



# Trustee Investment Plan – Series A

## Application 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.

### About this form

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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 guide to fund options as this will provide you with full details of the funds available, their objectives, Prudential's Risk rating of these funds and charges 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.**

### Section A – Investor details

Name of Scheme

Contact Name

Scheme Address

Daytime Tel. No.

Prudential reference no. (if already allocated)

Please tick the appropriate box for your Scheme:

Occupational Pension Scheme (OPS)

Or  SSAS

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.

Approximately eight weeks before the Review Date, we will issue a benefit statement giving information on the fund value.

Please confirm the Review Date required. Day  Month

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

Full Forename(s)

Date of birth

Sex Male  Female

National Insurance Number

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

It is only necessary to link one member of the scheme 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 and submit all requirements at the same time to receive combined allocation.

You can invest in up to six funds.

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

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

Safeguard and PruFund both 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 Protected Fund. If you do choose a PruFund Protected Fund we will invest it in the Prudential Cash Fund.

The guarantee term 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 [www.pru.co.uk](http://www.pru.co.uk)

## Section D – Investment details

Amount of Investment. Please make cheques payable to Prudential and send the cheque with this application form.

£

(The minimum initial investment is £20,000, the minimum additional investment is £10,000)

Is this an application for an increase to an existing Prudential Trustee Investment Plan Series A?

Yes  No

If Yes, please give plan number

Is this investment a new contribution to the Scheme, or is it a re-allocation of an existing investment by the trustees?

new  re-allocation

Chosen funds

Total

% to be invested in each fund

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)

You can choose regular income withdrawals and the payment frequency for the withdrawals – up to 7.5% 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.

**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 No.

## Section F – 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 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
- › HM Revenue & Customs Pension Scheme Tax Reference number for the Scheme is:

### How we use your personal data.

The Prudential Assurance Company Limited, its group companies\* and its business partners will use your information together with other information for administration, credit decisions, customer services, marketing and profiling your purchasing preferences. We will pass your information to them (including our service providers and agents) for these purposes. If you are a joint applicant, we will also pass your information to the other joint applicant/s.

For certain products, we may search the files of credit reference agencies that will record any credit searches on your file. This is to help us make credit decisions about you, to prevent fraud, to check your identity and to prevent money laundering. We may disclose details of how you conduct your account to such agencies. The information will be used by other credit grantors for making credit decisions about you

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 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.

Date

D	D	M	M	Y	Y	Y	Y
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and the people with whom you are financially associated, for fraud prevention, money-laundering prevention and occasionally for tracing debtors. This information may be used to recheck these purposes. We will pass your information to any legal or regulatory body if required to do so.

For certain products, we will need to process sensitive personal data such as health data. It may also be necessary, for the above purposes, to transfer your information to countries that provide a different level of data protection from the UK. In such circumstances, we will put a contract in place to ensure your information is protected. By completing and submitting this form, you consent to us processing your sensitive data and to the processing mentioned above.

You have a right to obtain a copy of your personal information (for which we may charge a fee) and to have any inaccuracies corrected by writing to: The Information Risk & Privacy Team, The Prudential Assurance Company Ltd, 3 Sheldon Square, London, W2 6PR. To make sure we follow your instructions correctly and to improve our service to you through training of our staff, we may monitor or record communications.

### Acting on someone's behalf?

When giving us information about another person, you confirm that they have appointed you to act on their behalf. This includes providing consent to:

- › the processing of their personal and sensitive data
- › receive any data protection notices on their behalf
- › receive marketing information as indicated.

\* Prudential Assurance Company Limited is part of the Prudential group of companies which at the time of printing includes Prudential UK & Europe, the M&G Investments Group, Prudential Corporation Asia, Jackson National Life, and PPM America Inc (indirect wholly owned subsidiary).

Date

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



6. Routing Instructions

Acceptance Letter

Direct to Trustee(s) with copy to you

Both to you

Plan Documents to:

Trustee(s)

You

7. The FSA require us to record whether advice was given. Please confirm if advice was given?

Yes  No

For Prudential use only

Cheque Acknowledgement Number

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Cheque Amount

£

Date Stamp

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Please return this form to:

**FRIS Team**  
**Prudential**  
**Stirling**  
**FK9 4UE**



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

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