PRUDENTIAL

Authority for financial adviser firm to submit Investment alteration requests

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 form.

About this form

This form can be used to authorise a financial adviser firm to submit investment alteration requests on all of your current and any future Pru Flexible Retirement Plans (FRP) where that firm is the adviser firm we hold on our records for the plan.

It cannot be used for any other Prudential pension plans or any FRP plans you may have with a different adviser.

The form cannot be used to change any existing SIPP Account details. For this complete our SIF Activation Form (PENF6660).

This form is available from www.pruadviser.co.uk, or directly from us.

Investment alteration requests include:

- altering investment strategy (switching existing units between funds and/or redirection of future contributions)
- selecting a Portfolio Option
- selecting a Lifestyle Option
- changing the funds from which units are sold to provide income under Income Drawdown Plans

You should read the important information below and the notes on our Investment Alteration Request form (FRPF10149) then complete section A.

Authorised individuals within the adviser firm should complete section B.

Please return this form to: Freepost, Prudential, Stirling FK9 4UE.

Important Information

1. Once an Investment Alteration Request has been received it cannot be withdrawn unless we agree.
2. All Investment alteration requests will be processed in line with terms and conditions set out in the relevant Pru FRP Technical Guides – IPPB6369, IPPB6373 & IPPB6370 unless stated otherwise on this form.
3. The authority is only valid for those FRP plans where the adviser firm in section B is the servicing agent on our records.
4. The adviser firm can make investment alterations using our Investment alteration form (FRPF10149) or Investment alteration form – electronic submission (FRPF10211). We will accept these forms sent by post, online or by fax.
5. There are special rules for requests received other than by post:

- The effective date of a request submitted by fax or online which involves switching between funds and which is received by us by 5.00 p.m. (London time) on a working day, is normally the next working day following the date of receipt.
- The effective date where such a request is received by us either after 5.00 p.m (London time) on a working day or on a day that is not a working day, is normally the second working day following the date of receipt.
- In some cases we may need more than one item, piece of information or additional documentation to carry out a transaction. In this case, the effective date will be determined by reference to the date on which we have everything we need in the ways described above.

6. At times we may refuse a request submitted by the adviser and require the member to complete an Investment alteration request form or other such documentation as we may require. We would normally only do this for important contractual reasons for example where investments are being made for the first time into the Self Invested Fund or where investments are being made into new funds which are operated in a way which is materially different from the funds as described in Technical Guides previously issued to the planholder.

Important Information – continued

7. When submitting a switch request, the adviser firm will be required to ensure that you have been informed of all relevant notes in the current Investment alteration form.

8. We will communicate the results of any switch to the adviser firm in section B only and not to you, the planholder.

9. Where there is any conflict between the notes set out in this authority and the terms and conditions set out in the Pru FRP Technical Guides, the Technical Guides shall be overriding.

10. Prudential (or its agents) will have no liability for any loss or otherwise incurred by you resulting either directly or indirectly from Prudential's acceptance of an Investment Alteration request from the adviser firm in section B in accordance with this authority.

11. Changes to the PruFund Pension Fund Range were made on 9 November 2009. It is important that you read and understand the documents noted on our Investment Alteration Form as the adviser firm may request that we switch into one of the funds.

12. The authority will be valid until:

   - cancellation, in writing, is received by Prudential from the person noted in section A, or
   - the servicing adviser is changed.

Section A – Planholder details and Declaration

Planholder details

Name	NI Number

Planholder declaration

1. I authorise the adviser firm noted in Section B of this form to submit Investment Alteration Requests on my behalf.

2. I have read and agree the important information above.

3. I have read and understood the notes on the Investment Alteration Request form and acknowledge these may change from time to time but at all times requests will be processed in line with the relevant Technical Guide(s) for my FRP Plan(s).

4. I understand that Prudential (or its agents) will have no liability for any loss or otherwise incurred by me resulting either directly or indirectly from Prudential's acceptance of an Investment Alteration request from the adviser firm in section B in accordance with this authority.

5. I understand that Prudential will send any correspondence to the adviser firm authorised in Section B, where they submit the Investment Alteration Request. If I complete the Investment Alteration Request, the correspondence will be sent to me as normal.

6. If all my Pru Flexible Retirement Plans were taken out prior to 9 November 2009 I confirm that:

   - I have read the notes on page 6 of Investment Alteration Form (FRPF10149) about the PruFund Pension Funds and the additional documents mentioned in these notes
   - I am fully aware of the features of these PruFund Pension Funds and agree to be bound by the updated terms and conditions should the adviser firm in section B request you switch units into either of the PruFund Pension Funds.

Signature	Date
✗	D D M M Y Y Y Y

This section should be completed only by those individuals within the firm authorised to sign on behalf of the firm.

Section B – Adviser firm details and Declaration

Adviser firm details

Adviser firm name

Adviser Firm Reference Number (FRN)

Adviser firm address

Postcode

Adviser firm declaration

1. I/We understand that Prudential (or its agents) will have no liability for any loss or otherwise incurred by the planholder or us resulting either directly or indirectly from Prudential's acceptance of an Investment Alteration request from this firm in accordance with this authority.
2. I/We understand that Prudential will not send any correspondence about the investment alteration to the planholder where I/we submit the Investment Alteration Request and the responsibility for onward communication with the planholder lies with us.
3. I/We agree that when submitting a switch request, I/we will be responsible for ensuring that the planholder is aware of any changes to the relevant notes, from those in the Investment Alteration Form (FRPF10149) as at the date of this authority.
4. If I /we choose to invest in any of the PruFund Pension Funds and all the planholder's FRP plans were taken out prior to 9 November 2009 we confirm that we have supplied the planholder with the documents described in the notes on Investment Alteration Request form (FRPF10149).

Authorised signatories

Name

Position

Signature

✗

Date

D D M M Y Y Y Y

Name

Position

Signature

✗

Date

D D M M Y Y Y Y

Name

Position

Signature

✗

Date

D D M M Y Y Y Y

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