PRUDENTIAL

Prudential ISA – data capture form

This is not an application form

This data capture form is intended to help you collect all the data you need to make an online ISA application. This is not an application form and should not be returned to Link Financial Investments Limited. For 'Power of Attorney' cases, the online application process is not available.

Any data you collect on this form is your sole responsibility. You need to ensure you obtain all necessary rights and permissions to disclose any of the data in this form to us in the ISA online application.

The Prudential ISA is provided by Link Financial Investments Limited, who is the ISA Plan Manager. Link Financial Investments Limited is responsible for all regulatory and legal aspects of the ISA and the provision of all customer services, including issuing contract notes, statements and other post-sales communications.

1. Client details

Client's personal details

Title	
First name	
Middle name (optional)	
Last name	
Date of birth DD/MM/YYYY	
Gender	
National Insurance number	Please tick here if your client doesn't have a National Insurance number ☐

Please note that the application will not be accepted if you fail to provide a National Insurance number or confirmation your client doesn't hold one, as required under the ISA rules.

Client's address details

Tax residence	
Address 1	
Address 2	
Town/City	
Country	
Postcode	
Country of birth	

Client's contact details

Work telephone number (optional)	
Home telephone number (optional)	
Mobile (optional)	
Email address	

1. Client details – continued

Client's bank details

Name of Bank or Building Society	
Name(s) of the Account Holder(s)	
Sort Code	
Account number	
Roll number (Building Society only)	

2. Money in

Enter the amount(s) to be paid to your client's Prudential ISA in the transfers, and/or single contribution and/or regular contribution sections below.

Transfers	Transfer 1	Transfer 2
1. Ceding company name		
2. Address		
3. Plan number		
4. Estimated transfer amount	£	£
5. ISA type	☐ Cash ☐ Stocks & Shares	☐ Cash ☐ Stocks & Shares
6. Transfer type	☐ Full (go to 9) ☐ Partial (got to 7)	☐ Full (go to 9) ☐ Partial (got to 7)
7. Does the transfer include the value of current tax years subscriptions	☐ Yes ☐ No	☐ Yes ☐ No
8a. Does the transfer include the value of previous tax years subscriptions	☐ Yes (go to 8b) ☐ No (go to 9)	☐ Yes (go to 8b) ☐ No (go to 9)
8b. What value of the previous tax years subscriptions is being transferred	% or £	% or £
9. Notice period	☐ Serve full notice period ☐ Proceed immediately	☐ Serve full notice period ☐ Proceed immediately

Single contribution

Amount	£
Payment method	Visa debit card ☐ Bank transfer ☐ Cheque ☐

2. Money in – continued

Regular monthly contribution

Monthly contribution	£
Payment day *(Please choose a day between 1st and 28th)*	
First payment date *MM/YYYY*	
Bank details	The bank details captured in 1. Client details will be used to set up the direct debit for your client's regular contribution.

3. Adviser charges

Initial adviser charges

The total initial adviser charge to be paid on any transfers and single contribution can't exceed the lesser of 5% of the total transfer(s) and single contribution and £20,000. The maximum total initial adviser charge payable on any regular contribution is 5% of regular contribution or 25% of the first 12 months regular contribution.

Transfers		
	Charge	
	Percentage	Amount
Transfer 1		
Transfer 2		

Single contribution		
Is charge to be added to the client payment?	☐ Yes ☐ No	
Charge		
	Percentage	Amount
Single contribution		

Regular contribution		
No. of payments	Charge	
	Percentage	Amount

Ongoing adviser charge

The ongoing adviser charge can't exceed 1.00% of the ISA value.

Charge		Frequency	Payment day Please choose a day between the 1st and 31st)	First payment date (MM/YYYY)
Percentage	Amount	☐ Monthly ☐ Quarterly ☐ Half-yearly ☐ Yearly		/

4. Investment

Fund Name	Transfers %	Single contribution %	Regular contribution %
Prudential PruFund Risk Managed 1 Fund			
Prudential PruFund Risk Managed 2 Fund			
Prudential PruFund Risk Managed 3 Fund			
Prudential PruFund Risk Managed 4 Fund			
Prudential PruFund Risk Managed 5 Fund			
Prudential PruFund Cautious Fund			
Prudential PruFund Growth Fund			
LF Prudential Risk Managed Active 1 Fund			
LF Prudential Risk Managed Active 2 Fund			
LF Prudential Risk Managed Active 3 Fund			
LF Prudential Risk Managed Active 4 Fund			
LF Prudential Risk Managed Active 5 Fund			
LF Prudential Risk Managed Passive 1 Fund			
LF Prudential Risk Managed Passive 2 Fund			
LF Prudential Risk Managed Passive 3 Fund			
LF Prudential Risk Managed Passive 4 Fund			
LF Prudential Risk Managed Passive 5 Fund			
Total	100%	100%	100%

Notes

1. Where selecting PruFund funds, a maximum of 5 PruFunds can be selected per payment type.
2. The minimum total lump sum investment (transfers and single contribution) is £500 per fund, e.g. £500 could be invested in Prudential PruFund Cautious fund made up of £200 from a single contribution and £300 from a transfer payment.
3. The minimum investment for a monthly regular contribution is £50 per fund.

5. Regular withdrawals

If your client wants to take regular withdrawals then complete this section. Remember your client can't have a regular withdrawal facility if they're paying a regular contribution to their ISA.

Payment frequency	☐ Monthly ☐ Quarterly ☐ Half-yearly ☐ Yearly
Please indicate your preferred payment day of the month: 5th/20th	☐ 5th ☐ 20th
First payment date *MM/YYYY*	

Please enter the regular amount against the fund(s) your client wishes their regular withdrawals to be paid from. The amount(s) should be based on the frequency selected, e.g. if your client wants a regular withdrawal of £100 per month then the amount(s) entered in the table should total £100.00.

The minimum regular withdrawal is £50 per fund.

The maximum yearly limit on regular withdrawals is 7.5% of the ISA value.

Fund details

Asset name	**Withdrawal amount (£)**
Prudential PruFund Risk Managed 1 Fund	
Prudential PruFund Risk Managed 2 Fund	
Prudential PruFund Risk Managed 3 Fund	
Prudential PruFund Risk Managed 4 Fund	
Prudential PruFund Risk Managed 5 Fund	
Prudential PruFund Cautious Fund	
Prudential PruFund Growth Fund	
LF Prudential Risk Managed Active 1 Fund	
LF Prudential Risk Managed Active 2 Fund	
LF Prudential Risk Managed Active 3 Fund	
LF Prudential Risk Managed Active 4 Fund	
LF Prudential Risk Managed Active 5 Fund	
LF Prudential Risk Managed Passive 1 Fund	
LF Prudential Risk Managed Passive 2 Fund	
LF Prudential Risk Managed Passive 3 Fund	
LF Prudential Risk Managed Passive 4 Fund	
LF Prudential Risk Managed Passive 5 Fund	
Total	£

Additional Information

(If there are more than two transfers, details can be captured in the text-box below.)

Adviser Checklist

The final stage of the online submission process will ask you to confirm that you have explained the key features of the Prudential ISA to the client, and that you have carried out Money Laundering checks in accordance with regulations.

For any cases that include transfer(s) please make sure that you download the Transfer Authority Form from the Money in section of the Prudential ISA online service. Print a copy of the form for each transfer being made. This form contains a unique reference for your client's application that Link Financial Investments Limited will use for the application. Please complete the form, have your client sign the form(s) and post to **Link Financial Investments Limited, PO Box 384, Darlington DL1 9RZ** only when you've completed and submitted the application through the Prudential ISA online service.

If you have any queries please phone 0344 335 8936. For your protection telephone calls are recorded.

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