

# Pru Flexible Retirement Plan – In Specie Transfer

(Personal Pension and Drawdown With SIPP Options)

## How to fill out this form

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

Any corrections must be initialled; do not use correction fluid.

If "Other", please state title.

HM Revenue & Customs normally only allow pension ages earlier than 55 where you have a protected pension age.

When you choose to enter Drawdown, you must select an Anticipated Annuitisation Age which is the age you intend to end your Drawdown plan and to perhaps use your remaining fund to buy an annuity (which is a guaranteed income for life).

\* 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

## About this form

Please use this form for the following options for existing customers only:

- Drawdown to Drawdown In specie Transfer
- In specie transfer to SIPP (Personal Pension)

**For cash transfers please use form PPPF6144.**

Please return all pages of this form to: FREEPOST, Prudential, Lancing BN15 8GB.

Please read the Key Features Document as this will provide you with important information regarding the key risks and benefits of the product(s) to help you make a decision.

Copies of the Plan Terms and Conditions and the completed application form are available on request.

**It is a serious offence to give false information. To do so, could lead to prosecution.**

## Part A – Your details

Title Mr  Mrs  Miss  Ms  Other

Surname  Full Forenames

Date of birth         Gender Female  Male

Permanent Residential Address   
  
 Postcode

National Insurance (NI) number

## Selected Age for taking benefits

a) Personal Pension – Selected Retirement Age  years

The maximum Selected Retirement Age available under this plan is currently 75.

b) Drawdown – Anticipated Annuitisation Age  years

Your Anticipated Annuitisation Age must be between age 56 and 99.

Are you a Prudential Policyholder? Yes  No

Have you previously accessed benefits flexibly? Yes  No

If Yes, please specify the first date benefits were flexibly accessed

## Part B – Transfer payment

If you are taking Drawdown and do not answer if you require Flexi-access Drawdown, we will assume Flexi-access Drawdown is required.

Please tell us how your Transfer Payment should be split. We will contact you for further instructions where the transfer value received does not match the details below.

### Estimated Transfer Value for:

Personal Pension £

Drawdown £

Do you require Flexi-access Drawdown?

Yes  No

Note: We cannot allow immediate Drawdown from a transfer of money that is not currently in Drawdown. The transfer value needs to be invested in a Personal Pension until all assets have been re-registered. An up to date valuation can then be sought and an internal transfer to Drawdown processed. If you want to use your In specie transfer for Drawdown then you should contact us when we tell you the transfer is complete.

Is the transfer as a result of benefits received on death? No  Yes

### Is the transfer coming from an existing:

Dependant's Drawdown (capped)

Dependant's Flexi-Access Drawdown

Nominee's Flexi-Access Drawdown

Successor's Flexi-Access Drawdown

## Part C – Nomination of Beneficiary

### Personal Pension

Prudential are not legally bound to follow your wishes but will take them into account.

#### Nomination of Beneficiary

Please show below the person you would like to receive your death benefits under the plan.

Title Mr  Mrs  Miss  Ms  Other

Surname

Full Forenames

Address (including postcode)

  
  

Relationship to You (if any)

Proportion of Benefits

 %

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

### Drawdown

Please use the same nominations as shown for the Personal Pension.

#### Nomination of Beneficiary

Please show below the person you would like to receive your death benefits under the plan.

Title Mr  Mrs  Miss  Ms  Other

Surname

Full Forenames

Address

  
  

Postcode

Relationship to You (if any)

Proportion of Benefits

 %

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

Please now complete section G (if appropriate), H and then sign and date the Declaration in section I.

The administrator or insurer of the transferring arrangement should complete Sections D, E, F and J.

The discretionary distribution of death benefits means that Inheritance Tax will not normally apply.

If you want to choose additional beneficiaries, please write the details on a separate sheet of paper, and attach it to this form. Please make sure that the total for all your chosen beneficiaries when added together equals 100%.

If you want to change these details later, you should write to Prudential, quoting your plan number and the revised information.

Under the Drawdown plan the nomination is binding on the Trustees if the nominee is a dependant other than through financial interdependency, at the date of your death.

## Part D – Details of transferring arrangement

Full name of Scheme/Arrangement

HM Revenue and Customs Reference Number

Name and Address of Trustee /Administrator

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

Where is the transfer coming from?

UK Scheme Transfers

• Occupational Scheme

• S32 with GMP

• Other

OR

• Overseas Scheme Transfer

Any other source approved by HM Revenue & Customs

Is the transfer a result of a divorce “pensions splitting” order?

Yes  No

If the pension being shared is a pension in payment please let us know the amount of the transfer value from which no further tax-free cash may be taken.

## Part E – Transfer details

Total amount of transfer value

£

Is there any crystallised rights included in the transfer value? If yes, please also complete “Information for Drawdown to Drawdown Transfers” opposite.

Yes  No

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 normally ignore any details given below.

Does the investor qualify for Protected Tax-Free Cash for pre 6 April 2006?

Yes  No

Please tick the appropriate box.

Further information may be required for transfers from overseas schemes.

Please give full details – evidence of approval will be required.

## Part E – Transfer details – continued

Protected Tax-Free Cash amount at 5 April 2006

Fund value at 5 April 2006

Does the investor have a Protected Early Pension Age?

Yes  No

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

D	D	M	M	Y	Y	Y	Y
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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

### Information For Drawdown To Drawdown Transfers

Does the transfer payment include:

- different GAD review dates?\*
- pre and post 6 April 2006 drawdown?

Yes  No

Yes  No

If any of the above is yes, we need the details of each fund separately.

Transfer Value of Drawdown Fund

Were funds already in drawdown at 6 April 2006?\*

Yes  No

When was the last GAD review?\*

D	D	M	M	Y	Y	Y	Y
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Gilt Yield used at last GAD review\*

 %

Current Capped Drawdown Limit (max GAD)\*

Will the current drawdown limit change at the start of the new GAD year as a result of part annuitisation or pension sharing?\*

Yes  No

If yes, what will the new limit be?\*

Total amount withdrawn in the current GAD year\*

 (gross)

Value of fund at date funds were first moved to drawdown

(If funds were phased show the total of the fund values when they were moved into drawdown).

If the funds were moved to drawdown after 5 April 2006, the total standard Lifetime Allowance used by all BCEs connected to the transfer value quoted in this section

 %

Does the member have any short term annuity contracts currently in payment from the Drawdown fund?

Yes  No

If yes, we will contact you for further details

\* This applies to Capped Drawdown only

## Part F – Assets to be transferred

### Type of Assets

Please indicate below which of the following apply to the investor's transfer.

i. The cash element of the transfer

ii. A property, or properties, or an interest in a property or properties are to be transferred.

**You will need to complete a property form for each property to be transferred.**

iii. Other assets are to be transferred In specie

Value of Stocks and Shares:

Cash at Investment Manager:

Total Portfolio Value:

Date of Portfolio Value:

Please confirm the total transfer value of all cash and In specie assets.

Total transfer value:

If the transfer is all cash the member should complete form PPPF6144.

The cash amount must be enough to cover the set up fees, minimum bank account balance and any income required if a drawdown to drawdown transfer.

All assets transferred will be invested in the Prudential Self-Invested Fund.

Please provide value of all cash including capital and income accounts.

We will require an up-to-date list of holdings from the current administrator.

Any assets which are not permitted under the Plan Rules will need to be sold before we can proceed with the transfer.

Please include area code.

## Part G – Self-Invested (SIPP) Option

Please complete this section if you are setting up a SIPP for the first time, or changing your existing SIPP details. These arrangements will remain in place until you advise us in writing to the contrary. If you give us revised instructions later, they will replace any instructions supplied previously.

### 1. Your details

Daytime/work telephone number

Home telephone number

Email

Mobile telephone number

## Part G – Self-Invested (SIPP) Option – continued

### 2. Adviser details

Adviser's full name

Company name

Address

  
  

Postcode

Telephone number

Fax

R. I. Number (e.g. ABC12345)

Email

Adviser Firm FCA Number

VAT Registered?

Yes

No

If you intend to invest in unit trusts/OEICs through Cofunds via either SIPP option, your Adviser will need to be registered with Cofunds.

If your Adviser already has a Cofunds agency number, please insert here

If not, your Adviser should register now on [cofunds.co.uk/AboutUs/RegisterIntermediary.aspx](https://cofunds.co.uk/AboutUs/RegisterIntermediary.aspx) and we will be in touch to request the agency code on establishment of the SIPP.

If you intend to invest via Stocktrade and are giving your Adviser authority to trade on the account, please insert your Adviser's existing Stocktrade username for online dealing

### 3. Investment Authority

We require your authority to accept investment instructions from anyone other than yourself. If this is applicable please complete the following.

Please regard this as my authority for you to act on investment instructions received from:

The Adviser detailed above

Another Party

Other party's contact name

Address

  
  

Postcode

Telephone number

Fax

Email

(Any adviser fee payments to be paid from the Self-Invested Fund requires your written consent and will be paid on receipt of an invoice from your adviser).

All contributions will be invested in the Self-Invested Fund (SIF).

You may select one or both of these options.

**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](http://pru.co.uk/registeronline) to find out more.

**4. Investment Intentions**

Please note, if you intend to invest in unit trusts/OEICs through Cofunds via either SIPP option, you will be bound by the Cofunds Customer Agreement for SIPPs provided by Curtis Banks Group. A copy of this is available on request.

To help us establish appropriate arrangements, please indicate your investment intentions:

Do you want to invest in the FundSIPP option (maximum 20 funds from the Cofunds range)? Yes  No

*If yes, please ignore the rest of this section. Please ensure that you have completed the investment authority on page 7. Uninvested monies will be held on deposit in your SIPP bank account.*

i. Do you want Prudential to transact unit trust or other investment applications or instructions from you or your adviser? Yes  No

*Please ensure you have completed the investment authority on page 7.*

ii. Do you want to invest in unit trusts/OEICs? Yes  No

*Your adviser can place investment instructions online via the PruAdviser web portal.*

iii. Do you wish to appoint Prudential's preferred execution-only broker for share dealing? Yes  No

*We will open an account and provide you with details when it has been opened. The terms of the facility will be provided on request.*

*Please give the following information for online dealing.*

Please specify who you would like to have access to this account

I wish to have sole trading access to this account.

I permit my Adviser as detailed in Part G to trade through this account.

I wish both my Adviser as detailed in Part G and myself to be able to trade through this account.

Please give the following information for online trading:

I wish to be able to trade through this account

I wish to have view only access

Please give the following information if you have selected either of the above options

Email

The following information and communications will be available online via the Stocktrade web portal. Please indicate below if you also wish to receive paper copies of any of the following:

Contract notes  Statements  Corporate action notifications

Who should Stocktrade contact with corporate actions?

You  Your adviser



## Part G – Self-Invested (SIPP) Option – continued

### 5. Investment Manager

You should complete this section if you wish to appoint an investment manager/broker of your choice.

Name of Investment Manager or Broker

Type of Service

Discretionary

Advisory

Execution only

Name of Investment Manager/Broker

Contact Name

Address

Postcode

Telephone number

Fax

Email

## Part H – Income options

**Note: You should complete this section if you are doing a Drawdown to Drawdown Transfer.**

Please select a gross Annual Income amount

Specific Amount

OR

% of Capped Drawdown Limit (Capped Only)

Yearly

Half yearly

Quarterly

Monthly

Please advise the date you wish to receive your first payment

D	D	M	M	Y	Y	Y	Y
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Please select a day of the month

between the 1st and the 28th.

### Payment details

Bank/Building Society Name

Address

Postcode

Branch Sort Code

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

Roll number

Name(s) of Account Holder

We cannot guarantee that we will be able to establish an account with your chosen investment manager or broker. We will notify you if it is necessary to appoint an alternative.

We will only be able to make Income payments when there is sufficient cash in the bank account over and above the minimum bank account balance.

## Part I – Declaration by Investor

**WARNING: It is a serious offence to make false statements. The penalties are severe and could lead to prosecution by HM Revenue & Customs (HMRC).**

1. I apply for membership of the Prudential (SAL) Personal Pension 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 Personal Pension and/or Drawdown Plan or Plans for me in respect of this transfer value. I understand that the number of such separate Arrangements and Plans will be decided by Prudential.
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, insofar 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 Finance Act 2004.
6. I agree that Prudential may change the terms of the contract later if I have given incomplete or inaccurate information in this application.
7. 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.
8. I consent to Prudential and/or Curtis Banks Group:
  - a) accepting investment instructions from my adviser, investment manager or other party detailed in section G of this form or in writing at a later date, until I advise you to the contrary in writing.
  - b) accepting investment instructions after my death from my potential beneficiaries and/or personal representatives.
  - c) making investment decisions and/or selling assets without my consent according to the Terms and Conditions of my plan(s).
9. I consent to Prudential and Curtis Banks Group disclosing information regarding my Self-Invested Fund (SIF), including personal data (as defined in the General Data Protection Regulations 2018) and information relevant to my SIF:
  - (a) to any person anywhere in the world in the proper performance of their obligations under my plan's Term and Conditions, including any manager, any company within the Curtis Banks Group and any of their agents, delegates, counterparties and advisers; or
  - (b) to any member of the Curtis Banks Group to whom liabilities under my Plan(s) are reinsured in accordance with my plan(s) Terms and Conditions; or
  - (c) as required by law or any competent authority; or
  - (d) to any person Prudential or Curtis Banks Group reasonably believe to be my agent. Prudential or Curtis Banks Group may disclose such information orally, in writing (including by e-mail) or via secure internet portal.
10. I understand that Prudential or Curtis Banks Group will not proceed with any In specie transfer until an up-to-date valuation has been received from the existing scheme administrator.
11. I understand and agree that if I have applied for a Drawdown Plan:
  - a) I may alter the amounts, and frequency, of the Drawdown payments by giving revised instructions, in writing or otherwise, in a manner acceptable to Prudential provided that such payments are made only to the bank or building society account detailed in Section F of this application (or to any replacement account which I subsequently confirm in writing to Prudential);
  - b) I cannot pay or transfer any further monies into any existing Drawdown Plan and any new monies will be invested in a new Plan or Plans;
  - c) Prudential may adjust Drawdown payments at any time in the future if this is necessary to comply with HMRC rules;
  - d) Prudential shall be fully discharged of any liability for payments made in accordance with this application and any subsequent alterations to the instructions detailed on this form Prudential will review my Capped Drawdown plans every 3 years, or earlier if agreed by Prudential, in accordance with the scheme rules. From age 75, Prudential will review my Capped Drawdown plan every year.

## Part I – Declaration by Investor – continued

- e) I will write to Prudential to inform them if I flexibly access my benefits and the date I have done this within 91 days of the event occurring.
12. I understand where I have chosen to take income that I am responsible for ensuring there is sufficient cash in addition to the minimum bank account balance to pay the income I require where that income is to be taken, in whole or in part, from the Self-Invested Fund.
13. I understand that I am responsible for any tax charges on unauthorised payments if the information that I have given is not complete and correct.
14. I request that maximum income reviews for Capped Drawdown are conducted within the timeframe set out in legislation and as agreed with Prudential.
15. I understand that I can alter the terms of my plan by giving revised instructions to Prudential, in writing, and that these revisions can be either directly from me, from my employer, or from the financial adviser who arranged my plan (or from any other adviser I appoint in writing and accepted by Prudential) provided that such revisions are allowed in terms of the Rules and Plan Conditions.
16. If I have chosen to invest in unit trusts/OEICs through Cofunds via either SIPP option in Part G, I agree to be bound by the Cofunds Customer Agreement for SIPPs provided by Curtis Banks Group.
17. 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.
18. I authorise Prudential to act upon my instructions regarding the facilitation of Adviser Charges (the "Adviser Charge Instruction") whether specified here now or elsewhere at any time in future. I also understand that Prudential shall not be required to carry out such instructions (including any permitted by my adviser firm) where they conflict with any applicable law or regulation and/or where they are inconsistent with Prudential's Adviser Charge administration capability.
19. I understand that where there is a difference between the Adviser Charge Instruction and the Adviser Charges agreed with my adviser firm, Prudential will only facilitate payment in accordance with my Adviser Charge Instruction.
20. I confirm that the Adviser Charge specified in my Adviser Charge Instruction is inclusive of any VAT at the prevailing rate from time to time.
21. I understand that Prudential will not automatically amend the level of any Adviser Charges where there is a change in the applicable rate of VAT. I agree that Prudential may change the amount of Adviser Charge solely on the instruction of my adviser firm where this is wholly related to a change in the rate of VAT applicable, including where previously VAT free adviser charges become subject to VAT.
22. I understand that, with the exception of changes in the level of VAT applicable, the Adviser Charge may not be increased without my explicit authority.
23. I agree that the Adviser Charge may be reduced or stopped by Prudential or my adviser firm without my explicit authority.
24. I agree that where my adviser firm arranges for the services I have agreed with them to be provided by another adviser firm, I authorise Prudential to amend my Adviser Charge Instructions to pay the Adviser Charges at the existing agreed level to the new adviser firm.
25. I confirm that I have discussed with my financial adviser the tax implications of having my Adviser Charge deducted from the contract and acknowledge that deduction of the Adviser Charge may trigger a tax liability. (Whether tax is triggered as a result of the Adviser Charge will depend on the type of Prudential contract and how you have agreed with your adviser to structure payment of the Adviser Charge. Your adviser (or another independent tax adviser) should provide you with this advice).
26. I understand that if adviser charges are not paid in line with HMRC rules unauthorised payments will be created and tax charges will apply for which I will be liable. I confirm that:
- any adviser charges are genuinely commercial remuneration arrangements between myself and my adviser and are appropriate in relation to the advice and service my adviser provides in relation to pension schemes.
  - where I have selected Ongoing Adviser Charges I am receiving ongoing advice and/or service, I understand that ongoing adviser charges must stop if I cease to receive ongoing pension scheme advice and/or service from my financial adviser and I should inform Prudential immediately if this happens.
- If any Adviser Charges are overpaid to my adviser I understand that I must ensure that the overpayment is returned to my pension scheme.
- I understand that adviser charges deducted from my pension plan(s) will have an impact on the initial and future benefits payable from these plans.

## Part I – Declaration by Investor

### 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
- 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, the 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.

## Part I – Declaration by Investor – 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 the 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](https://www.pru.co.uk)**

## Part I – Declaration by Investor

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.

Please confirm if you have received free, impartial guidance from Pension Wise – the Government guidance service from MoneyHelper.

Yes, I have used Pension Wise, the Government guidance service from MoneyHelper.

No, I have not used Pension Wise, the Government guidance service from MoneyHelper.

For your own benefit and protection, you need to read carefully the documentation provided before signing and returning this form. You should 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.

Your signature

Date

D	D	M	M	Y	Y	Y	Y
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Prudential As Administrator Agrees To Administer The Prudential (SAL) Personal Pension Scheme As Required By The Rules Of The Scheme.

## Part J – 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 and
  - 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

Your signature

Date

D	D	M	M	Y	Y	Y	Y
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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) Personal Pension Scheme is an appropriate personal pension scheme and has been allocated HMRC reference number 00605330RK and ASCN A7001074K.

Please advise contact details

**For Completion by financial adviser – other essential information – all sections should be completed**

**1. Your FCA Number (Registered Individuals)**

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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e.g. A B C 1 2 3 4 5

Registered Individual's Forename

Registered Individual's Surname

I confirm that I have provided advice in connection with this application

We will not process applications where advice has not been provided.

**We do not pay Adviser fees on In specie transfers. Once the plan is set up you may be able to take a fee directly from the SIF bank account.**

**2. Your Agency details**

Your Prudential (SAL) Agency Number

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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e.g. 1 2 3 4 5 6 X

Agency name and address stamp

**3. Your Customer Reference Number (if any)**

**4. Routing Instructions**

*You should ignore this section if the investor already has a 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.)*

Certificate of Membership to:

Investor  You  Special destination\*

Copy Certificate to:

Investor  You  Special destination\*

\* Special destination – Name

Address

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

Postcode

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

Signature

Date

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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Name in block capitals

Position in firm

**For Prudential Use Only**

Cheque Acknowledgement Number

Cheque Amount

Date Stamp

D	D	M	M	Y	Y	Y	Y
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SD Agreed by

AM

AMC adj

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AOI