment day of the month: 5th/20th	<input type="checkbox"/> 5th <input type="checkbox"/> 20th
First payment date MM/YYYY	

Please enter the regular amount against the fund(s) your client wishes their regular withdrawals to be paid from. The amount(s) should be based on the frequency selected, e.g. if your client wants a regular withdrawal of £100 per month then the amount(s) entered in the table should total £100.00.

The minimum regular withdrawal is £50 per fund.

The total value of the regular withdrawals to be taken in any 12-month period must not exceed 100% of the value of your client's Prudential ISA. This calculation is performed when the withdrawal is established, on its re-commencement following any suspension, or should the amount be increased.

Fund details

Asset name	Withdrawal amount (£)
Prudential PruFund Risk Managed 1 Fund	
Prudential PruFund Risk Managed 2 Fund	
Prudential PruFund Risk Managed 3 Fund	
Prudential PruFund Risk Managed 4 Fund	
Prudential PruFund Risk Managed 5 Fund	
Prudential PruFund Cautious Fund	
Prudential PruFund Growth Fund	
WS Prudential Risk Managed Active 1 Fund	
WS Prudential Risk Managed Active 2 Fund	
WS Prudential Risk Managed Active 3 Fund	
WS Prudential Risk Managed Active 4 Fund	
WS Prudential Risk Managed Active 5 Fund	
WS Prudential Risk Managed Passive 1 Fund	
WS Prudential Risk Managed Passive 2 Fund	
WS Prudential Risk Managed Passive 3 Fund	
WS Prudential Risk Managed Passive 4 Fund	
WS Prudential Risk Managed Passive 5 Fund	
Total	£

Additional Information

(If there are more than two transfers, details can be captured in the text-box below.)

Adviser Checklist

The final stage of the online submission process will ask you to confirm that you have explained the key features of the Prudential ISA to the client, and that you have carried out Money Laundering checks in accordance with regulations.

For any cases that include transfer(s) please make sure that you download the Transfer Authority Form from the Money in section of the Prudential ISA online service. Print a copy of the form for each transfer being made. This form contains a unique reference for your client's application that Waystone Financial Investments Limited will use for the application. Please complete the form, have your client sign the form(s) and post to **Waystone Financial Investments Limited, PO Box 384, Darlington DL1 9RZ** only when you've completed and submitted the application through the Prudential ISA online service.

If you have any queries please phone 0344 335 8936. For your protection telephone calls are recorded.