

Prudential Personal Pension Scheme (T86)

Transfer Plan application form

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About this form

If you have any questions about this form, you can call us on 0345 640 2000 between 8am and 6pm Monday to Friday. Calls may be monitored or recorded for quality and security purposes. Please return all 6 pages of this form in the enclosed reply paid envelope to:

FREEPOST, Prudential, Lancing BN15 8GB.

- Please arrange for this form to be completed by the member and the administrator of the transferring scheme.
- When you complete the form, please read the notes, which are there to help you.

Was advise to transfer given? Yes No

Have you asked your financial adviser to arrange the transfer against their recommendation? Yes No

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

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 your 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.

Please note, there may be restrictions if you wish to invest your payment(s) into unit-linked funds – please see Part B for more details.

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.

Your Fund Guide is available at pru.co.uk/pdf/INVB6572.pdf or on request.

* If “Other”, please tick box, then state title.

Part A – Investor’s details

Title Mr Mrs Miss Ms Dr Other*

Surname

Full forename(s)

Current address

Postcode

Please make sure you include your postcode, as we are unable to process this application without it.

Gender Female Male Date of birth

D	D	M	M	Y	Y	Y	Y
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National Insurance (NI) number

Prudential Personal Plan no.

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Selected retirement age

The selected retirement age could be any age in the range 55-75.

Have you ever been bankrupt? Yes No

If **Yes**, we will need to obtain further details, to establish whether the transfer value may be affected by the bankruptcy. We will contact you separately if we need this additional information from you.

Please now complete Part 2.

Part B – Investment details

Where do you want your money to be invested?

Please tell us where you would like your payments to be invested. You can only choose to invest the lump sum payment into any of the unit-linked funds if you have previously invested into one or more of these funds.

If you do not tell us we will invest in the Prudential With-Profits Pension Fund. If you would like further information on funds please refer to your Fund Guide.

Chosen fund(s)	Regular contributions	Single contribution
	%	%
	%	%
	%	%
	%	%
	%	%
	%	%
	%	%
	%	%
Total		100%

Alternatively, if you have chosen to invest in unit-linked funds, you can choose one of our lifestyle options.

This means that we will automatically switch your investments into funds with a lower risk profile as you approach your selected retirement date. Please refer to your Fund Guide for further information on the lifestyle options.

Please choose which lifestyle option you would like.

- Lifetime Investment Profile targeting **retirement options**
- Lifetime Investment Profile targeting **an annuity**
- Lifetime Investment Profile targeting **100% cash**
- Lifetime Investment Profile targeting **drawdown**

Date from which payments will apply

D	D	M	M	Y	Y	Y	Y
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A market value reduction may be applied to your fund value if you take money out of the With-Profits Fund.

For further details, please refer to the Key Features Document.

Have you previously accessed benefits flexibly*?

Yes No

If Yes, please specify the date these were accessed.

D	D	M	M	Y	Y	Y	Y
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Please now complete part C.

* There are a number of possible ways you may trigger the Money Purchase Annual Allowance (MPAA) when accessing your benefits flexibly.

For further information please speak to your Financial Adviser.

Part C – Details of transferring arrangement

Full name of scheme/arrangement

HM Revenue & Customs approval reference

Name and address of Trustee & administrator or insurer

Postcode	

Policy/Reference number

Where is the transfer coming from?

UK registered pension scheme

Any other source approved by HM Revenue & Customs

What type of pension is this?

- 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

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

Yes No

Is this transfer part of a “block transfer”?

Yes No

If you have answered yes, please answer the following questions –

do you have either Protected Tax Free cash?

Yes No

or a

Protected special early normal retirement date?

Yes No

If you have answered “yes” to any of the above questions, we will need additional information and we will request this before the application can proceed.

Please tick the appropriate box

Please tick the appropriate box

We are required by HM Revenue and Customs to obtain these details.

Part D – Transfer details – personal pension and stakeholder pension options

Total amount of transfer value

£

Please indicate the type of transfer

Full

Partial

Part E – Declaration by Investor

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 C 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 C 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.
2. 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.
3. 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.
4. I understand that no benefits arising as a result of this transfer are capable of commutation, surrender or assignment except as permitted by Part 4 of the Finance Act 2004.
5. 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.
6. If I have taken benefits from any pension arrangement, with the current or any other pension provider, in a way which means I am subject to the Money Purchase Annual Allowance (MPAA), I have supplied the date the MPAA first applied to me in Part B.

Declaration to Prudential and Existing Pension Provider

1. I accept responsibility in respect of any claims, losses, expenses, additional tax charges or any penalties that Prudential and the current provider may incur as a result of any incorrect, untrue, or misleading information in this application or given by me, or on my behalf, or of any failure on my part to comply with any aspect of this application.
2. I authorise the current provider, Prudential, 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 request that the Trustee and administrator or insurer of my previous scheme or arrangement pays a transfer value to Prudential and that Prudential add this transfer (as confirmed in this application form) to my existing Prudential Personal Pension Plan.

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 E – Declaration by Investor – continued

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.

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

Part E – Declaration by Investor – continued

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 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 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.

Part E – Declaration by Investor – continued

For your own benefit and protection, you need to read carefully the documentation provided before signing and returning 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

Date

D	D	M	M	Y	Y	Y	Y
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Prudential, as scheme administrator, agrees to administer the plan in accordance with the plan terms and conditions. A copy of this completed application form and the current version of the plan's terms and conditions are available on request.

Part F – 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

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 Personal Pension Scheme is a registered pension scheme with HM Revenue and Customs PSTR 00605312RX.

Tick box.

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

Notes

Registered Individual's forename

and

Registered Individual's surname

2. Was advice to transfer given? Yes No

3. Has the transfer been arranged against your recommendation? Yes No

4. Your Agency details

Your Prudential Agency number

or

Agency name and address stamp

e.g. 1 2 3 4 5 X

Your Prudential company representative number
(if applicable)

e.g. 1 2 3 4 5 X

5. Your customer plan

Signature

Date

Name in block capitals

Position in firm

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

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