

Premier Stakeholder Pension Transfer Plan application form

TA1

How to fill out this form

Please use black ink and write in CAPITAL LETTERS or tick as appropriate.

Any corrections must be initialled. Please do not use correction fluid as this will invalidate your application.

Some important information before you start

We kindly ask that sections 1 to 5 are completed by the customer, Part 6 and 7 by the administrator or insurer of the transferring arrangement, and Part 8 by the adviser.

Please be aware

- Please use a separate form for each transfer value.
- As you complete the form, please read the notes which are there to help you.
- Copies of the plan terms and conditions and the completed application form are available on request.

Please read your key features document as this will provide you with important information regarding the key risks and benefits of the product to help you make a decision.

Please also read your **fund guide**, available at pru.co.uk/funds/guides, as this will provide you with full details of the funds available, their objectives, Prudential's risk rating of these funds and the charges and costs to help you select the funds suitable for your needs.

Keep track of your plan online, at a time that suits you.

With your online service you can check the value of your plan, contact us securely, change personal details and view your documents. If you're not registered, it's easy and only takes five minutes. You'll need your policy number, postcode and date of birth. Go to pru.co.uk/registeronline to find out more.

How to return this form

When you've finished the form sign, print and post it to us at: FREEPOST, Prudential, Lancing BN15 8GB.

Questions about this form?

Advisers

- in the first instance, get in touch with your usual Prudential contact
- or please call our Adviser Centre on **0808 234 0808**

We might record your call for training and quality purposes.

Policyholders

- please speak to your financial adviser

Our web addresses are pruadviser.co.uk for financial advisers and pru.co.uk for policyholders.

Section 1. Customer's details

If "Other", please state title.

Title Mr Mrs Miss Ms Dr Other

Surname

First names(s)

Date of birth

Gender

Female

Male

Permanent residential address

 Postcode

National Insurance (NI) number

Selected Retirement Date

HM Revenue and Customs normally only allow pension ages earlier than 55 (57 from 6 April 2028) where the member has a protected early pension age. You may have a protected early pension age if you were the member of a pension scheme before 6 April 2006 and you had an unqualified right to take your benefits before the normal pension age.

Have you previously accessed benefits flexibly?

Yes

No

If **Yes**, please specify the date these were accessed

Please now complete Section 2.

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

For further information please speak to your financial adviser.

Section 3. Payment of death benefits

Failure to complete this section may delay payment of death benefits.

Nomination of beneficiary

Please provide the details of any person(s) you wish to nominate as beneficiaries. If there's more than one person, please attach additional pages.

We aren't legally bound to follow your wishes, but will take them into account.

Title Mr Mrs Miss Ms Dr Other

Surname

Full forename(s)

Address

Postcode

Relationship to you (if any)

Proportion of benefits

%

(If not 100%, details of any additional beneficiaries should be attached to this application.)

The discretionary distribution of death benefits means that inheritance tax will not normally apply. If you want to change these details later, you should write to Prudential, quoting your plan number and the revised information.

Section 4. Details of transferring arrangement

Full name of scheme/arrangement

HMRC reference number

Transferring Plan Number

Name and address of Trustee and Administrator or Insurer

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

What type of pension is this?

Please tick the appropriate box

- Occupational Pension Scheme – DB
- Occupational Pension Scheme – DC with Safeguarded (GAR or GAR equivalent)
- Occupational Pension Scheme – DC with Safeguarded (non-GAR or GMP)
- Occupational Pension Scheme – DC with no Safeguarded
- Buyout with Safeguarded (GMP or Deferred Annuity)
- Buyout with no Safeguarded
- PP/RAC/FSAVC with Safeguarded (GAR or GAR equivalent)
- PP/RAC/FSAVC with Safeguarded (non GAR)
- PP/RAC/FSAVC with no Safeguarded

Please indicate the type of transfer:

Full Partial

Estimated Transfer Value

£

Is the plan subject to any existing or proposed trustee in bankruptcy orders, or earmarking or pension sharing orders, or other receiving orders?

Yes No

If the transfer is coming from an overseas arrangement, the scheme must be a QROPS and further information may be required.

Overseas Pension Transfer

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

Is the plan subject to any existing or proposed trustee in bankruptcy orders, or earmarking or pension sharing orders, or other receiving orders?

Yes No

Please now sign and date the Declaration in Section 5.

The administrator or insurer of the transferring arrangement should complete sections 6 and 7.

Section 5. Declaration by member

We ask that you take some time and read the documentation provided before signing and returning this form. This is for your own benefit and to give you peace of mind. Please also read carefully any further documentation provided to you in the future. If there is anything you do not understand please ask us for further information.

Declaration to the Existing Pension Provider

1. I authorise, instruct and apply to the current provider to transfer sums and assets from the plan(s) as listed in Part 4 directly to Prudential and to provide any instructions and/or discharge required by any relevant third party to do so.
2. I accept that in order to comply with regulatory obligations, Prudential and the current provider named in this application may need to verify my identity and residential address and may use credit reference agency searches and ask for my documents to verify my identity and address.
3. Until this application is accepted and complete, Prudential's responsibility is limited to the return of the total payment(s) to the current provider(s).
4. When payment is made to Prudential as instructed, this means that I shall no longer be entitled to receive pension benefits from the whole of the plan(s) listed in Part 4 where the whole of the plan(s) is transferring, or that part of the plan(s) represented by the payment(s) if only part of the plan(s) is transferring.
5. I have read any information provided or made available to me by the current provider in connection with this transfer and have considered if there are any benefits or options I may lose as a result of this transfer.
6. I have read guidance from the Financial Conduct Authority or the Pensions Regulator on the risks and warning signs of pension scams before making this application.

Declaration to Prudential and Existing Pension Provider

1. I confirm that I have provided only true and accurate information in applying for this transfer. I understand that Prudential and the current provider cannot accept responsibility, and are not liable, for any losses resulting from untrue, incorrect or misleading information that I provide, or from any failure on my part to comply with any aspect of this application.
2. I authorise Prudential, the current provider, any contributing Employer and any financial intermediary named in this application to obtain from each other, and release to each other, any information that may be required to enable the transfer of sums and assets to Prudential.

Declaration to Prudential:

1. I apply for membership of the Prudential (SAL) Stakeholder Scheme and agree to abide by its rules.

2. I request that the Trustee and Administrator or Insurer of my previous scheme or arrangement pays a transfer value to Prudential and that Prudential set up a Premier Stakeholder Pension plan for me in respect of this transfer value, as confirmed in this application form.
3. I declare that the information given by me in this form is correct and complete to the best of my knowledge and belief and agree that this application, including any other written statement by me or the administrator or insurer of the transferring arrangement to Prudential and Prudential's acceptance shall be deemed to form part of any resultant contract or contracts.
4. I understand that the administrator or insurer of the transferring arrangement will be discharged of all liability to or in respect of me under the transferring arrangement, in so far as the benefits under the said arrangement are represented by the transfer value shown in this form.
5. I understand that no benefits arising as a result of this transfer are capable of commutation, surrender or assignment except as permitted by the plan conditions and by Chapter 2 of Part 4 of the Finance Act 2004.
6. I consent to Prudential's giving to or obtaining from the administrator or insurer of the transferring arrangement or others, such further information as may be reasonably necessary for the installation and administration of any plan set up as a result of the transfer.
7. I consent to Prudential providing the financial adviser detailed in this Application Form, information on all my Prudential Individual Pension Plans (including group arrangements). This authority is valid until it is cancelled, in writing, by me, or by submission of future applications.

How we use your personal information

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

Section 5. Declaration by member – continued

- 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 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'll 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 has issued a data protection 'adequacy' decision, or to other countries, such as India or the United States of America, where appropriate safeguards have been put in place.

If you want to know more about these 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

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.

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

Section 5. Declaration by member – continued

- 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.

Contact us

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

Write to us at: **Customer Service Centre
Prudential
Lancing
BN15 8GB**

Call us on: **0800 000 000**

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

Prudential UK means The Prudential Assurance Company Limited, 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.

For your own benefit and protection you need to read carefully the documentation provided before signing this form. You also need to read carefully any further documentation provided to you in the future. If there is anything you do not understand please ask us for further information.

Signature of applicant

Date

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

Section 6. For completion by administrator – Transfer details – stakeholder pension option

Total amount of transfer value

Is any part of the transfer uncrystallised rights that originated in an approved occupational pension scheme where, on or after 27 July 2004 but before 6 April 2006, the applicant took a tax-free lump sum but delayed taking pension? Yes No

If **Yes**, and this does not apply to the whole transfer value, please confirm the value that has already attracted tax-free cash.

Is the transfer part of a block transfer from a registered pension scheme? Yes No

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

Does the investor qualify for Protected Tax-Free Cash for pre 6 April 2006? Yes No

Does the investor have a Protected Early Pension Age? Yes No

If Yes, to either of the protection questions above please complete the rest of this section.

Protected Tax-Free Cash amount at 5 April 2006

Fund value at 5 April 2006

Protected Early Pension Date (this date must be a birthday)

Does the Transfer Value include the value of any contributions paid, or benefits earned, after 5 April 2006? Yes No

Has there been a previous partial transfer out from the scheme? Yes No

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

Are all benefits available from the scheme payable as a Standalone Lump Sum? Yes No

Section 7. For completion by administrator – Declaration and certification from transferring arrangement

1. We declare that to the best of our knowledge and belief the information given in all parts of this application is correct and complete.

2. We confirm that the transfer value detailed in this form:

- is consistent with UK legislation;
- meets the requirements for equal treatment of retirement benefits between males and females in the same category of employment to the extent required by the Treaty of Rome.

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

Copy attached

Signature

Date

| | | | | | | | |
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For and on behalf of the administrator of the transferring scheme or the insurer of the transferring arrangement or contract.

The Prudential (SAL) Stakeholder Scheme, under which Stakeholder Pension plans are issued by Prudential, is a stakeholder scheme and has been allocated HMRC reference number 00613765RA and ASCN A7800023E.

Section 8. For completion by financial adviser – essential information – all sections must be completed

1. Your FCA number (Registered Individuals)

R.I. number

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

Registered Individual's forename

and

Registered Individual's surname

Please provide the appropriate information in relation to this sale. Application forms cannot be processed unless this information is provided.

2. Was advice to transfer given?

Yes No

3. Has the transfer been arranged against your recommendations?

Yes No

4. Your agency details

Your Prudential agency number

or

Agency name and address stamp

e.g. 1 2 3 4 5 X

5. Your Customer Reference Number (if any)

6. Commission

Prudential will not facilitate adviser charging or pay commission on this product.

Nil commission



Section 8. For completion by financial adviser – essential information – all sections must be completed – continued

6. Routing instructions

You should ignore this section if the investor already has a Premier plan – as your previous routing instructions will be followed. (Note: the investor must always get the original certificate even where this is initially sent via someone else.)

Transfer Certificate to:

- Investor
- You
- Special destination*

Copy Transfer Certificate to:

- Investor
- You
- Special destination*

* Special destination – name

Address

| |
|----------|
| |
| |
| Postcode |

Use of this address must have been authorised by the investor, to maintain client confidentiality.

Signature

Position in firm

Date

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

For Prudential use only

Cheque acknowledgement number

| | | | | | | |
|--|--|--|--|--|--|--|
| | | | | | | |
|--|--|--|--|--|--|--|

Date stamp

Cheque amount

£

SD agreed by

Advice given

| | | | | | | | | | | | |
|-----|-----|--------------------------|----|--------------------------|-----|-----|--------------------------|----|--------------------------|-----|---|
| PFR | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> | CCC | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> | SCC | <input type="checkbox"/> |
| M | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> | EC | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> | AM | <input style="width: 100%;" type="text"/> |
| | | | | | AC | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> | AOI | <input style="width: 100%;" type="text"/> |