



# Application form

TB1

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.

The receiving scheme is a contracted-in money purchase occupational scheme insured with Prudential. The transferring arrangement will usually want to know the HM Revenue & Customs Reference Number for the receiving scheme.

\* If "Other", please state title.

The normal retirement date should be a birthday, normally from 55–75.

HM Revenue & Customs normally only allow pension ages earlier than 55 where the member has a protected pension age.

## About this form

If you have any questions about this form, you can call us on **0808 234 3030** between 8.30am and 6pm Monday to Friday. Calls may be monitored or recorded for quality and security purposes. Please return all 8 pages of this form to **Prudential, Lancing BN15 8GB**

For use with all Premier Money Purchase occupational pension schemes.

- ▶ Please use a separate form for each transfer value. A copy of the terms and conditions and the completed application form are available on request.
- ▶ As you complete the form, please read the notes which are there to help you. **It is a serious offence to give false information. To do so, could lead to prosecution.**
- ▶ Parts A–D should be completed by the receiving scheme trustees and parts E–G by the paying scheme/arrangement.

Please read the key features document as this will provide you with important information regarding the key risks and benefits of the product to help you make a decision.

Please also read your fund guide, available at [www.pru.co.uk/funds/guides](http://www.pru.co.uk/funds/guides), 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.

## Part A – Details of receiving scheme

Name of scheme

Prudential Scheme Reference Number

HMRC Reference Number

## Part B – Member's details

Title Mr  Mrs  Miss  Ms  Dr  Other\*

Surname

Full forename(s)

Date of birth

Sex

Male

Female

National Insurance No.

Normal Retirement Date (this should be a birthday)

**Part C – Investment of contributions**

Please show the percentage investment split you want.  
 Fractions of 1% should not be used.  
 You can invest in up to six funds, but the With-Profits Fund is not available if the member is within three years of Normal Retirement Date (and, if chosen, would be treated as an application to invest in the Cash Fund. The value of the Cash Fund can fluctuate depending on the underlying assets).  
 Please make sure your total equals 100%.

These options do **not** apply to With-Profits investments.

Please tick only one option.

Please complete the table below to confirm the investment fund(s) to be used.

If you want a Lifetime Investment Profile (see below), you can choose the investment linked fund(s) to be used initially by completing the table below, or you can leave the selection to us. There is a set basis, we don't make an individual choice. Your fund guide shows what this will be.

If you don't want a Lifetime Investment Profile, please complete the table below to confirm the investment fund(s) to be used.

Please see your fund guide, available at [www.pru.co.uk/funds/guides](http://www.pru.co.uk/funds/guides) for more information on the funds, the associated risks and the charges and costs.

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

If you want one of the following lifestyle options, please complete the rest of this section (ticking only one box). Otherwise, please go to Part D now.

**Lifetime Investment Profiles**

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

**Part D – Declaration**

We declare that to the best of our knowledge and belief, the information given in this application is true and complete.

We agree to accept the transfer value in respect of the member detailed in Part B.

Signed for and on behalf of the Trustees of the receiving scheme

X

Date 

D	D	M	M	Y	Y	Y	Y
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**Parts E to G of this form should be completed by the Trustees or Administrator of the transferring arrangement, or insurer of "Section 32" or Retirement Annuity Plan.**

## Part E – Details of the transferring arrangement

Member's name

Name of transferring scheme/arrangement

HMRC Reference Number

Name & address of Trustee or Administrator of transferring arrangement

Postcode

### 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
- S32 with Safeguarded (GMP)
- S32 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

If the transfer is coming from an overseas arrangement, the scheme must be a QROPS, and further information may be required.

If the transfer is coming from an Overseas scheme, please tick this box

Is the transfer as a result of a divorce "pension sharing" order?\*

Yes  No

If **Yes**, please show the amount of the transfer value from which no further tax free cash may be taken.

Amount of transfer value

£

Please make the cheque payable to Prudential.

## Part F – Transfer Details

Is any part of the transfer uncrystallised rights that originated in an approved occupational pension scheme where, on or after 27 July 2004 but before 6 April 2006, the member took a tax-free lump sum but delayed taking pension?

Yes  No

If **Yes**, and this does not apply to the whole transfer value, please confirm the value that has already attracted tax-free cash.

£

Is the transfer part of a block transfer from a registered pension scheme?

Yes  No

If **Yes**, please complete rest of this section.

If **No**, go to section G.

Does the investor qualify for Protected Tax-Free Cash for pre 6 April 2006?

Yes  No

Protected Tax-Free Cash amount at 5 April 2006

£

Fund value at 5 April 2006

£

Does the investor qualify for Protected Early Pension Age?

Yes  No

Protected Early Pension Date (must be a birthday)

Does the Transfer Value include the value of any contributions paid, or benefits earned, after 5 April 2006?

Yes  No

Has there been a previous partial transfer out from the scheme?

Yes  No

If **Yes**, value of previous transfer out

£

Are all benefits available from the scheme payable as a Standalone Lump Sum?

Yes  No

If the member has been a member of our scheme for more than 12 months we will ignore any details given in section F on the next page.

## Part G – Declaration

We declare that:

- › to the best of our knowledge and belief, the information on this form is true and complete.
- › the member has agreed in writing to, or requested payment of the transfer value as detailed on this form.
- › the transfer value detailed in this form is:
  - consistent with UK legislation and
  - 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.

### How we use your personal information

We, Prudential UK, 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, the 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 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'll share your personal information within the 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, the 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 has issued a data protection 'adequacy' decision, or to other countries, such as India or the United States of America, where appropriate safeguards have been put in place.

If you want to know more about these safeguards – like our use of the European Commission's Model Clauses which govern the transfer of information outside of the European Economic Area – 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.

Prudential will need to review any earmarking order before we can confirm that we can accept the transfer.

## Part 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, the 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.

### 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 – Declaration – continued

### Part G – Direct marketing

We and M&G plc will still send you information by post about the Prudential UK and the M&G plc 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: [www.pru.co.uk](http://www.pru.co.uk)

Signed

Date

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.

The M&G plc Group 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.

If the transfer value is subject to a Court Order following the member's divorce (an "earmarking order"), a copy of this Order is attached.

Copy attached  tick box

For and on behalf of the Administrator or Trustee of the transferring scheme

## For completion by Financial Adviser

### Commission instructions

Please tick only one of the boxes below to confirm your commission basis. For initial commission, this should be expressed as a percentage of the transfer value.

**Please complete the amount you want to take.**

#### Example:

Initial  Initial  %

Please complete only one option from a) to d) below

- |                                 |                              | % to be taken               |                        |
|---------------------------------|------------------------------|-----------------------------|------------------------|
| a) Initial*                     | <input type="checkbox"/>     | <input type="text"/>        | %                      |
| b) Fund related                 | <input type="checkbox"/>     | <input type="text"/>        | %                      |
|                                 |                              | Initial                     | Fund related           |
| c) Mixed Initial* /Fund related | <input type="checkbox"/>     | <input type="text"/>        | <input type="text"/> % |
| d) Nil Commission               | <input type="checkbox"/>     |                             |                        |
| Was advice given?               | Yes <input type="checkbox"/> | No <input type="checkbox"/> |                        |

Your Prudential Company Representative Number (if applicable)

e.g. 1 2 3 4 5 X

**Your Firm Reference Number** (Registered Individuals) R.I. Number

e.g. A B C 1 2 3 4 5 OR

Registered Individual's forename(s)

AND

Registered Individual's surname

### For Prudential use only

Cheque Acknowledgement Number	<input style="width: 100%; height: 20px;" type="text"/>	Cheque amount	<input style="width: 100%; height: 20px;" type="text"/>
Date stamp	<input style="width: 100%; height: 25px;" type="text"/>	SD agreed by	<input style="width: 100%; height: 25px;" type="text"/>
Advice given			
CR/STFF	Yes <input type="checkbox"/>	No <input type="checkbox"/>	CCC Yes <input type="checkbox"/> No <input type="checkbox"/> SCC <input type="checkbox"/>
M	Yes <input type="checkbox"/>	No <input type="checkbox"/>	EC Yes <input type="checkbox"/> No <input type="checkbox"/> AM <input style="width: 100%; height: 20px;" type="text"/>
			AC Yes <input type="checkbox"/> No <input type="checkbox"/> AOI <input style="width: 100%; height: 20px;" type="text"/>

www.pru.co.uk

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