

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.

Minimum investment £5,000; maximum investment £500,000 per bond (including all previous investments)

About this form

If you have any questions about this form, you can call us on **0345 640 1000** between 8am and 6pm, Monday to Friday. Calls may be monitored or recorded for quality and security purposes.

Please return this form to: **FREEPOST, Prudential, Lancing BN15 8GB**

Adviser notes: Please ensure you complete the Adviser Checklist on page 9 of this form.

Part 1 – Details of your investment

Please complete one form for each plan (up to 20 separate Policies) to which an additional investment is to be made.

Planholder name

I/We wish to make an additional investment of £

to be divided equally between ALL the identical policies, numbers commencing in my plan

If you are making a payment by cheque and it is not drawn on your personal account, we may ask you to prove the money belongs to you.

For plans started before 25 April 2005

No early cash-in charges will apply to the additional investment.

For plans started on or after 25 April 2005

There is a standard 5 year Early Cash-In Charge. If you selected the 3 year Early Cash-In Charge option on your original investment, this will also apply to your additional investment. An initial charge of 1% will be deducted from your additional investment for this option.

An Early Cash-In Charge will apply to any partial or full withdrawals made within 5 years (or 3 years if that option was selected) from the start date of each investment.

Please see your Key Features document for full details.

I/We confirm that the funds for this application have not come from a full or part withdrawal from a Prudential or Prudential International investment in the last 12 months.

If this information is subsequently found to be incorrect, Prudential reserve the right to cancel this additional investment at any time. If this happens Prudential will return your additional investment less any withdrawals taken.

Part 3 – Taking a regular withdrawal

Only complete this section if you wish to take regular withdrawals. If you DO NOT wish to take a regular withdrawal go to Section 4.

Any withdrawal 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 original capital invested.

Part A – Continuing, changing or starting withdrawals

Please note: 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:

- 1) If the withdrawals are for variable amounts e.g. a fixed % of fund value or natural income. then the amount will be increased in the future, in line with the new additional investment or
- 2) If the withdrawals are for a fixed monetary amount or fixed % of the initial or total investment excluding this additional investment, the amount paid will remain unaltered. If payments are to be increased in line with the new investment, please complete the commencing or changing withdrawals section below.

I/We have no revised instructions please go to Section 4

Commencing or changing withdrawals

Complete the following only if you wish to start or amend an existing withdrawal instruction:

I/We wish to commence withdrawals please complete Part 3B, C and E or

I/We wish to amend withdrawals please complete Part 3B and C (and E if bank details changing)

Part B – The amount

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

The following withdrawal limits apply:

- Minimum payment £50 (except under the Regular Bonus as Income* and the Natural Income options).
- 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 if selected at the start of your plan, 7.5% of the total amount you paid in, except where you opt to receive Natural Income on your Distribution Income Funds or Regular Bonus as Income on your With-Profits Funds.
- Withdrawals are taken equally from all the policies in the plan. Withdrawals will be taken from all funds proportionally unless you provide alternative instructions in Part D.
- Commencement of regular withdrawals may affect the Annual Growth Reward (where applicable).
- If your investment is in both With-Profits (Optimum Bonus) & With-Profits (Optimum Return) Fund Options, the Regular Bonus as Income option will be taken from both Fund Options unless you specify otherwise in Part D.

I/We want to receive each year
or % of my/our total premium(s) invested each year
or % of the value of my/our plan each year

please tick box

or The Regular Bonus as Income Option (With-Profits only*)

or Natural Income (Distribution Income Funds only)

or Natural Income capped at 5% of total investment** (Distribution Income Funds only)

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

Part 3 – Taking a regular withdrawal – continued

Part C – Frequency of Payments

Every Month Every 3 Months Every 4 Months***
Every 6 Months Every 12 Months***

Date you wish to start taking regular withdrawals (this must be at least 30 days from the date of the additional investment and if distribution income funds are used the start date must also be after the next distribution date).*

D	D	M	M	Y	Y	Y	Y
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Note: Regular withdrawal payments will usually reach your account within five working days of the date you have chosen.

* The earliest payment under the With-Profits Regular Bonus as Income option will be the first scheduled payment date based on the frequency selected in Part C, e.g. if payments are required every three months, the first payment will be made on the first scheduled payment date after three months from acceptance of this application.

** Total investment is the total amount of capital that you have invested, not the value of your Plan.

*** Not available to Distribution Income Funds investors taking Natural Income.

Part D – Only complete if you wish to specify from which Funds the regular withdrawals are taken from

Note: Regular withdrawal amounts will be deducted from all your chosen funds unless otherwise specified. If you wish the amount to be taken from selected funds please specify the name of the fund(s) below. For investors in the Distribution Income Funds taking Natural Income, this option is not available.

Fund Name

1.
2.
3.
4.

Part E – Bank/Building Society Details

Name of your bank or building society

Address

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

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

<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"/>
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Roll Number (if applicable)

Account Name

Part 4 – Optional feature

Only complete this section if you wish to switch any growth from the Cash Fund to another fund(s). You can only choose the Interest Sweep Option if you have a minimum investment of £100,000 in the Cash Fund.

Interest Sweep (only available on Plans started after 17 November 2003)

You can select a maximum of three funds.

Only available on unit-linked funds (excludes With-Profits (Optimum Bonus) and With-Profits (Optimum Return) Funds, PruFund Funds and Prudential Distribution Cash Fund). I/We wish to switch all of any growth gained in the Cash Fund to the following funds every three months.

Name of unit-linked fund(s) to receive the Interest Sweep amount.	
1.	%
2.	%
3.	%
Total	100%

You cannot choose this option if Auto Rebalancing or Programmed Switching currently applies on your existing investment.

Part 5 – Details of the applicant

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. Where there are joint applicants, please give details of both.

First Applicant

Occupation/Nature of business (trustees should simply enter Trustee)

Annual earnings (including income from any pensions)/Net annual turnover (not applicable to existing trustees)

Source of funds for this investment

(eg a UK bank account)

Source of wealth

(Origin of funds for this investment eg saved from salary, inheritance, property sale, divorce settlement)

Second Applicant

Occupation/Nature of business (trustees should simply enter Trustee)

Annual earnings (including income from any pensions)/ Net annual turnover (not applicable to existing trustees)

Source of funds for this investment

(eg a UK bank account)

Source of wealth

(Origin of funds for this investment eg saved from salary, inheritance, property sale, divorce settlement)

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

Part 6 – Declaration

- a. I/We enclose a cheque for my/our additional investment made payable to the Prudential Assurance Company Limited 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. I have read the notes on Page 2 about PruFund Funds and the additional documents mentioned in these notes. I am fully aware of the features of these funds and agree to be bound by the updated Policy Provisions relating to these funds.

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 application which could have an adverse affect on the initial purchase price of your investment.

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.

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.

Signature(s) and Full Names of Owners

Trusts

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

Name

Signature

Date

D	D	M	M	Y	Y	Y	Y
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Name

Signature

Date

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

Name

Signature

Date

D	D	M	M	Y	Y	Y	Y
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Name

Signature

Date

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

Introduction by an Financial Conduct Authority regulated firm

1. Details of individual (see explanatory notes below)

Full name of Customer

Current address

	Postcode

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

	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 Part 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

D	D	M	M	Y	Y	Y	Y
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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 3rd 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.

Adviser checklist – to be completed by financial adviser

Financial Adviser note – To help us process the application accurately, please tick the relevant box and complete all the details below:

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

Prudential Agent Number (eg. 012345)

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

Yes No

Additional notes

pru.co.uk

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

Online Submission Declaration

About this form

This form must be completed where the application is being submitted online. Please then detach it and return it with the client's cheque in the envelope provided

Declaration Reference No.

Financial Adviser Case Reference No.

Financial Adviser Reference Date

D	D	M	M	Y	Y	Y	Y
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Date

D	D	M	M
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Time

H	H	M	M
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The company

Prudential

The product

Flexible Investment Plan

Space for Financial Adviser stamp

This Declaration has been completed as part of my application for the Flexible Investment Plan.

I understand that the information I supply may be used for the purposes of administering the contract by the company, reinsurers, and third parties that provide services to Prudential or my Financial Adviser. I agree that my rights under the Data Protection Act regarding direct marketing have been explained to me.

I agree that such information may be disclosed in confidence to regulatory bodies, insurance companies, and other group companies in connection with the investigation or prevention of fraudulent claims.

I understand that when this Declaration is complete, it will be posted to Prudential along with other relevant documents.

Terms of contract

1. I agree that the contract between me and Prudential for the provision of the Flexible Investment Plan will be governed by the terms of the following documents.
 - a. Key Features document;
 - b. This Declaration Notice;
 - c. The Confirmation Schedule and,
 - d. The Policy Conditions as amended from time to time.

Signatures

First Applicant

Full Name (Block Capitals)

Signature

Date

D	D	M	M	Y	Y	Y	Y
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I have read the notes on Page 2 about PruFund Funds and the additional documents mentioned in these notes. I am fully aware of the features of these funds and agree to be bound by the updated Policy Provisions relating to these funds.

2. I have supplied the information necessary to submit this application to Prudential through my Financial Adviser. I understand that Prudential will prepare a record of this information, known as the Confirmation Schedule, and send a copy to the First Applicant so that I can check its accuracy and completeness. I will have a period of 14 days from the date of posting of that copy to check this information and advise Prudential of any errors or omissions, otherwise it will be deemed to be correct.

3. Prudential will write to tell the First Applicant either directly or via their financial adviser when the policy is in force and the premium has been invested. On commencement of the contract the First Applicant will receive a Cancellation Notice, which gives the right to cancel the contract within 30 days if any applicant wishes. I understand that if I cancel the contract within the cancellation period, I may get back less than I invested.

Any person covered by this Declaration may request confirmation of their own recorded details on request.

Other Applicants

Full Name (Block Capitals)

Signature

Date

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

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