

# Trustee Investment Plan – Series A

## Application form

### 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.

### About this form

If someone else fills in this form for you (for example, your Financial Adviser), please check that all the details are correct before you sign the Declaration. You are responsible for all the answers you or your Financial Adviser provide on this application.

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.

Please also read the Fund Guide 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.

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

Please return this form to: **FRIS Team, Prudential, Lancing BN15 8GB.**

Advisers – if you have questions about this form in the first instance, get in touch with your usual Prudential contact or please call our team on 0808 100 3429. Calls may be monitored or recorded for quality and security purposes. Trustees – please speak to your Financial Adviser.

### Important Information

The PruFund Protected Funds are currently unavailable to new investments.

### Section A – Investor details

Name of Scheme

The trustees of the

Contact Name

Scheme Address

Postcode

Daytime Tel. No.

HM Revenue & Customs Pension Scheme Tax Reference number for the Scheme is:

## Section A – Investor details – continued

Please remember to keep us informed of any changes to the trustees.

Please provide the following details if the Scheme **doesn't** have a sole Corporate Trustee:

Name of Trustee	Address of Trustee

Your customer reference no.

Prudential reference no. (if already allocated)

Please tick the appropriate box for your Scheme:

Occupational Pension Scheme (OPS) or SSAS

Or  a Self Invested Personal Pension Scheme (SIPP)

## Section B – Plan Review Date

If you already have a Trustee Investment Plan (Series A), please ignore section B as the Review Date will be set based on your existing Plan and go to section C. If you do not already have a Trustee Investment Plan (Series A) and leave this section blank, the review date will be the plan anniversary.

We will issue a statement giving information on the fund value shortly after your chosen review date.

Please confirm the Review Date required.

This should be between the 1st and the 28th of any month.

## Section C – Member details

Member details are required for Self-Invested Personal Pension (SIPP) Schemes and for any applicants who want to invest in the With-Profits Fund.

Title Mr  Mrs  Miss  Ms  Dr  Other

Surname

Forename

Date of birth

Gender

Female

Male

National Insurance (NI) number

For non SIPP schemes, the With-Profits Fund is only available if a member of the scheme is named at outset.

Only one member of the scheme needs to be linked to the plan to access the With-Profits Fund. If the total investment is to be split over more than one member please complete a separate application form for each member.

## Section D – Investment details

### Important Information

The PruFund Protected Funds are currently unavailable to new investments.

You can invest in up to six funds.

Please see our Fund Guide for information on all our funds or visit [pru.co.uk](http://pru.co.uk)

The percentages you select should total 100%. Please enter whole numbers (fractions of 1% cannot be used).

PruFund Funds count as two fund choices as the relevant holding account will be automatically added to your selection.

If the member is aged 85 or over, you cannot choose the With-Profits Fund. If you do choose the With Profits Fund and the member is over 85, we will invest it in the Prudential Cash Fund.

If the member is aged 98 or over, you cannot choose a PruFund Fund. If you do choose a PruFund Fund we will invest it in the Prudential Cash Fund.

The guarantee terms for the PruFund Protected Funds options available are shown in the document "The PruFund Range of Funds: Guarantee Options" – INVS11470. You can get a copy from your adviser or from [pru.co.uk](http://pru.co.uk)

Amount of Investment. Please make cheques payable to Prudential and send the cheque with this application form. Alternatively, you can send the funds direct to our bank account. Please contact us for details.

£

(The minimum initial investment is £20,000, the minimum additional investment is £10,000. The maximum contribution is normally £1,000,000. We may accept higher value contributions on request.)

Is this an application for an increase to an existing Prudential Trustee Investment Plan? Yes  No

If Yes, please give plan number

Are there any other Application Forms in respect of members of the same Occupational Pension Scheme being submitted at the same time as this Application Form? Yes  No

If Yes, how many other Application Forms are there?

Please note that it is important for you to tell us if you have any existing Trustee Investment Plans and/or you are submitting any other Application Forms in respect of members of the same Occupational Pension Scheme to ensure you benefit from any applicable Fund Size Discounts.

Chosen funds	% to be invested in each fund
	%
	%
	%
	%
	%
	%
	%
Total	100%

Are you choosing a PruFund Protected Fund?

No – Go to Section E.

Yes – Choose the guarantee term from the options available  years

Only one PruFund Protected Fund is allowed per Plan. If you select a guarantee term that ends on or after the member's 99th birthday, we will invest it in the non-protected version of the fund.

## Section E – Taking income (optional)

Complete this section if you want to take income from this plan.

Income Level  % each year  
payable Monthly  Quarterly  Half yearly  Yearly

Or

Income Deferred  (tick box)

Please provide scheme bank account details, as we cannot make payments direct to the member.

Name of account holder

Name and address of Bank/Building Society

Postcode

Sort Code

 -  - 

Account Number

## Section F – Adviser charge instructions

If no adviser charges are to be taken from the plan, go to Section G.

### Adviser charges for arranging the set up of this plan

The Adviser charge agreed for consultations resulting in setting up this plan can be taken either as a percentage of the contribution or a fixed monetary value.

To be taken as % of contribution  %

Or

as a specified monetary amount  £

### Ongoing Adviser charges

The Adviser charge agreed for ongoing advice is deducted from the fund as a percentage of the fund value. Please enter the annual amount of charge and the frequency deductions are to be made from the fund to meet the cost of ongoing advice.

As a percentage of fund value  % p.a.

Ongoing adviser charges to be deducted once every (please tick **ONE** box) Monthly  Quarterly

We have limits which set out the maximum level of Adviser Charging which we will facilitate. For Set-up Adviser Charges this is 5% of the single premium or £20,000, whichever is lower.

Ongoing Adviser Charges will be calculated and deducted proportionately across all funds including PruFund Protected Funds. As this will reduce the Guaranteed Minimum Fund, you can choose to exclude PruFund Protected Funds from the deduction of this charge.

Please tick the box if you do not want Ongoing Adviser charges to be deducted from the PruFund Protected Fund. This option is not available if you are only invested in a PruFund Protected Fund.

You can choose regular income withdrawals and the payment frequency for the withdrawals – up to 7.5% each year of the original investment – payable from the start of the second plan year.

Alternatively, if you want to tell us later, please tick the Income Deferred box.

If you take regular withdrawals from a PruFund Protected Fund, the amount guaranteed will be adjusted for any withdrawals you have made.

The percentages you select should be to 2 decimal places only.

Ongoing charges will continue to be deducted until the plan is cashed in, or we receive instructions to amend the ongoing charges.

Ongoing Adviser charges will be paid in arrears from the plan start date. For example if the plan starts on 15th January, the first charge would be deducted and paid to your Adviser on 15th February if you choose monthly deductions, or on 15th April if you choose quarterly deductions.

## Section G – Declaration

Please read the points below carefully and provide the Scheme's HM Revenue & Customs reference number before signing the declaration.

- We declare that to the best of our knowledge and belief the information on this form is true and complete.
  - We authorise Prudential to act upon our instructions regarding the facilitation of Adviser Charges (the "Adviser Charge Instruction") whether specified here now or elsewhere at any time in future. We also understand that Prudential shall not be required to carry out such instructions (including any permitted by our adviser firm) where they conflict with any applicable law or regulation and/or where they are inconsistent with Prudential's Adviser Charge administration capability.
  - We understand that where there is a difference between the Adviser Charge Instruction and the Adviser Charges agreed with our adviser firm, Prudential will only facilitate payment in accordance with our Adviser Charge Instruction.
  - We confirm that the Adviser Charge specified in our Adviser Charge Instruction is inclusive of any VAT at the prevailing rate from time to time.
  - We understand that if the level of VAT applicable within the Adviser Charge changes (including where previously VAT free Adviser Charges become subject to VAT) Prudential will only alter our Adviser Charge following a new Adviser Charge Instruction or instruction from our adviser firm which sets out the new level of charges to be deducted.
  - We understand that, with the exception of changes in the level of VAT, the Adviser Charge may not be increased without our explicit authority.
  - We agree that the Adviser Charge may be reduced or stopped by Prudential or our adviser firm without our explicit authority.
  - We agree that where our adviser firm arranges for the services we have agreed with them to be provided by another adviser firm, we authorise Prudential to amend our Adviser Charge Instructions to pay the Adviser Charges at the existing agreed level to the new adviser firm, except where they conflict with any applicable law, regulation and/or HMRC practice and/or where they are inconsistent with Prudential's Adviser Charge administration capability.
  - We confirm that we have discussed with our financial adviser the tax implications of having our Adviser Charge deducted from the Plan.
  - We understand that any Adviser Charge not paid in line with HMRC rules will result in unauthorised payments and tax charges for which we will be liable.
- We confirm that:
- (i) our Adviser Charges arise from genuinely commercial remuneration arrangements between ourselves and our adviser which are appropriate to the advice and service our adviser provides us in relation to our registered pension scheme(s);
  - (ii) any Set-up Adviser Charges are solely in respect of the initial advice to set up this pension plan(s)/ these pension plan(s);
  - (iii) where we have selected Ongoing Adviser Charges we are receiving ongoing pensions advice and/or a service from our adviser in relation to our registered pension scheme(s).
- We understand that Ongoing Adviser Charges must stop if we cease to receive ongoing pension scheme advice and/or service(s) from our adviser in relation to our registered pension scheme(s) and that we must inform Prudential prior to the occurrence of such event.
  - If any Adviser Charges are overpaid to our adviser we understand that we must ensure that the overpayment is returned to our pension scheme. In the event that an overpayment is not returned to our pension scheme we understand that we will be liable for any tax consequences that may arise from the breach of any UK tax legislation.
  - We understand that Adviser Charges deducted from our pension plan(s) will have an impact on the benefits payable from such plan(s).
  - We understand a member can only be named at the start of a plan and cannot be removed. Where we have named an individual in Section C, they are an existing member of our scheme.
  - The Scheme named in this form has been (or is in the process of being) approved by HM Revenue & Customs as a registered scheme under Chapter 2 of Part 4 of Finance Act 2004;
  - If the Scheme should fail to gain, or lose, HM Revenue & Customs approval we will immediately notify Prudential; and
  - The investment powers included in the documents governing the Scheme do not preclude investment in a Prudential Trustee Investment Plan

## Section G – Declaration – continued

### 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, 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.

## Section G – Declaration – continued

### 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
- 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.

## Section G – Declaration – continued

### 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](http://pru.co.uk)

Prudential UK means The Prudential Assurance Company Limited, Prudential Distribution Limited, Prudential Life Time Mortgages Limited, Prudential Pensions Limited, and Prudential Financial Planning Limited as appropriate.

M&G plc means any affiliates of Prudential UK (including, Prudential International Assurance plc, PGDS (UK ONE) Limited, Prudential 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).



## Section G – Declaration – continued

Trustee(s) or other Signatory(ies) authorised by Scheme Documentation

For your own benefit and protection, you should read carefully the documentation provided before signing in the boxes below 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.

1. Signature

Print Name

Date

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

2. Signature

Print Name

Date

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

3. Signature

Print Name

Date

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

4. Signature

Print Name

Date

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

5. Signature

Print Name

Date

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

6. Signature

Print Name

Date

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

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

**For completion by financial adviser – essential information – all sections to be completed**

**1. Was advice given?**

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



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

**2. Source of funds for this investment**

(eg a UK bank account or overseas bank account)

Source of Trust Wealth

(Origin of funds for this investment eg SIPP/SSAS/OPS scheme. If other, please state clearly)

**3. Adviser details**

Firm Reference Number       e.g. 1 2 3 4 5 6

R.I. Number         e.g. A B C 1 2 3 4 5

Registered Individual's forename

Registered Individual's surname

**4. Your agency details**

Your Prudential (SAL) Agency Number

(If operating as an Appointed Representative, please insert your network's agency number.)

e.g. 1 2 3 4 5 6 X

The payment of Adviser's Fees will be to the Adviser firm identified on the form.

Agency name and address stamp

**5. Your customer reference number (if any)**

**6. Routing Instructions (Please only tick one option for the dispatch of the Plan documents).**

Direct to Trustee(s)

Direct to Trustee(s) with copy to you

Original via you

For Prudential use only

Date stamp



[pru.co.uk](https://pru.co.uk)

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