PRUDENTIAL

Personal Pension and Income Drawdown with SIPP activation 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

Please use this form to

- Self-Invest under a Pru Flexible Retirement Plan(s) and set up your Self Invested Personal Pension (SIPP) account
- Change your existing SIPP Account details (Investment Authority, Intentions or Manager)
- If you want to change your investments under any existing Prudential FRP plan to include Self-Investment please also complete our Investment Alteration form (FRPF10149).

Please return all pages of this form to Prudential, Stirling, FK9 4UE

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.

Part 1 – Investor's details

Title Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Dr ☐ Other

First name(s)

Last name

Plan Number (for existing plans only)

National Insurance Number

Permanent Residential Address

Postcode

Please include area code.

Daytime telephone number

Home telephone number

Mobile telephone number

E-mail address

Part 2 – Adviser details

The arrangements in parts 2, 3, 4 and 5 replace any previous instructions and will remain in place until you advise us in writing to the contrary.

Adviser's full name

Company name

Address

Postcode

Telephone number

Please include area code.

Fax number

E-mail address

R. I. number

e.g. ABC12345

Please note, if you intend to invest in unit trusts/OEICs through Cofunds via either SIPP option, your Adviser will need to be registered with Cofunds. If your Adviser already has a Cofunds agency number, please insert this here.

If not, your Adviser should register now on http://www.cofunds.co.uk/AboutUs/RegisterIntermediary.aspx. We will be in touch to request the agency code on the establishment of the SIPP.

Prudential is not responsible for the contents or reliability of the linked web sites and does not necessarily support the views expressed within them. The listing of these web sites should not be considered as approval of any kind. We cannot guarantee that these links will work all of the time and we have no control over the availability of the linked pages.

Please give the following information if you intend to use Stocktrade and your Adviser is to trade on the account:

Your Adviser's existing Stocktrade username for online dealing

If your Adviser does not currently have an online dealing account:

Adviser's security question

Please select a security question and then answer below.

Mother's maiden name	☐	Favourite colour	☐
Memorable place	☐	Memorable date	☐

Security answer

Any fees and commission payments to be paid from the Self-Invested Fund require your written consent and will be paid on receipt of an invoice from your Adviser(s).

Part 3 – Investment authority

We require your authority to accept investment instructions from anyone other than yourself. If you wish to authorise this, please complete the following.

Please regard this as my authority for you to act on investment instructions received from:

The Adviser detailed above ☐ Another party ☐

You may select one or both of these options.

Other party's contact name

Address

Postcode

Please include area code.

Telephone number

Fax number

E-mail address

Part 4 – Investment intentions

To help us establish appropriate arrangements, please indicate your investment intentions:

Please note, if you intend to invest in unit trusts/OEICs through Cofunds via either SIPP option, you will be bound by the Cofunds Customer Agreement for SIPPs provided by Suffolk Life. A copy of this is available on request.

i) Do you wish to invest in the FundSIPP option (maximum 20 funds)? Yes ☐ No ☐

If yes, please ignore the rest of part 4. Please ensure that you have completed the investment authority on page 2. Uninvested monies will be held on deposit in your SIPP bank account.

If no, please complete the rest of part 4.

ii) Do you want Prudential to transact unit trust or other investment applications or instructions provided by your Adviser? Yes ☐ No ☐

Please ensure that you have completed the investment authority on page 2.

iii) Do you want to invest in unit trusts/OEICs ? Yes ☐ No ☐

Your Adviser can place investment instructions online via the Pruadviser web portal.

iv) Do you wish to appoint Prudential's preferred execution-only broker for share dealing (Stocktrade)? Yes ☐ No ☐

We will open an account and provide you with details when it has been opened. The terms of the facility will be provided on request.

Please give the following information for online dealing.

Stocktrade will carry out their own electronic checks to verify your identity and address. We may need to contact you or your Adviser for further information where this is unsuccessful.

☐ I wish to have sole trading on this account.

☐ I permit my Adviser as detailed in Part 2 to trade through this account.

☐ I wish both my Adviser as detailed in Part 2 and myself to be able to trade through this account.

Please give the following information for online trading options:

☐ I wish to be able to trade through this account.

☐ I wish to have view only access.

Please give the following information if you have selected either of the above options:

Your email address

Part 4 – Investment intentions – continued

Please select your security question and then answer below

Mother's maiden name ☐ Favourite colour ☐

Memorable place ☐ Memorable date ☐

Security answer

Who should Stocktrade contact with corporate actions?

☐ You ☐ Your Adviser

v) Do you wish to appoint an Investment Manager or other Broker of your choice? Yes ☐ No ☐

Please complete the investment manager details overleaf (this does not apply to Advisers giving investment advice).

vi) Are you considering the purchase of a commercial property?* Yes ☐ No ☐

* If Yes, you will need to complete a property form (FRPM10010).

Part 5 – Investment manager

You should complete this section if you wish to appoint an Investment Manager/Broker of your choice.

We cannot guarantee that we will be able to establish an account with your chosen investment manager or broker. We will notify you if it is necessary to appoint an alternative.

Name of Investment Manager or Broker

Type of Service Discretionary ☐ Advisory ☐ Execution-only ☐

Contact Name

Address

Postcode

Telephone number

Please include area code.

Fax number

E-mail address

Part 6 – Declaration by Investor

Please read this section carefully before you sign and date this form.

For your own benefit and protection, you need to 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.

1. I consent to Prudential and/or Suffolk Life Group:
   - accepting investment instructions from my Adviser, investment manager or other party detailed in this form or in writing at a later date, until I advise you to the contrary in writing.
   - accepting investment instructions after my death from my potential beneficiaries and/or personal representatives.
   - making investment decisions and/or selling assets without my consent according to the Terms and Conditions of my plan(s).
   - providing the Financial Adviser detailed in this Application form, information on all my Prudential Pension Plans. This authority is valid until it is cancelled, in writing, by me, or by submission of future applications.
2. I consent to Prudential and Suffolk Life Group disclosing information regarding my Self-Invested Fund (SIF), including personal data (as defined in section 1 of the Data Protection Act 1998) and information relevant to my SIF:

   (a) to any person anywhere in the world in the proper performance of their obligations under my plan Term and Conditions, including any manager, any company within the Suffolk Life Group and any of their agents, delegates, counterparties and Advisers; or

   (b) to any member of the Suffolk Life Group to whom liabilities under my plan(s) are reinsured in accordance with my plan(s) Terms and Conditions; or

   (c) as required by law or any competent authority; or

   (d) to any person Prudential or Suffolk Life Group reasonably believe to be my agent.

   Prudential or Suffolk Life Group may disclose such information orally, in writing (including by e-mail) or via our secure internet portal.
3. If I have chosen to invest in unit trusts/OEICs through Cofunds via either SIPP option in Part 4, I agree to be bound by the Cofunds Customer Agreement for SIPPs provided by Suffolk Life.
4. I understand where I choose to take income under the Pru Flexible Retirement Plan Income Drawdown option that I am responsible for ensuring there is sufficient cash in addition to the minimum bank account balance to pay the income I require where that income is to be taken, in whole or in part, from the Self Invested Fund.

How we use your personal data

For a copy of your Data Protection Notice please refer to your original application form. If you have any questions about this please write to:
The Information Risk and Privacy Department,
The Prudential Assurance Company Ltd,
3 Sheldon Square, London, W2 6PR.

For certain products we will need to process sensitive personal data such as health data. By signing and returning this form, you consent to us processing your sensitive data.

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).

Signature of Investor

✗

Date

D	D	M	M	Y	Y	Y	Y

Notes

- Charges for your Self-Invested Fund (SIF) will vary depending on your choice of individual investment.
- The minimum initial investment into your SIF is £10,000.
- We will send you further information on how to operate your SIPP, SIF charges and additional terms and conditions.
- If you have Additional Life Cover regular monthly contributions must be made.
- You cannot invest Protected Rights in your SIF.
- Protected Rights relate to funds built up in connection with contracted-out service.

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