

# Prudential Investment Plan application form

## Some information before you start

### How to fill out this form

Please use black ink and CAPITAL LETTERS or tick  as necessary.

Any corrections must be initialled by the applicant. Please do not use correction fluid as your application will be returned.

### Some information before you start

- If you have any questions when completing this application please speak to your Financial Adviser.
- Before you fill in this application form, it's really important to think about whether this product is right for you.
- If you are applying on, or after, 1 January 2018, before you invest in this product you should read our Key Information Document and relevant Investment Option Document(s). These include important information which may help you make up your mind.
- You should receive these with your application form from that date. If not, please let us know.
- The minimum age of each person to be covered is three months and for a single life they must be aged under 85 (next birthday).
- If a plan is to be on two lives, one person must be aged under 85 (next birthday).
- Please note that when a plan is jointly owned and one owner dies, ownership of the whole plan automatically passes to the surviving owner.
- When joint applicants do not have the same address all future correspondence will be sent to the address of the first named applicant.
- All sections marked as Mandatory field should be completed, otherwise it might delay in the processing of the investment.

### Important Information

The PruFund Protected Funds are currently unavailable to new investments.

### Completing the application form

**Section 1** should be completed by the person(s) to be covered and on whose life/lives the plan depends. (The plan will become a claim on their death.)

**Section 2** and the rest of the form should be completed by the applicant(s), who will become the policy owner(s) and must be aged at least 18.

**Section 9** ensure that the plan owner has answered the tax residency question where applicable and/or provided a completed Tax Residency Self-Certification Declaration form where necessary.

If you require your Plan to be taken out on the life of someone else please complete Section 9E. If the investment is to be made by the trustees of an existing trust, or a new Prudential Loan Trust, please complete Section 9F.

### When you have finished filling in the form

Please send this form and its attachments back to us in the prepaid envelope or to:

**Freepost, Prudential, Lancing BN15 8GB.**

For online applications, please ensure that you complete the Online Submission Declaration form and return it to the above address.

### Adviser notes

Please ensure you complete the Adviser checklist section on the last page.

### Questions about this form?

If you are an Adviser, please call our Adviser Centre on **0808 234 0808**.

Lines are open Monday to Friday between 8.30am and 6pm.

If you are a prospective Policyholder, please speak with your Financial Adviser or call our Policyholder Service Centre on **0800 000 000**. Lines are open Monday to Friday between 8am and 6pm.

Our web addresses are **pruadviser.co.uk** for financial advisers and **pru.co.uk** for policyholders.

## 1 Personal details of the person(s) to be covered

### First (or only) person to be covered

Mr  Mrs  Miss  Ms  Dr  Other

Surname

Other names in full

Permanent residential address (including postcode)

Phone number

Email address

Gender Female  Male

Date of birth 

D	D	M	M	Y	Y	Y	Y
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### Second person to be covered (if applicable)

Mr  Mrs  Miss  Ms  Dr  Other

Surname

Other names in full

Permanent residential address (including postcode)

Phone number

Email address

Gender Female  Male

Date of birth 

D	D	M	M	Y	Y	Y	Y
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The death benefit for joint life plans will only be payable when both persons covered by the plan have died.

## 2 Details of your investment and Set-up Adviser Charge instructions

Mandatory field.

**Please ensure you complete all the boxes in this section.**

Note: Please make sure that Box a minus Box b is equal to the amount in Box c. If there is any discrepancy, we will pay the amount specified in Box b to your adviser and we will invest the net amount of a minus b into your bond.

Mandatory field.

We may accept larger investments in certain circumstances. If appropriate, your Financial Adviser can enquire on your behalf.

In this section, tell us how much you are investing. You can ask us to pay on your behalf any Set-up Adviser Charge that is due to your adviser.

The amount invested in your Plan will be calculated as the payment you send us less any Set-up Adviser Charge, as indicated in section b below.

The Set-up Adviser Charge agreed for arranging this policy may be expressed as either a fixed monetary value or as a percentage of the payment.

In this section, tell us how much you are investing. You can ask us to pay on your behalf any Set-up Adviser Charge that is due to your adviser.

The amount invested in your Plan will be calculated as the payment you send us less any Set-up Adviser Charge, as indicated in section b below.

The Set-up Adviser Charge agreed for arranging this policy may be expressed as either a fixed monetary value or as a percentage of the payment.

a) Total payment. (The amount you are sending to us.)

£

b) Set-up Adviser Charge (if any). Insert either the monetary amount, percentage of Total Payment, or if no payment is to be facilitated by Prudential, tick NIL.

£

or

%

or NIL (please tick)

c) Amount to be invested (your premium). Minimum £10,000 into your Plan after any Set-up adviser charges have been deducted.

£

We have limits which set out the maximum level of Adviser Charging which we will facilitate. For Set Up Adviser Charges this is 5% of the single premium or £20,000, whichever is lower.

The maximum investment (including any top up premiums) is £500,000 per person. Any growth on your Plan is not subject to this limit; it only applies to the amount of your single premium and any top-up premiums.

How to pay – you may pay by cheque or a transfer made from your bank. For bank transfer details, your adviser can get the correct Prudential bank information from the Adviser Contact Centre on 0808 234 0808.

If the cheque is not drawn on your personal account, we may ask you to prove that the money belongs to you.

Your Financial Adviser may be able to send your application to us on a secure website.

d) Please indicate your method of payment:

Cheque

BACS/Telegraphic Transfer

## 3 Where you wish to invest your money

Mandatory field.

### Important Information

Access to the Prudential With-Profits Optimum Return and Optimum Bonus Funds is no longer available to new customers investing in Prudential Investment Plan (PIP) on or after 11/09/2017.

If you are in any doubt about this product please speak to your Financial Adviser.

### Important Information

The PruFund Protected Funds are currently unavailable to new investments.

### 3 Where you wish to invest your money – continued

#### 3.1 My fund choice

Please make your fund selections below.

Minimum investment in each fund is £500. You can invest in up to 10 funds at any time. If you choose any of the Distribution Income Funds, or any PruFund Fund, then each fund choice will count as 2 fund choices as the Prudential Distribution Cash Fund or relevant PruFund Holding Account will be automatically added to your selection. You cannot invest directly into the Prudential Distribution Cash Fund or the PruFund Holding Accounts. Only one PruFund Protected Fund is allowed per plan. For more information on the funds available refer to the Prudential Investment Plan Fund Guide which is available from your Financial Adviser or visit [pru.co.uk/funds/guides/](http://pru.co.uk/funds/guides/)

Please complete the percentage to be invested in each fund and ensure that the total adds up to 100%.

Fund names	%
	%
	%
	%
	%
	%
	%
	%
	%
	%
	%
	%
	%
<b>Total</b>	<b>100%</b>

## 4 Instructions for Ongoing Adviser Charges

Ongoing Adviser Charges will be treated as a withdrawal for tax purposes. If Ongoing Adviser Charges are selected, this will impact the level of regular withdrawals that can be taken. Similarly, any regular withdrawals you have selected will impact on the level of Ongoing Adviser Charges that can be paid from your Plan.

You may choose to use this plan to cover the cost of financial advice provided for ongoing advice relating to this plan.

If your Plan is to be written in a trust, it is the responsibility of all the Trustees to agree the Ongoing Adviser Charges. If you are using a Probate Trust, Gift Trust or Discounted Gift Trust then Trustees must use the "Adviser Charging Instruction Form", to agree Ongoing Adviser Charges.

### 4.1 Do you intend to use this plan to cover the ongoing cost of advice provided?

Yes please complete the rest of this section  No go to Section 5

### 4.2 Adviser Charges for ongoing advice

Select ONE option only.

Please indicate how you would like the Adviser Charges agreed for ongoing advice to be made.

% p.a. of your total premium invested

or

% p.a. of your Plan value

or

£  a fixed monetary amount each year

We have limits which set out the maximum level of Adviser Charging which we will facilitate. For Ongoing Adviser Charges this is 1% of the fund value.

### 4.3 Frequency of Ongoing Adviser Charges payments

Select ONE option only. Ongoing advice charges to be deducted once every:

Every month  Every three months  Every six months  Every twelve months

Date you wish Ongoing Adviser Charges to start (this must be at least 30 days after the start of your Plan)

D	D	M	M	Y	Y	Y	Y
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If no date is provided, your Ongoing adviser charges will start at the first available frequency indicated, e.g. if you select "Every 3 months" then this is when the charge will begin 3 months after your plan has started.

If a date is provided within 30 days of the start date of your plan (the plan will start when all our requirements have been met), the first Ongoing adviser charge will be made 30 days after your plan has started and then at the frequency indicated.

If you have selected to have Ongoing Adviser Charges paid to your adviser from this plan, and are investing in a PruFund Protected Fund and at least one other fund, you can choose to exclude your PruFund Protected Fund from these charges.

Do you wish to exclude your PruFund Protected Fund investment from Ongoing Adviser Charges? Yes  No

(If you select NO, all Ongoing Adviser Charges will be taken proportionately from across all your funds and your Guaranteed Fund Value within your PruFund Protected Fund will reduce proportionately.)

## 5 Taking a regular withdrawal

### The amount

#### 5.1 How much do you want to withdraw?

If this Plan is being set up as a Discounted Gift Trust please do not complete this section.

The following withdrawal limits apply:

- Minimum payment is £50 (except under the Regular Bonus as Income or Natural Income options).
- When regular withdrawals start or change, the amount requested during any 12 month period cannot exceed the greater of 7.5% of the full value of your Plan or 7.5% of the total amount you paid in, except where you opt to receive Natural Income on your Distribution Income Funds.
- Please note that if you select Ongoing Adviser Charges in Section 4, these will contribute towards your 7.5% withdrawals limit.
- Withdrawals are taken equally from all the policies in the plan. Withdrawals will be taken from your funds proportionally unless you provide alternative instructions by completing Section 5.3.
- If you take a regular withdrawal from a PruFund Protected Fund, the amount guaranteed will be proportionally adjusted for any withdrawals you have made.

I/We wish to receive:

- or  each year
- or  % each year of my/our amount invested
- or  % each year of the value of my/our plan
- or  Natural Income (Distribution Income Funds only)
- or  Natural Income capped at 5% of total investment\* (Distribution Income Funds only)

If Natural Income is capped at 5%, you cannot select Ongoing Adviser Charges.

### Frequency of payments

#### 5.2 I/We would like to receive payments: (please tick one of the options only)

- Every month       Every three months       Every four months\*\*
- Every six months       Every twelve months\*\*

Date you wish to start taking regular withdrawals (this must be at least 30 days after the start of your Plan and after the next distribution date).

D	D	M	M	Y	Y	Y	Y
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If no date is provided, your withdrawals will start at the first available frequency indicated, e.g. if you select "Every 3 months" then this is when the withdrawals will begin 3 months after your Plan has started.

\* Total investment is the total amount of capital that you have invested, not the value of your Plan.

\*\* Not available to Distribution Income Funds investors taking Natural Income.

Only complete this section if you wish to take a regular withdrawal. If you **do not** wish to take regular withdrawals go to Section 6. Any withdrawal taken will reduce the value of your Plan. If withdrawals are more than any overall growth achieved the value of your Prudential Investment Plan will reduce below the level of original capital invested.

Regular withdrawal payments will usually reach your account within five working days of the date you have chosen.

## 5 Taking a regular withdrawal – continued

Only complete if you wish to specify from which funds the regular withdrawals are taken

### 5.3 Enter the name(s) of the fund(s) you would like to withdraw from

Fund name:	
Fund name:	
Fund name:	
Fund name:	

### Your account details

#### 5.4 Please fill in the details of the account you would like us to pay withdrawals into

Name of your bank or building society

Account name

Sort Code

 -  - 

Roll Number (Building Society)

Account Number

Address

  
  
 Postcode

## 6 Optional features

### 6.1 Programmed switching facility

Note: You should only complete this section if you require Programmed Switching. Minimum investment in the nominated fund is £10,000.

The “nominated fund” is CASH. If you wish to choose a different “nominated fund” state the required fund in the box below.

I/We wish to apply Programmed Switching to the investment  Yes

Insert percentage or fraction of units to be switched each month from the “nominated fund” or enter cash amount to be switched.

 % or 1/  of the original units allocated should be switched each month over  months

Fixed cash sum of  of the original units allocated should be switched each month over  months

The Programmed Switching facility must operate for between 3 and 24 months from the start of the plan.

Regular withdrawal amounts will be deducted proportionally from all your chosen funds unless otherwise specified. If you wish the amount to be taken from selected funds please specify the name of the fund(s). For investors in the Distribution Income Funds taking Natural Income, this option is not available.

You can choose either the Programmed Switching facility or the Automatic Rebalancing facility but not both.

You cannot choose Distribution Cash Fund, Property Funds or PruFund Funds.

## 6 Optional features – continued

Please enter the names of the funds you would like to receive the switched amount every month and the percentage for each. Please make sure they add up to 100%.

Fund names	% of switched fund
	%
	%
	%
	%
<b>Total percentage</b>	<b>100%</b>

### 6.2 Automatic Rebalancing facility

**Note:** Complete this section if you wish to automatically rebalance your investment.

Automatic Rebalancing is only available on unit-linked funds (excludes Distribution Cash Fund and PruFund Funds).

I/We wish to automatically rebalance the investment to the original investment allocations at the end of each plan year.  Yes

## 7 Return of Premium Death Benefit

Tick here if you wish to select the Return of Premium Death Benefit option. Please see the Return of Premium Death Benefit option leaflet for full details.  Yes

## 8 About your investment (all applicants)

### Details of the applicant

In the revised Joint Money Laundering Steering Group guidance, this product has been categorised as “increased risk”. We are therefore required to gather additional information about the customer. Please answer all the questions below. Where there are joint applicants, please give details of both.

Mandatory field.

If Prudential discover this to be incorrect, we may cancel your plan at any time. If we do, we will return your initial investment less any withdrawals and any Investor Reward that has been paid.

Trustees do not need to fill this in.

	First applicant	Second applicant (if applicable)
8.1 Occupation/ Nature of business	<input type="text"/> Trustees should just put “Trustee”.	<input type="text"/>
8.2 Annual Income	<input type="checkbox"/> 0 – £14,999 <input type="checkbox"/> £15,000 – £29,999 <input type="checkbox"/> £30,000 – £59,999 <input type="checkbox"/> £60,000 – £99,999 <input type="checkbox"/> £100,000 – £149,999 <input type="checkbox"/> £150,000 and over	<input type="checkbox"/> 0 – £14,999 <input type="checkbox"/> £15,000 – £29,999 <input type="checkbox"/> £30,000 – £59,999 <input type="checkbox"/> £60,000 – £99,999 <input type="checkbox"/> £100,000 – £149,999 <input type="checkbox"/> £150,000 and over
8.3 Where will the funds for this investment come from?	<input type="text"/> For example, a UK bank account.	<input type="text"/>
8.4 Where will the funds for this investment come from?	<input type="text"/> For example, saved from salary, inheritance, property sale, divorce settlement.	<input type="text"/>



### Part A

This Application should be read and signed by the person(s) who will own the plan.

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.

For applications on, or after, 1 January 2018:

I confirm that I have read the Key Information Document and relevant Investment Option Document(s) for this product.

You must be aged 18 or over to be the owner of the plan.

**Please make cheques payable to: The Prudential Assurance Company Limited.**

All bank/building society "counter" cheques must include reference to the name of the account from which the funds have been withdrawn. For example, "The Prudential Assurance Company Ltd – Re: Your name".

An incorrectly completed cheque may require us to return your application which could affect the initial purchase price of your investment.

#### 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, 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 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, 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.

## 9 Declaration – continued

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.

### 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, 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 – Direct marketing

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

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.

M&G plc means any affiliates of Prudential UK (including, Prudential International Assurance plc, Prudential 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.

### Adviser Charging

I authorise Prudential to act upon my instructions regarding the facilitation of Adviser Charges (the "Adviser Charge Instruction") whether specified here now or elsewhere at any time in future. I also understand that Prudential shall not be required to carry out such instructions (including any permitted by my adviser firm) where they conflict with any applicable law or regulation and/or where they are inconsistent with Prudential's Adviser Charge administration capability.

I understand that where there is a difference between the Adviser Charge Instruction and the Adviser Charges agreed with my adviser firm, Prudential will only facilitate payment in accordance with my Adviser Charge Instruction.

I confirm that the Adviser Charge specified in my Adviser Charge Instruction is inclusive of any VAT at the prevailing rate from time to time.

I understand that if the level of VAT applicable within the Adviser Charge changes (including where previously VAT free Adviser Charges become subject to VAT) Prudential will only alter my Adviser Charge following a new Adviser Charge Instruction or instruction from my adviser firm which sets out the new level of charges to be deducted.

I understand that, with the exception of changes in the level of VAT, the Adviser Charge may not be increased without my explicit authority.

I agree that the Adviser Charge may be reduced or stopped by Prudential or my adviser firm without my explicit authority.

I agree that where my adviser firm arranges for the services I have agreed with them to be provided by another adviser firm, I authorise Prudential to amend my Adviser Charge Instructions to pay the Adviser Charges at the existing agreed level to the new adviser firm, except where they conflict with any applicable law, regulation and/or HMRC practice and/or where they are inconsistent with Prudential's Adviser Charge administration capability.

I confirm that I have discussed with my financial adviser the tax implications of my investment being net of any Set-up Adviser Charges, and also the tax implications of having my Ongoing Adviser Charge deducted from the contract. I understand that deduction of any Ongoing Adviser Charge will be treated as withdrawal from the Bond.

A copy of the Prudential Investment Plan terms and conditions and the completed application form are available on request.

## 9 Declaration – continued

### Trusts

Note: If you are applying under parts 9 B, C or D and wish to make a gift into trust (with the trust coming into existence at the moment the policy is issued) a suitable trust request form needs to be completed by the applicant(s) and attached to the application form. If you are making a gift into a Probate Trust, then you should apply as a single applicant under parts 9 B, C or E. Standard forms are available from Prudential or your Financial Adviser. Trustees of an existing trust or a new Prudential Loan Trust should apply under Part 9F.

You must also complete and enclose the Tax Residency Self-Certification Declaration Form in respect of the trust in each of the above cases.

If the policy is to be held in trust from the moment of issue, the tax residency question in parts 9 B, C or D in respect of the individual applicant(s) does not need to be answered and the Tax Residency Self-Certification Form should be completed in respect of the trust only.

Please complete only one of Part B to Part F as appropriate:

Part B – Single applicant (owner) on own life

Part C – Single applicant (owner) on own life and another

Part D – Joint applicants (owners) on own lives

Part E – Single/Joint applicant(s) (owner(s)) on single/joint life of the person(s) to be covered

– UK company/organisation as applicant (owner) on single/joint life of the person(s) to be covered

Part F – Applications by trustees of existing trusts and new Prudential Loan Trusts.

### Part B – Single applicant (owner) on own life

I make the application for a policy(ies) of life assurance on my life and request that the policy(ies) be issued to me and any amount payable under the policy(ies) be paid to me or my executors or administrators.

Are you tax resident in, or do you complete tax returns in, any country other than the UK?

Yes  No

If yes, please ALSO complete the Tax Residency Self-Certification Declaration Form

Signature

Date

D	D	M	M	Y	Y	Y	Y
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## 9 Declaration – continued

### Part C – Single applicant (owner) on own life and another

I make the application for a policy(ies) of life assurance on the two persons to be covered and request that the policy(ies) be issued to me and any amounts payable under the policy(ies) be paid to me or my executors or administrators.

Are you tax resident in, or do you complete tax returns in, any country other than the UK?

Yes  No

If yes, please ALSO complete the Tax Residency Self-Certification Declaration Form

Signature

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

### Part D – Joint applicants (owners) on own lives

We make the application for a policy(ies) of life assurance on our two lives to be assured and request that the policy(ies) be issued to us and any amounts payable under the policy(ies) be paid to us, the survivor of us, or the executors or administrators of the last to die.

Are you tax resident in, or do you complete tax returns in, any country other than the UK?

Yes  No

If yes, please ALSO complete the Tax Residency Self-Certification Declaration Form

Signature

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Second applicant

Are you tax resident in, or do you complete tax returns in, any country other than the UK?

Yes  No

If yes, please ALSO complete the Tax Residency Self-Certification Declaration Form

Signature

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

## 9 Declaration – continued

### Part E – Life of another

#### (i) Single/Joint applicant(s) (owner(s)) on single/joint life of the person(s) to be covered

I/We make the application for a policy(ies) of life assurance on the life/lives of the person(s) to be covered and request that the policy(ies) be issued to me/us and any amounts payable under the policy(ies):

- be paid to me or my executors or administrators, or (for joint applicants)
- be paid to us, the survivor of us, or the executors or administrators of the last to die.

Please note that if you are using a Probate Trust the bond cannot be set up as joint owners.

Date of birth first applicant

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Date of birth second applicant

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

#### First applicant

Title Mr  Mrs  Miss  Ms  Dr  Other

Surname

Other names in full

Address

<input type="text"/>
<input type="text"/>
<input type="text"/>

Postcode

Are you tax resident in, or do you complete tax returns in, any country other than the UK?

Yes  No

If yes, please ALSO complete the Tax Residency Self-Certification Declaration Form

Signature first applicant

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

#### Second applicant (if applicable)

Title Mr  Mrs  Miss  Ms  Dr  Other

Surname

Other names in full

Address

<input type="text"/>
<input type="text"/>
<input type="text"/>

Postcode

Are you tax resident in, or do you complete tax returns in, any country other than the UK?

Yes  No

If yes, please ALSO complete the Tax Residency Self-Certification Declaration Form

Signature second applicant

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

## 9 Declaration – continued

### Part E – Life of another – continued

#### (ii) UK company/organisation as applicant (owner) on single/joint life of the person(s) to be covered

We are authorised to make an application on behalf of the company/organisation detailed below for a policy(ies) on the life/lives of the person(s) to be covered and request that the policy(ies) be issued to the company/organisation and any amount payable under the policy(ies) be paid to the company/organisation.

Full name of company/organisation

UK registered address

  

Postcode

Please also complete the Tax Residency Self-Certification Declaration Form in respect of the company/organisation.

#### First company representative

Title Mr  Mrs  Miss  Ms  Dr  Other

Print full name

Position in company/organisation

Signature

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

#### Second company representative

Title Mr  Mrs  Miss  Ms  Dr  Other

Print full name

Position in company/organisation

Signature

Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Where the plan is to be owned by a UK registered company, the company's name and address is required and either two directors or a director and company secretary or company director and witness must sign, stating their position (occupation) and names in full. The taxation of a plan held by a company is not the same as that for an individual(s). Particular advice from the company's advisers must be taken before making such an investment.

In Company cases a Non-Personal Corporate Entity Verification form is required and also Specimen Signatures of List of Signatories.

If, during the course of this business relationship, there is any change in the identity of the individuals or information falling within this section, or to the corporate structure, you must notify Prudential of the change, the date on which it occurred and within 14 days from when you became aware of the change. This does not apply if you are listed on a regulated market.

## 9 Declaration – continued

### Part F – Applications by trustees of existing trusts and new Prudential Loan Trusts

We **will not** accept applications from trusts or trustees (or any similar arrangements/persons) not resident in the UK, the Channel Islands or the Isle of Man.

All trustees of an existing trust must sign and complete this section.

If more than two trustees, please complete details of additional trustees on a separate sheet and attach with this application.

If there is any change in the parties to the trusts e.g. any trustees or beneficiaries (including class of beneficiaries) change or a letter of wishes is received, the trustees must notify Prudential of the changes, the date it became effective and within 14 days from the date any of the trustees became aware of the change.

I/We make this application for a policy(ies) of life assurance on the person(s) to be covered. I/We request that the policy(ies) be issued to me/us as trustees, resident in the UK, Channel Islands or Isle of Man, of a UK, Channel Islands or Isle of Man resident Trust, and any amounts payable under the policy(ies) be paid to me/us or other trustees for the time being of the trust. The trustees confirm that they have sufficient powers of investment for the purpose of effecting the proposed policy(ies) as an asset of the Trust Fund.

Trust Deed Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

A **certified copy** (a copy signed/dated by an Adviser stating “this is a true copy of the original” will be acceptable) **of the trust must be provided** where the plan is to form part of an Existing Trust.

Please also complete the **Tax Residency Self-Certification Declaration Form**

Date of birth First Trustee

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Date of birth Second Trustee

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

#### First Trustee

Title Mr  Mrs  Miss  Ms  Dr  Other

Surname

Other names in full

Address

<input type="text"/>
<input type="text"/>

Postcode

Signature

Date signed

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

#### Second Trustee (if applicable)

Title Mr  Mrs  Miss  Ms  Dr  Other

Surname

Other names in full

Address

<input type="text"/>
<input type="text"/>

Postcode

Signature

Date signed

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

If your application is part of **Prudential's Loan Trust**, please give the date of birth of the Donor.

Date of birth of Donor

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---



## 10 – Confirmation of verification of identity – Private individual

Introduction by a Financial Conduct Authority regulated firm – See explanatory notes below

### Details of individual

Surname

Other names in full

Current address

  

Postcode

Previous address if individual has changed address in the last three months

  

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

### Confirmation

I/We confirm that:

- a) the information in section 1 above was obtained by me/us in relation to the customer;
- b) the evidence I/we have obtained to verify the identity of the customer: (tick one only)  
meets the standard evidence set out within the guidance for the UK Financial Sector issued by the Joint Money Laundering Steering Group   
or  
exceeds the standard evidence (written details of the further verification evidence taken are attached to this confirmation).

I/We confirm that:

- Based on the knowledge I/we have gained of the customer we have: (tick one only)  
No reason to believe that the tax residency self-certification requires any follow up action   
or  
reason to believe that the tax residency self-certification requires follow up action

If follow up action is required, please indicate why

Name

Position

Signature

Date signed

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

### Details of introducing firm (or sole trader)

Full name of regulated firm (or sole trader):

Financial Conduct Authority Reference Number:

### Explanatory notes

- A separate confirmation must be completed for each customer (e.g. joint holders, trustee cases and joint life cases). Where a third party is involved, e.g. a payer of contributions who is different from the customer, the identity of that person must also be verified, and a confirmation provided.
- This form cannot be used to verify the identity of any customer that falls into one of the following categories:
  - those who are exempt from verification as being an existing customer of the introducing firm
  - those whose identity has not been verified by virtue of the application of a permitted exemption under the Money Laundering Regulations; or
  - those whose identity has been verified using the source of funds as evidence.
- This confirmation must carry an original signature, or an electronic equivalent.

**Please ensure you complete the Adviser Checklist section on the last page.**

Mandatory field.

## 10 – Confirmation of verification of identity – Private individual – continued

Introduction by a Financial Conduct Authority regulated firm – See explanatory notes below

### Details of individual – for joint holders, trustee cases and joint life cases

Surname

Other names in full

Current address

  

Postcode

Previous address if individual has changed address in the last three months

  

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

### Confirmation

I/We confirm that:

- a) the information in section 1 above was obtained by me/us in relation to the customer;
- b) the evidence I/we have obtained to verify the identity of the customer: (tick one only)  
meets the standard evidence set out within the guidance for the UK Financial Sector issued by the Joint Money Laundering Steering Group   
or  
exceeds the standard evidence (written details of the further verification evidence taken are attached to this confirmation).

I/We confirm that:

- Based on the knowledge I/we have gained of the customer we have: (tick one only)  
No reason to believe that the tax residency self-certification requires any follow up action   
or  
reason to believe that the tax residency self-certification requires follow up action

If follow up action is required, please indicate why

Name

Position

Signature

Date signed

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

### Details of introducing firm (or sole trader)

Full name of regulated firm (or sole trader):

Financial Conduct Authority Reference Number:

### Explanatory notes

1. A separate confirmation must be completed for each customer (e.g. joint holders, trustee cases and joint life cases). Where a third party is involved, e.g. a payer of contributions who is different from the customer, the identity of that person must also be verified, and a confirmation provided.
2. This form cannot be used to verify the identity of any customer that falls into one of the following categories:
  - those who are exempt from verification as being an existing customer of the introducing firm
  - those whose identity has not been verified by virtue of the application of a permitted exemption under the Money Laundering Regulations; or
  - those whose identity has been verified using the source of funds as evidence.
3. This confirmation must carry an original signature, or an electronic equivalent.

**Please ensure you complete the Adviser Checklist section on the last page.**

Mandatory field.

## 11 – Additional Adviser Information

Mandatory field.

If operating as an Appointed Representative, please insert your network's agency number. The payment of Adviser Charges will be to the Adviser firm identified on the form.

I/We confirm that advice was given: Yes

Name of Registered Individual (Adviser Name)

Prudential Agent Number

## Adviser checklist – to be completed by Financial Adviser

### Financial Adviser note

To avoid delays in processing this application, please check you have:

- Confirmed that advice was given
- Completed the details in Sections 2 and 4, covering Investment Details and Adviser Charge Instructions
- Completed the verification of identity form. A separate confirmation must be completed for each customer (e.g. joint holders, trustee cases and joint life cases). Where a third party is involved, e.g. a payer of contributions who is different from the customer, the identity of that person must also be verified, and confirmation provided.
- Ensured that the plan owner(s) has answered the tax residency question where applicable and/or provided a completed Tax Residency Self-Certification Declaration form where necessary.

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