

# Prudential Onshore Portfolio Bond

## Application form

### Questions about this form?

If you're an Adviser, please call our Adviser Centre on **0808 234 2200**. Lines are open Monday to Friday between 8.30am and 6pm.

If you're a Policyholder please speak to your financial adviser or call our Policyholder Service Centre on **0800 000 000**. Lines are open Monday to Friday between 8.30am and 6pm.

Our web addresses are [pruadviser.co.uk](http://pruadviser.co.uk) for financial advisers and [pru.co.uk](http://pru.co.uk) for policyholders.

### Some important information before you start

- This form should only be used for applications for the Prudential Onshore Portfolio Bond issued by Prudential International Assurance plc (Prudential International), UK Branch.
- This product is only available in conjunction with a Platform and in order to apply for this product your chosen Platform provider must have agreed with Prudential International that the Prudential Onshore Portfolio Bond can be administered on your chosen Platform. Please ensure that you read all relevant documentation in relation to your Platform which you will have received from your Platform provider.
- If you have any questions when completing this application please speak to your financial adviser.

### Important Information

- Before you complete this form, it's really important to think about whether this product is right for you.
- If you're applying on, or after, 1 January 2018, before you invest in this product you should read our Key Information Document, relevant Investment Option Document(s) or the Fund Managers own Key Investor Information Document(s) as appropriate. These include important information which may help you make up your mind.
- You can select withdrawals (regular and/or one-off) from your Bond including Adviser Charges

(Ongoing and/or Ad hoc). If you do so then you may be liable to an Income Tax charge and it may affect your entitlement to personal income tax allowances and/or certain tax credits (see the Key Features Document for more details).

- Please note that when a Bond is jointly owned and one owner dies, ownership of the whole Bond automatically passes to the surviving owner(s).
- The minimum age of each Bond owner is 18 years or older and under age 90.
- The minimum age of each person to be covered is three months and for a single life or first death basis they must be under age 90.
- If a Bond is to be on two or more lives, and the death benefit is paid on a last death basis, then at least one person must be under age 90.
- When joint applicants don't have the same address all future correspondence will be sent to the address of the first named applicant.

### Completing the application form

- Please use black ink and write in CAPITAL LETTERS or tick as appropriate. Any corrections must be initialled. Please don't use correction fluid as this will invalidate your application. Please send this completed form and its attachments to **Prudential International Assurance plc, Stirling FK9 4UE**.

### Platform details

Platform Provider  Platform Client Number

Failure to provide Platform Provider and Platform Client Number may delay processing of this application.

### Type of Application

Please tick the appropriate box

- Individual (including At Issue Trusts)** – Please complete Section 1. Where applicable, please also complete Section 5.
- Trust** – Please complete Section 2 and/or 3. Where applicable, please also complete Section 5.
- Corporate Investor** – Please complete Section 4 and Section 5.

All sections marked as Mandatory field should be completed, otherwise it may delay the processing of the investment.

### Adviser notes

Please make sure you complete the Adviser checklist on page 23.

## 1. Individual/Joint Applicants

### First (or only Applicant)

Please use black ink.  
Write in CAPITAL  
LETTERS. Tick  the  
appropriate boxes.

#### At Issue Trust:

Do you intend for the Bond to be issued under Trust (with the Trust coming into existence at the moment the Bond is issued) please tick the appropriate box.

Yes  No

If Yes please submit the Trust Deed and the Tax Residency Self-Certification Declaration Form INV11822 with this application.

Title Mr  Mrs  Miss  Ms  Dr  Other

Surname

Forename

Date of birth

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

Gender

Male

Female

Address

Country

Postcode

Nationality

Daytime phone number

Email address

Occupation/Nature of Business

Annual income

(if retired please state your annual income in retirement)

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

No  Yes

If yes, please ALSO complete the Tax Residency Self-Certification Declaration Form INV11822 and submit with this application.

Are you also a life assured?

No  Yes

If yes, you will not need to complete Section 5 Lives Assured for this person.

You may have up to 10 applicants. If there are more than two applicants please photocopy this page and submit with your application. All applicants must be 18 years or older and under age 90.

## 1. Individual/Joint Applicants – continued

### Further Applicants

Title Mr  Mrs  Miss  Ms  Dr  Other

Surname

Forename

Date of birth

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

Gender

Male

Female

Address

Country

Postcode

Nationality

Daytime phone number

Email address

Occupation/Nature of Business

Annual income

£

(if retired please state your annual income in retirement)

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

No

Yes

If **yes**, please ALSO complete the Tax Residency Self-Certification Declaration Form INV11822 and submit with this application.

Are you also a life assured?

No

Yes

If **yes**, you will not need to complete Section 5 Lives Assured for this person.

You may have up to 10 applicants. If there are more than two applicants please photocopy this page and submit with your application. All applicants must be 18 years or older and under age 90.

## 2. Trust Applicants

We **will not** accept applications from trusts or trustees (or any similar arrangements/ persons) not resident in the UK.

Please submit a copy of the Trust Deed with this application

Name of Trust:

Please provide an approximate valuation for all trust assets as of the date this form is completed:

£

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 Bond is to form part of an Existing Trust.

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

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

Date of birth of Settlor

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

Date of birth of Settlor

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

Please give details of each trustee below. Where a trustee is also a life assured please tick the relevant box.

We will use the address of the First Trustee for all correspondence, unless a Professional Trustee is appointed, in which case, please complete Section 3. If there is a change to individuals in the trusts, for example, any trustees or beneficiaries (including class of beneficiaries) change, or we receive a letter of wishes, the trustees must notify us of the change and when it was made (this must be within 14 days of the change).

### First Trustee

Title Mr  Mrs  Miss  Ms  Dr  Other

Surname

Forename

Date of birth

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

Gender

Male

Female

Address

Country

Postcode

Nationality

Daytime phone number

Email address

Occupation/Nature of Business

Is this trustee also a life assured?

No

Yes

If **yes**, you will not need to complete Section 5 Lives Assured for this person.

Please also complete the Tax Residency Self-Certification Declaration Form INVF11822.

## 2. Trust Applicants – continued

### Second Trustee

Title Mr  Mrs  Miss  Ms  Dr  Other

Surname

Forename

Date of birth

Gender

Male

Female

Address

Country

Postcode

Nationality

Daytime phone number

Email address

Occupation/Nature of Business

Is this trustee also a life assured?

No

Yes

If **yes**, you will not need to complete Section 5 Lives Assured for this person.

### Third Trustee

Title Mr  Mrs  Miss  Ms  Dr  Other

Surname

Forename

Date of birth

Gender

Male

Female

Address

Country

Postcode

Nationality

Daytime phone number

Email address

Occupation/Nature of Business

Is this trustee also a life assured?

No

Yes

If **yes**, you will not need to complete Section 5 Lives Assured for this person.

## 2. Trust Applicants – continued

### Fourth Trustee

Title Mr  Mrs  Miss  Ms  Dr  Other

Surname

Forename

Date of birth

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

Gender

Male

Female

Address

Country

Postcode

Nationality

Daytime phone number

Email address

Occupation/Nature of Business

Is this trustee also a life assured?

No

Yes

If **yes**, you will not need to complete Section 5 Lives Assured for this person.

You may have up to 10 trustees. If there are more than four trustees please photocopy this page and submit with your application.

## 3. Professional Trustees Only

Name of organisation

Name of person for correspondence

Registered address

Country

Postcode

Correspondence address if different to above registered address

Country

Postcode

Daytime phone number

Email address

Please also complete the Tax Residency Self-Certification Declaration Form INVF11822 and submit with this application.

## 4. Corporate Applicants

Company name

Company's Registration Number

Nature of Business

Registered address

Country

Postcode

Name of person(s) signing the Declaration on behalf of the company (must be an authorised signatory)

Name of person for correspondence (if different from above)

Correspondence address if different to above registered address

Country

Postcode

Daytime phone number

Email address

Please provide details of all persons who are to be the Lives Assured in Section 5.

Please also complete the Tax Residency Self-Certification Declaration Form INVF11822 and submit with this application.

Please submit a list of Authorised Signatories with Specimen Signatures with this application.

## 5. Life/Lives Assured

Before completing this section, please refer to the important information on page 1.

For individual/joint and trustee applicants, the section below only needs to be completed where the life/lives assured are different to the applicants or trustees. For corporate applicants, the section below needs to be completed.

If the death benefit is to be paid on a first death basis please tick here

If not ticked, we will assume that the death benefit is to be payable on the death of the last surviving person.

### First (or only Life Assured)

Title Mr  Mrs  Miss  Ms  Dr

Other

Surname

Forename

Date of birth

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

Gender

Male

Female

Relationship to Applicant(s)

### Additional Life Assured

Title Mr  Mrs  Miss  Ms  Dr

Other

Surname

Forename

Date of birth

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

Gender

Male

Female

Relationship to Applicant(s)



## 5. Life/Lives Assured – continued

### Additional Life Assured

Title Mr  Mrs  Miss  Ms  Dr  Other

Surname

Forename

Date of birth

Gender

Male

Female

Relationship to Applicant(s)

### Additional Life Assured

Title Mr  Mrs  Miss  Ms  Dr  Other

Surname

Forename

Date of birth

Gender

Male

Female

Relationship to Applicant(s)

You may have up to 10 Lives Assured – Please photocopy this page if there are additional Lives Assured.

If you have not ticked the death benefit box on page 8 we will assume that the death benefit is to be payable on the death of the last surviving person.

## 6. Policies

Number of policies needed:

(maximum 1,200 with minimum value of £500 per policy at outset)

If you don't select a number of policies we will take your premium divided by £500 (rounded down) as the number of policies in your Bond.

## 7. Details of your payment and Set-up Adviser Charge

In this section, please tell us how much you're investing and if we are to pay any Set-up Adviser Charge to your adviser, on your behalf for arranging this Bond.

If you ask us to pay a Set-up Adviser Charge we will deduct it from your payment and it will not be included in the amount invested.

If the death benefit is to be paid on a first death basis please tick here

If not ticked, we will assume that the death benefit is to be payable on the death of the last surviving person.

A. Your Payment

£  minimum £15,000

The Set-up Adviser Charge may be expressed as either a fixed monetary value or as a percentage of your payment.

B. Set-up Adviser Charge

£  OR  % of your payment OR NIL (please tick)

C. Amount to be invested (your premium) – Please note your premium will be invested in the cash account within the Bond on your chosen platform from where you/your adviser may select alternative assets in accordance with your wishes.

£

If you have asked us above to pay a Set-up Adviser Charge please give details of the financial adviser to whom this charge should be paid.

Financial Adviser Name

Address

Country

Postcode

## 8. Source of funds and origin of wealth

Your payment is being made by: (method and source)

Cheque  Telegraphic Transfer/BACS.  GIA. (Platform General Investment Account)

Please provide details of the account from which the payment has been drawn below:

Name of Bank or Building Society

Sort code

-    -

Account number

Roll number (if applicable)

Account name

SWIFT/BIC (if applicable)

IBAN (if applicable)

We may need additional information (e.g. a certified copy of a bank statement) if payment is being made from an account other than that owned by the Bond Owner or where we cannot verify the name on the account provided.

Mandatory field.

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 Box A minus Box B into your Bond.

### Adviser Charging Limits

We have limits which set out the maximum level of Adviser Charging which we will facilitate. The maximum level for a Set-up Adviser Charge is 5% of the single premium or £20,000 – whichever is lower.

Please note that cheque payments will be banked on receipt. Interest will not be credited to any payments received prior to the receipt of all documentation requirements.

Mandatory field.

## 8. Source of funds and origin of wealth

### Source of Wealth

Please provide details of your source of wealth.

For trustee applications, this should show the source(s) of the settlor's wealth and/or how the value of the assets of the Trust has been derived:

Please tick **all** applicable boxes.

- |                          |                     |                             |                       |                          |                  |
|--------------------------|---------------------|-----------------------------|-----------------------|--------------------------|------------------|
| <input type="checkbox"/> | Savings from income | <input type="checkbox"/>    | Divorce settlement    | <input type="checkbox"/> | Sale of business |
| <input type="checkbox"/> | Inheritance or gift | <input type="checkbox"/>    | Sale of house or land | <input type="checkbox"/> | Retirement fund  |
| <input type="checkbox"/> | Sale of investments | Other (please give details) |                       |                          |                  |

## 9. Regular Withdrawals

If this Bond is to be set up as a Discounted Gift Trust please don't complete this section.

We may need additional information (e.g. a certified copy of a bank statement) if payment is being made to an account where we can't verify the details of the account provided.

- If you take regular withdrawals the minimum payment is £100
- When regular withdrawals start or change, the amount requested during any 12-month period cannot exceed 10% of the premium including additional investments.
- Withdrawals are taken equally from all the policies in the Bond.
- If the total of regular withdrawals, one-off withdrawals taken across all the policies in a Bond, any Ongoing and Ad hoc Adviser Charges, in any policy year, exceeds 5% of the amount you have invested in your Bond, it may create an income tax bill. If you don't use all of this 5% allowance in any policy year, you can carry forward the unused portion. The allowance comes to an end once the total of payments described here equals 100% of the amount you invested. If they total more than the allowance in any policy year, the excess is treated as creating a chargeable event gain. A gain may create an income tax liability in excess of the basic rate and/or may affect any entitlement to personal allowances and certain tax credits. Please speak to your adviser.

Please note that **all payments** (including partial and full withdrawals) will be made to the account specified unless otherwise told. We need to pay **all** the legal owners (except in the case of a Bond held in Trust), so any specified account must be in the names of all the legal owners. For cases with multiple trustees, payments must be made to an account in the name of at least one of the trustees, as a legal owner, with the authority of the other trustees.

If you don't specify an account for payments to be made to, or want to change this account, or request payment to a different account in the future, we may need additional identification/ verification documentation before any payments are made. This will also apply if any changes have been made to the account ownership.

I/We want to receive £  each year OR  % of the premium (each year)

Please select the frequency of withdrawals by ticking the appropriate box. Minimum amount of each withdrawal is £100.

- |                          |                   |                          |                  |                          |                    |
|--------------------------|-------------------|--------------------------|------------------|--------------------------|--------------------|
| <input type="checkbox"/> | Monthly           | <input type="checkbox"/> | Every two months | <input type="checkbox"/> | Every three months |
| <input type="checkbox"/> | Every four months | <input type="checkbox"/> | Every six months | <input type="checkbox"/> | Every 12 months    |

Month and year you want to start taking regular withdrawals.

M	M	Y	Y	Y	Y
---	---	---	---	---	---

The first regular withdrawal must be at least 15 days after the start of the Bond.

Payments will be made on the 15th day of each month (or the next working day where the 15th is not a working day) and will reach your bank account within five working days.

If no date is provided, your withdrawals will start at the first available frequency indicated, e.g. if you select "Every three months" then the withdrawals will begin three months after your Bond has been issued.

Do you want payments to be made to the account from which your original payment has been drawn (please note this account must be a UK bank account)?

 Yes

OR

If you would like payment(s) to be made to a different UK bank account in your name, please complete the details on the next page.

We may need additional information (e.g. a certified copy of a bank statement) if payment is being made to an account where we can't verify the details of the account provided.

Please note that **all payments** (including partial and full withdrawals) will be made to the account specified unless otherwise told. We need to pay **all** the legal owners (except in the case of a Bond held in Trust), so any specified account must be in the names of all the legal owners. For cases with multiple trustees, payments must be made to an account in the name of at least one of the trustees, as a legal owner, with the authority of the other trustees.

If you don't specify an account for payments to be made to, or want to change this account, or request payment to a different account in the future, we may need additional identification/ verification documentation before any payments are made. This will also apply if any changes have been made to the account ownership.

## 10. Designated Account for Regular Withdrawals/Payments Out

Name of your Bank or Building Society

Account held in Name

Bank/Building society Address

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

Account number

       

Sort code

  -   -  

## 11. Valuations

We will issue valuation statements to the main policyholder on an annual basis following the Bond anniversary. In the case of an application by an individual(s) we will issue valuation statements to the first applicant on an annual basis.

If you would like valuation statements to also be sent to another recipient, please give details below of the recipient's Name and Address.

Prudential International will continue to send valuation statements also to this recipient until you advise us otherwise.

Surname

Forename

Address

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

## 12. Declaration

### Part A

Mandatory field.

This application should be read and signed by the person(s) who will own the Bond. For your own benefit and protection, you should read carefully the documentation provided (including any information provided to you by your Platform) 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. You must be aged 18 or older and under age 90 to be the owner of the Bond.

For applications on, or after, 1 January 2018:

I confirm that I have read the Key Information Document, relevant Investment Option Document(s) or the Fund Managers own Key Investor Information Document(s) as appropriate for this product.

Please make cheques payable to: **Prudential International Assurance plc, UK Branch.**

All bank/building society “counter” cheques must include reference to the name of the account from which the funds have been withdrawn. For example, “Prudential International Assurance plc, UK Branch. – Re: Your name”. An incorrectly completed cheque may require us to return your application which could affect the initial purchase price of your investment.

#### Your Chosen Platform

The Prudential Onshore Portfolio Bond is only available in conjunction with a Platform. In order to apply for this product your chosen Platform provider must have agreed with Prudential International that the Prudential Onshore Portfolio Bond can be administered on your chosen Platform. By choosing to invest in this Bond you are agreeing to administer your Bond on the Platform and confirm that you have agreed to the terms and conditions of that Platform.

#### Investment Notice

You and/or your Financial Adviser will select assets to which your Bond will be linked. You must ensure that you are fully aware of the details of these assets to ensure that you are aware of the risks involved.

In addition to the risks inherent in the underlying investment, assets may be subject to additional risks from exchange matters, withholding taxes or political and economic issues. Some assets can be relatively illiquid which can, at points in time, negatively affect investment and redemption values.

Some assets may be subject to very high risk – including the possible loss of your total investment – and may be subject to extremely wide and sudden fluctuations in value either upward or downward.

Some assets and investments have the ability to utilise many different and varying investment strategies and techniques, some of which may carry theoretically unlimited risk of loss. Some assets and investments may use gearing or similar mechanisms, which may amplify upward and downward investment movement. This can provide additional relative potential for gain but may similarly provide an additional relative potential for loss including immediate and substantial loss. Some assets may levy fees or other charges and costs on redemption or there may be restrictions regarding redemption. Some assets may not be subject to any level of investor protection or regulation. Equally, some assets may not be subject to any form of UK FCA recognition, or authorisation or operate from UK FCA

designated territories. Assets may or may not be authorised or regulated in non-UK jurisdictions and the nature of any such authorisation or regulation will be determined totally by the nature of the regulation prevailing in the relevant jurisdiction.

I confirm that I have read the prospectuses and associated documents of all assets associated with this Bond application and am aware of the nature of the investment and risks involved.

#### Personal Portfolio Bonds (“Highly Personalised Bonds”)

Prudential International does not provide Bonds to UK residents that would be classified as Personal Portfolio Bonds under the relevant UK legislation. Such Bonds are subject to a recurring notional and “arbitrary” annual chargeable gain, which can give rise to a substantial recurring annual personal UK tax liability. If a selected asset is of a nature or becomes of a nature (as assets make-up and/or legislation can change) whereby your Bond is or becomes so classified, that asset must be terminated immediately and you alone will be responsible for any tax charge.

#### How we use your personal information

We, Prudential International Assurance Plc (PIA), take the privacy and protection of your personal information seriously. PIA will operate as the data controller in respect of the data we collect about you.

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.

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.

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 or non-electronic means including by post, where you have consented us to do so. Please see Part G for further details.

#### 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 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.

#### 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, we will only process such data as provided by your consent.

#### 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). We shall respond as soon as reasonably possible and at the latest within 30 calendar days from the date of your request;
- 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 you have given for the processing of your personal information (including consents to automated decision making);
- 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 PIA. PIA has also appointed a Data Protection Officer who can be reached at the details shown in the '**Contact Us**' section of this document.

We may monitor or record calls or any other communication we have with you. This will 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 data privacy 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 provided in the '**Contact Us**' section before sending us anything.

#### Part G – Direct marketing

From time to time, we, M&G plc, our Business Partners and our Marketing Partners may like to contact you by electronic or non-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 UK as they operate their own customer databases.

And if you change your mind, and/or you would like to opt-out of receiving direct marketing, it's easy to let us know. Just contact us at the details noted in the '**Contact Us**' section.



### 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**

- \* M&G plc means any connected companies of PIA (including [The Prudential Assurance Company Limited, Prudential Distribution Limited, Prudential Life Time Mortgages Limited, Prudential Pensions Limited, and Prudential Financial Planning Limited, 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 International to act upon my instructions regarding the facilitation of Adviser Charges (the “Adviser Charge Instruction”) whether specified here now or at any time in future. I agree that with respect to Ongoing and/or Ad hoc Adviser Charges my “Adviser Charge Instruction” will be given to my Platform who will pass on these instructions to Prudential International. Prudential International will then act on such instructions as if they had come directly from me. I understand that Prudential International 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 International’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 International 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 due to my adviser 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 International 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 International or my Platform 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 International 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 International’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 and/or any Ad hoc Adviser Charges deducted from the contract. I understand that deduction of any Ongoing Adviser Charge and/or any Ad hoc Adviser Charge will be treated as withdrawal from the Bond.

I understand this means that should the combined totals of my withdrawals (be they Adviser Charge deductions, regular and/or one-off withdrawals across all policies in the Bond) in any Bond year exceed the 5% tax deferred allowance (see the Key Features Document for details), then I may be liable to an Income Tax Charge. It may also affect my entitlement to personal income tax allowances and/or certain tax credits.

### Trusts

Note: If you are applying under Section 12 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. Standard forms are available from Prudential International or your Financial Adviser. Trustees of an existing trust or a new Prudential Loan Trust should apply under Section 12 F.

The information given on this application form must be full and accurate. Please sign and date below to confirm the details provided (and any additional information you have supplied) are accurate.



## 12. Declaration – continued

### Part A – continued

#### UK Residency

I confirm that I make this application as a UK resident for tax purposes or on behalf of a Trust that is UK resident for tax purposes or on behalf of a Company that is UK resident (as applicable) and I undertake to inform Prudential International if at any time during the life of the Bond I, the Trust or the Company (as applicable) can no longer be considered UK resident for tax purposes.

The information given on this application form must be full and accurate. Please sign and date below to confirm the details provided (and any additional information you have supplied) are accurate and that you understand and agree to the statements made in this declaration.

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

Part B – Single applicant

Part C – Joint applicants

Part D – Corporate applicant(s)

Part E – Applicants by trustees of existing trusts including Prudential Loan Trusts

### Part B – Single applicant

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

Name of applicant

Signature

Date signed

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

## 12. Declaration – continued

### Part C – Joint applicants

We make the application for a policy(ies) of life assurance on the persons to be covered. We request that the policy(ies) be issued to us and any amount payable under the policy(ies) is payable to us, the survivor of us or the executors or administrators of the last to die.

Name of first applicant

Signature

Date signed

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

Name of second applicant

Signature

Date signed

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

## 12. Declaration – continued

### Part D – Corporate Applicant

Where the Bond is to be owned by a UK registered company, the company's name and address is needed and either two directors or a director and company secretary must sign, stating their position (occupation) and names in full. The taxation of a Bond 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 needed and also List of Signatories and Specimen Signatures.

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're listed on a regulated market.

#### 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

#### First authorised signatory

##### Name

##### Position in company/organisation

##### Signature

##### Date signed

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

#### Second authorised signatory

##### Name

##### Position in company/organisation

##### Signature

##### Date signed

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

## 12. Declaration – continued

### Part E – Applications by trustees of existing trusts including Prudential Loan Trusts

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

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, 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.

#### Name of first trustee/authorised signatory if Corporate Trustee

Name

Signature

Date signed

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

#### Name of second trustee/authorised signatory if Corporate Trustee

Name

Signature

Date signed

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

#### Name of third trustee/authorised signatory if Corporate Trustee

Name

Signature

Date signed

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

#### Name of fourth trustee/authorised signatory if Corporate Trustee

Name

Signature

Date signed

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



## 13. Confirmation of verification of Identity – Private Individual – continued

### 2. Confirmation – continued

Name

Position

Signature

Date signed

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

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

Full name of regulated firm (or sole trader)

Financial Conduct Authority Reference Number:

## 14. Confirmation of verification of Identity – Corporate and other Non-Personal Entity

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

### Explanatory notes

1. “Relevant company registry” includes other registers, such as those maintained by charity commissions (or equivalent) or chambers of commerce.
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 prior to the introduction of the requirement for such verification;
  - 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 on page 25.

Full name of customer

Type of entity (corporate, trust etc.,)

Location of business (full operating address)

<input type="text"/>
Postcode

Registered office in country of incorporation

<input type="text"/>
Postcode

Registered number, if any (or appropriate)

Relevant company registry or regulated market listing authority

Name of Director (or equivalent)

Date of birth (if known)

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

Name of Director (or equivalent)

Date of birth (if known)

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

Name of Principal Beneficial Owner (25% or more or equivalent)

Date of birth (if known)

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

Name of Principal Beneficial Owner (25% or more or equivalent)

Date of birth (if known)

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

## 14. Confirmation of verification of Identity – Corporate and other Non-Personal Entity – continued

### 2. Confirmation

I confirm that:

- a) the information in Section 14 above was obtained by me in relation to the customer;
- b) the evidence I have obtained to verify the identity of the customer; Please tick **one**
- 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).
- c) based on the knowledge I have gained of the customer I/we have: Please tick **one**
- no reason to believe that the tax residency self-certification needs any follow-up action
  - reason to believe that the tax residency self-certification needs follow-up action

If follow-up action is needed, please indicate why?

Name

Position

Signature

Date signed

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



## 14. Confirmation of verification of Identity – Corporate and other Non-Personal Entity – continued

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

Full name of regulated firm (or sole trader)

Financial Conduct Authority Reference Number

## 15. Additional Adviser Information

The Financial Conduct Authority needs us to record whether you gave advice.  
Was advice given?

Yes  No

Name of Registered Individual (Adviser Name)

Prudential Adviser Number

Prudential Adviser Number is a mandatory field

Email address of Registered Individual (Adviser)

Telephone number of Registered Individual (Adviser)

## Adviser checklist – to be completed by financial adviser

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

- Confirmed whether advice was given.
- Completed the details in Section 7, covering details of your payment and Set-up Adviser Charge.
- Completed the details in Sections 13 – 14 as applicable covering confirmation of verification of identity.
- Completed the verification of identity form(s). 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. (Pages 19 and 20)

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.

Blank area for notes.

Blank area for notes.

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