

Application form

Notes to help you

This form is to be used for applications for the Prudential International Investment Portfolio (Life Assured or Capital Redemption Option), issued by Prudential International Assurance plc ("Prudential International").

If you want to appoint one or more Discretionary Asset Managers, please ensure you complete a Discretionary Asset Manager nomination form (DPBF10048) for each one.

This form is divided into sections. **Notes** can be found at the end of each section to help you complete this form.

Before completing this form, you must read the Privacy Notice in section 13 page 17. The Privacy Notice explains how we use your personal data and why we are collecting it.

The personal information you provide is being collected for the purpose of entering into a contract and to discharge our legal responsibilities. Failure to provide the requested information will result in the application not being processed.

If you have any questions while completing this application please speak to your Financial Adviser.

Important Information

You can select withdrawals (regular and/or one-off), Adviser Charges (Ongoing and/or Ad-hoc) and/or Ongoing Investment Adviser Charges. If you do so, and their combined total in any bond year exceeds the 5% tax deferred allowance (see the Key Features document for details), then you may be liable to an Income Tax Charge. It may also affect your entitlement to personal income tax allowances and/or certain tax credits.


Please use black ink and write in CAPITAL LETTERS or tick as appropriate. Any corrections must be initialled – don't use correction fluid as this will invalidate your application.

Please send this completed form to **Prudential International, Stirling FK9 4UE**.

A checklist can be found on the next page to help make sure that all relevant sections have been completed. Failure to provide all relevant information will result in a delay in this application being processed.

Before you fill in this application form it's really important to think about whether this product is right for you.

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.

 These signs will direct you to the next relevant sections you need to complete.

Please select

Bond structure: (tick one box only)

Life Assured Option

Capital Redemption Option

Discretionary Asset Manager


Are you appointing a Discretionary Asset Manager?

Yes No


Ownership details

Please indicate type of investment and only select one of the Sections 1, 2 or 3:


Personal investment (including Gift Trust)

 Go to Section 1

Trust/Trustee investment

 Go to Section 2

Company investment

 Go to Section 3

Applicant checklist

Section 1 – Tax Residency questions have been answered in full.

Section 2 & 3 – Please also complete the Tax Residency Self-Certification Form (INVF11804).

Section 1, 2 or 3 – has been completed.

Section 5 – has been fully completed, including any Set-up Adviser Charge required.

Section 6 – has been fully completed. **Parts B and C** are required under Anti-Money Laundering Requirements

Section 7: Part B must have a charging option selected; and if you are making such a nomination, Part D must be signed by the person providing future investment instructions

Section 8 – Sedol numbers have been quoted where required. If selecting one or more Discretionary Asset Managers, please ensure you complete a Discretionary Asset Manager nomination form (DPBF10048) for each.

Section 9 – has been completed if regular withdrawals are required.

Section 10 – has been completed if Ongoing Adviser Charges are required.

Section 11 – has been fully completed for the appropriate life/lives assured. **Not applicable for the Capital Redemption option.**

Section 12 – Beneficial ownership details have been provided.

Section 13 – has been read, fully completed and signed, including Declaration of residence outside Ireland.

Section 1 – Personal investment

How many applicants are applying for the bond?¹

One applicant (Complete Part A only below)

Two applicants (Complete Parts A & B below)

Part A – First (or only) Applicant

Surname

Full forenames

Mr Mrs Miss Ms Other

Address (your habitual residence)

 Postcode

Correspondence address

 Postcode

Telephone number

Email address

Part B – Second Applicant

Surname

Full forenames

Mr Mrs Miss Ms Other

Address (your habitual residence)

 Postcode

Correspondence address

 Postcode

Telephone number

Email address

Notes

¹ Please note we can't accept an application from anyone who is under 18 years old. If there are two applicants, we will issue the bond in their names as joint owners (in other words, as joint legal owners of the bond).

Section 1 – Personal investment – continued

Part A – First (or only) Applicant

Date of birth

Gender Male Female

Nationality

Please list the country or countries in which you are resident for tax purposes together with any Tax Identification Number(s) (TIN), if relevant.²

| Country/Countries of tax residence | TIN |
|------------------------------------|----------------------|
| <input type="text"/> | <input type="text"/> |
| <input type="text"/> | <input type="text"/> |
| <input type="text"/> | <input type="text"/> |

If no TIN has been supplied, tick this box if this is because the country of tax residence does not issue TINs to its residents

If there is another reason why a TIN is not available, please state here:

If you are a US citizen or hold a US passport or green card, you will also be considered tax resident in the US even if you live outside the US.

Profession (If retired also state previous profession.)

If retired how long have you been retired

Job title including industry

Do you have any policies with Prudential International? Yes No

Policy number(s)

Part B – Second Applicant

Date of birth

Gender Male Female

Nationality

Please list the country or countries in which you are resident for tax purposes together with any Tax Identification Number(s) (TIN), if relevant.²

| Country/Countries of tax residence | TIN |
|------------------------------------|----------------------|
| <input type="text"/> | <input type="text"/> |
| <input type="text"/> | <input type="text"/> |
| <input type="text"/> | <input type="text"/> |

If no TIN has been supplied, tick this box if this is because the country of tax residence does not issue TINs to its residents

If there is another reason why a TIN is not available, please state here:

If you are a US citizen or hold a US passport or green card, you will also be considered tax resident in the US even if you live outside the US.

Profession (If retired also state previous profession.)

If retired how long have you been retired

Job title including industry

Do you have any policies with Prudential International? Yes No

Policy number(s)

Notes

² If you don't know your country of tax residence, please ask your financial adviser.



Go to Section 4

Section 2 – Trust/Trustee investment

Notes to help you: For Trust/Trustee investments, Prudential International will take the country of tax residence of the Trust as the residency of the Trust for any obligatory tax reporting/paying purposes.

2. Questions about the Trust

1. What is the name of the Trust?

2. What is the country of tax residence of the Trust?

Please ALSO complete the Tax Residency Self-Certification Form – INVF11804 and submit with this application

3. What name do you want us to use for the Trust correspondence?

4. What address do you want us to use for the Trust correspondence

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

5. Do any of the Trustees already have any policies with Prudential International? Yes No

This includes any policy a Trustee may own personally as well as any policy a Trustee may own in a Trustee capacity.

Please include policy numbers below.

6. Do the Trustees' investment powers permit the proposed investment into a bond?* Yes No

7. Please provide full details of all beneficial owners in Section 12³

* We can't accept the application if the Trustees' investment powers do not permit investment into a bond.

2(a). Trustee details – If a company is acting as a Trustee, please complete the Trust Company section below.

1st Trustee:

Surname

Full forenames

Mr Mrs Miss Ms Other

Address (your habitual residence)

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

2nd Trustee:⁴

Surname

Full forenames

Mr Mrs Miss Ms Other

Address (your habitual residence)

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

Notes

³ A beneficial owner of a Trust includes the Settlor, the Trustees, The Protector (if any), and all Beneficiaries.

Where a Beneficiary of the trust is a corporate entity, the individual shareholders with a shareholding or controlling interest of $\geq 25\%$ (held directly or indirectly through another legal entity) or persons who exercises control over the management of the company, are considered to be the beneficiaries of the Trust in respect of the corporate entity's interest in the Trust. For more details on beneficial owners of trusts, please refer to our AML Guide.

⁴ If there are additional Trustees, please photocopy Section 2, complete and send in with this application.

Section 2 – Trustee investment – continued

2(b). Trustee Company – complete this section if a company is acting as a Trustee of the Trust.

Full name of company

Company number

Country of incorporation

Reference number (if a designated person)

Registered office address

Postcode

Telephone number

Fax number

E-mail address

The Trust Company Officers – this information must be provided in full.⁵

Surname

Full forename(s)

Mr Mrs Miss Ms Other

Position in the company

Surname

Full forename(s)

Mr Mrs Miss Ms Other

Position in the company

Notes

- ⁵ If any other officers in the Trust Company are likely to be dealing with policy transactions in future, please give details (including signatures) on a separate sheet. An Authorised Signatory list dated within the last 12 months must be provided, the list should be on Trust Company Letterhead and certified. Authorised signatories whose details are provided in this application, or who may in future deal with policy transactions, must provide documentation verifying their identity and address.



Go to Section 4

Section 3 – Company investment

Notes to help you: For company investments, Prudential International will take the country of tax residence as the company's country of residence for any obligatory tax reporting/paying purposes.

Full name of company

Company number

Registered office address

 Postcode

Country of incorporation

Country of tax residence

Please ALSO complete the Tax Residency Self-Certification Form – INVF11804 and submit with this application

Address for correspondence

 Postcode

Number of registered directors

Reference number (if a designated body)

Do any of the beneficial owners of the Company⁶ have an interest of 25% or more of the Company's assets?

Yes No

If Yes, please provide full details in section 12.

Telephone number

Fax number

E-mail address

Does the company already have any policies with Prudential International?

Yes No

Policy number(s)

Authorised Signatories for correspondence – this information must be provided in full.⁷

Surname

Surname

Full forenames

Full forenames

Mr Mrs Miss Ms Other

Mr Mrs Miss Ms Other

Position in the company

Position in the company

Notes

⁶ A beneficial owner of a Company is an individual with a shareholding or controlling interest of $\geq 25\%$ (held directly or indirectly through another legal entity) or an individual who exercises control over the management of the Company.

⁷ The persons named must have the authority of their company to make this application and must provide certified photo identification and address verification to enable us to comply with our legal and regulatory obligations. If additional officers of the company are likely to be dealing with policy transactions in the future, please attach an Authorised Signatory list on Company Letterhead with this application (full name, position in company and specimen signature). The Authorised Signatory List must be dated within the last 12 months. Any additional officer dealing with policy transactions will also be required to provide certified photo identification and address verification.

Normally for any policy transactions we will require instructions to be signed by two Authorised Signatories of the company. If the company wants us to operate on a different basis, please notify us accordingly.



Go to Section 4

Section 4 – Policies required⁸

Number of policies required: (Standard 20, maximum 100)

Notes

⁸ You can choose to have your bond issued as one policy or as a group of policies (up to a maximum of 100). We will issue the bond as 20 policies unless you tell us here how many you wish to have.

Section 5 – Details of your investment and Set-up Adviser Charge

In this section, tell us how much you are 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 this charge we will deduct it from your payment and it will not be included in the amount used to buy units in your selected funds. If you want us to pay an Ongoing Adviser Charge, please complete Section 10.

The Set-up Adviser Charge may be expressed as either a fixed monetary value or as a percentage of your payment. **Monetary amounts must all be in the same currency.**

A. Your payment

(The total amount you are sending to us)

B. Set-up Adviser Charge (if any)

(The amount or percentage you would like us to pay your adviser on your behalf. **If you do not want us to pay any Set-up Adviser Charge, please enter "Zero".**)

C. Amount to be invested (your premium)

(minimum £50,000 or currency equivalent)

Currency of your payment

UK £

Euro €

US \$

Other

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 subject to minimum premium rules.

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. Payments made by you will be returned to source account if there is an undue delay in providing us with all documentation requirements. To avoid this, all documentation required should be submitted at the same time as the application is made, or promptly thereafter.

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.

Section 6 – Payment Details, Source of Funds and Origin of Wealth

Part A⁹

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

Own
account

- Telegraphic transfer (to be remitted by your bank)
- Cheque drawn on your bank account (payable to Prudential International)

If your payment is being made by telegraphic transfer please provide details of the account from which the payment has been drawn below. Please note that the source of funds must be an account held in the name of the applicant(s).

If monies are coming from a jointly held bank account then we need certified photo identification and address verification for all account holders, even if they are not an applicant.

Name of bank or building society

Account name

Bank Address

Postcode

Account number

Sort code

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IBAN

SWIFT-BIC

Part B – Source(s) of your payment

The following information in Parts B and C is required under Anti-Money Laundering Regulations to safeguard against unlawful investment. We may need to request additional information such as proof of the origin of wealth and the source of your funds to comply with our legal and regulatory obligations.

Bank or building society deposit

Other (please specify)

Part C – Origin of wealth

Borrowings, investment income, sale of property, sale of other investments (please specify)

Other (please specify)

Territory your payment was made from:

UK

EU Country

Other (please specify)

Notes

⁹ If multiple sources of payment please photocopy and complete Sections 6A and 6B as necessary.

Section 7 – Investment Details

Part A – Selected currency or currencies¹⁰

You can choose to use different currencies for different aspects of your bond. Please complete 1 or 2 below to indicate how the bond is to be set up. **Currency conversion does not take place until the contract issues. There is no guarantee of the conversion rate.**

1. One currency for all aspects¹¹

UK £ US \$ Euro € Other

OR

2. Different currencies – all boxes must be completed¹²

(a) Base Fund Currency – The currency we use for valuing the bond

UK £ US \$ Euro € Other

(c) Death Benefit Currency – For payment of death benefit (Life/Lives assured option only)

UK £ US \$ Euro € Other

(b) Cash-In Benefit Currency – For payment of any cash-in benefits, including regular withdrawals you may take

UK £ US \$ Euro € Other

(d) Maturity Benefit Currency – For payment of maturity benefit (Capital redemption option only)

UK £ US \$ Euro € Other

Part B – Your selected charging option

Please choose **ONE** option only.

Establishment Charge Option Ongoing Charge Option Initial Charge Option

Part C

Are you nominating an Investment Adviser? Yes No If "Yes" please complete the Investment Adviser Appointment form PIIPF10005.

Please note that you cannot nominate an Investment Adviser for assets managed by a Discretionary Asset Manager.

Please provide Name of the Investment Adviser you are nominating:

Part D

If you wish to nominate someone other than an Investment Adviser or Discretionary Asset Manager to provide investment instructions on your behalf please complete the details below.

Name

Telephone number

Address

Fax number

E-mail address

Postcode

Signature of the person named in Part D who will provide future investment instructions

Date

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

Part E – Valuation Statements

Please identify who is to receive the valuation statements

The Policyholder(s) The Investment Adviser The Financial Adviser

Other (please specify)

Notes

10 If this section is left blank we will assume UK £ for all aspects. Once chosen the Base Fund Currency cannot be changed.

12 Complete if you wish to select different currencies for different aspects of your bond.

11 Complete if you wish to choose one currency to apply for all aspects of your bond.

Section 8 – Investment instructions¹³

Please complete the table below in block capitals.

The information requested in each column must be provided in full, otherwise the issue of your bond and investment into your chosen funds may be delayed. Before completing please refer to the Declaration on page 16.

If you are appointing one or more Discretionary Asset Managers, please complete a Discretionary Asset Manager nomination form (DPBF10048) for each one.

| Fund manager/ Discretionary Asset Manager name | Full name of fund and/or Discretionary Asset Manager currency | SEDOL number/ ISIN** (we cannot invest in your chosen funds without this information | Type of units required** Accumulation/Income Distribution/Income Reinvest) | % of the total amount to be invested* |
|--|--|---|--|--|
| | Deposit Account (Sterling Cash Deposit Fund) ¹⁴ | B2Q8X24 | | % |
| | | | | % |
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| | | | | % |
| | | | | 100% |

* The amount to be invested is as stated in Section 5. Percentages should be to two decimal places.

** Not required for investments with a Discretionary Asset Manager.

Please note that Prudential International will aim to meet investment deadlines on a best endeavours basis, but if there are any outstanding items which prevent the issue of your bond this will impact on the purchase of your investment. Prudential International will not be responsible for any loss should such a delay occur.

If you have chosen to appoint one or more Discretionary Asset Managers for part or all of your bond, Prudential International will forward the invested amount to the Discretionary Asset Manager(s) on receipt of their signed acceptance of your investment, as noted in the Discretionary Asset Manager nomination form, and on issue of your bond.

Notes

13 Please give details of the funds you wish to choose. If you are a UK investor and you wish to invest in cash-based assets, UK regulations may restrict you from investing in currencies other than sterling. Where appropriate, please show whether you require units of the Offshore or Onshore fund and the type of units required. If you wish to invest in more than 15 funds please photocopy this page, complete the photocopied page and send it with this application.

14 You have the option to invest in the Deposit Account. We use this Account to meet your withdrawal requests, product charges and any Ongoing Adviser Charges. If the Deposit Account cannot meet withdrawals, charges or adviser charges, an additional charge will be incurred. **IMPORTANT – PLEASE NOTE:** It is important for your Deposit Account to have a positive balance, particularly if you are going to write the bond under a Loan Trust or a Discounted Gift Trust.

Section 9 – Regular withdrawals

Please read the Key Features Document when completing this section. **15,16**

Minimum payment £500 per transaction (or currency equivalent)

1. I/We wish to receive every year (please specify a monetary amount and currency)
2. Payable at these intervals: Every month Every three months Every six months Every 12 months

Regular withdrawal amounts can only be taken from a Deposit Account or assets managed by a Discretionary Asset Manager. If you have appointed one or more Discretionary Asset Managers, please detail below where you want your regular withdrawal payments to be funded from. If you do not give us this information we may not be able to pay your regular withdrawals.

| Discretionary Asset Manager name | Deposit Account/Discretionary Asset Manager currency | Amount |
|----------------------------------|--|--------|
| | Deposit Account | |
| | | |
| | | |
| | | |
| Total | | |

Please note that the total amount in the table must equal the yearly amount entered in 1. above.

3. Date you wish regular payments to start **17** (must be at least 30 days after the start of your bond)

Payment method – please select one of 4, 5 and 6 (overleaf)

4. For payments by Direct Credit in £ Sterling to a UK based bank account only – please ensure that your bank can accept this method of payment.

| | |
|----------------------------------|--|
| Name of bank or building society | Account name |
| <input type="text"/> | <input type="text"/> |
| Bank Address | Account number <input type="text"/> |
| <input type="text"/> | Sort code <input type="text"/> - <input type="text"/> - <input type="text"/> |
| <input type="text"/> | IBAN <input type="text"/> |
| Postcode <input type="text"/> | SWIFT-BIC <input type="text"/> |

5. For payments by cheque – only available where Direct Credit is not available and the payment does not exceed £5,000, US \$5,000 or Euro €5,000

| | |
|----------------------|-------------------------------|
| Name of payee(s) | Address payment to be sent to |
| <input type="text"/> | <input type="text"/> |
| | <input type="text"/> |
| | Postcode <input type="text"/> |

Notes

15 If you ask us to pay any Ongoing Adviser Charges, or Ongoing Investment Adviser Charges to your financial adviser (in Section 10) or investment adviser (using the Investment Adviser Appointment Form PIIPF10005) from your bond, these will be met by partially cashing in all of the policies the bond.

We will only continue to pay regular withdrawals and any Ongoing Adviser/Investment Adviser Charges while sufficient unit value remains in the bond. All regular withdrawals will be taken equally from all policies in the bond.

16 We may need to request additional information such as personal identification and address verification to comply with our legal and regulatory obligations.

17 Normally we make the first payment at the end of the period you choose, for example, monthly payments start a month after the bond is set up. Only enter a date if you want your withdrawals to start later. Regular payments will usually reach your account within five working days of the date you have chosen.

Section 9 – Regular withdrawals – continued

6. For payments by Telegraphic Transfer

Prudential International will make a charge for every payment by Telegraphic Transfer. In addition, banks including the recipient bank may levy further charges.

Name of bank or building society

Account name

Bank Address

Postcode

Account number

Sort code

 – –

IBAN

SWIFT-BIC

For all payments by Direct Credit or Telegraphic Transfer, Prudential International requires documentation to verify that the account is held in the name(s) of the policyholder(s). This can be provided by submitting a certified copy of a bank statement for the account to which funds are to be sent.

We will require certified personal identification and address verification for any joint account holder in order to comply with all legal and regulatory obligations.

NOTE: Payments cannot be paid until full Bank Account verification is received.

Section 10 – Ongoing Adviser Charges¹⁸

Complete this section if you would like your adviser to be paid from your bond.

NOTE: Ongoing Adviser Charge instructions can only be given by the owner(s) of the bond. Where the owner(s) of the bond will be one or more trustees who are not also the applicants and Ongoing Adviser Charges are required the authorised signatories of the trust should complete the Adviser Charge Instruction form and submit with this application.

Please enter the annual amount including VAT.

Ongoing Adviser Charges will be taken from a Deposit Account or assets managed by a Discretionary Asset Manager, as appropriate.

Option 1

(monetary amount), each year. This will be deducted in the Cash In Benefit currency.

OR

Option 2

% of amount invested, each year

OR

Option 3

% of the total bond value, each year

The first deduction will be made at the end of the first calendar quarter after the start of the bond.¹⁹

Adviser Charging Limits

We have limits which set out the maximum level of Adviser Charging which we will facilitate.

These are:


- Set-up Adviser Charge: 5% of the single premium or £20,000 – whichever is lower.
- Ongoing Adviser Charge: 1% of the fund value

Notes

18 If you are appointing an Investment Adviser you can specify Ongoing Investment Adviser Charges using the Investment Adviser Appointment form PIIPF10005.

19 If you want the charge to start applying at a time other than at the end of the first calendar quarter after the bond is set up, please give us your instruction at that time.

Section 11 – Life/Lives Assured


 If you have selected the Capital Redemption option you do not need to complete this section. **Please go to Section 12.**

The bond can be used to cover the lives of up to 10 people²⁰

1. Please show which applicant(s) from Section 1 is/are a Life/Lives Assured: (please tick)

First (or only) Second

If more than one applicant is to be a Life/Lives Assured, please state relationship between applicants:

 If only the applicant(s) from Section 1 is/are a Life/Lives Assured, **please go to Section 12.**

2. Life/Lives Assured who are not Applicants.

If anyone is to be a Life Assured in addition to, or instead of the Applicants, please complete the rest of this Section. Please note that naming a person as a Life Assured does not of itself give that person any financial right or interest in the bond.

Life/Lives Assured (if applicable)

Surname

Forenames

Mr Mrs Miss Ms Other

Sex Male Female

Date of birth

Relationship to Applicant²¹

Surname

Forenames

Mr Mrs Miss Ms Other

Sex Male Female

Date of birth

Relationship to Applicant²¹

Notes

²⁰ If necessary please photocopy this page, complete and send in with this application. Each Life Assured must be aged three months or over. Where there is more than one Life Assured, at least one of them must be under 90.

²¹ The relationship between and/or to the Applicants should be completed by reference to the following:

Personal investment – You can include your family as named lives assured. Please indicate the relationship of each life assured to you, for example, “spouse”, “son” or “daughter”.

Trust/Trustee investments – Please indicate the status of each life assured in relation to the Trust, for example “Beneficiary”, “Settlor” or “Trustee”.

Company investments – Please indicate the status of each life assured in relation to the company, for example “Director”, “Chairman”, “Employee” or “Shareholder”.

Section 12 – Beneficial Owner details^{22, 23, 24}

Please provide information for all beneficial owners of the Applicant.

Failure to provide all requirements will result in a delay in your application being processed.

Please note, we do not require information on beneficial owners where the Applicant is (a) a regulated or tax-approved pension or retirement benefit scheme; or (b) a regulated credit or financial institution, listed company, or public body.

First or only beneficial owner

Surname

Full forenames

Mr Mrs Miss Ms Other

Address

Postcode

Date of birth

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

Holding % (whole % only)

 %

Capacity

(Settlor, Trustee, Protector, Beneficiary, Shareholder, Other Controlling Person)

Second beneficial owner (if applicable)

Surname

Full forenames

Mr Mrs Miss Ms Other

Address (your habitual residence)

Postcode

Date of birth

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

Holding % (whole % only)

 %

Capacity

(Settlor, Trustee, Protector, Beneficiary, Shareholder, Other Controlling Person)

Notes

22 Prudential International Assurance plc needs this information so that we can meet our legal and regulatory obligations. We are required to identify and verify those persons or entities that are beneficial owners of an Applicant. A beneficial owner is a person or entity that has an interest in the bond or that will receive a benefit arising from payout of the bond. Please refer to the "AML Requirements – Guide to New Business, Top-ups and Payments Out" (IPBB10303) for full AML requirements for all customer types.

23 If there are more than two beneficial owners please photocopy this page, complete and return with the application.

24 Please provide details as follows:

Corporate Entities and LLPs

- Each individual who has an interest in the entity of 25% or more, and/or who exercises control over the management of the entity;
- if no such parties are identified, the beneficial owners are the individuals holding the position of senior management of the entity (at least 2 must be verified).

Partnerships

- any partner with an interest of 25% or more in the capital or profits of the partnership, or a party that exercises control over the management of the partnership, or on whose behalf transactions are conducted.

Non-corporate trusts

- Each individual named beneficiary of the trust entitled to an interest in trust assets

- Settlers of the trust – individuals who have acted as Settlor in the creation of the trust
- Protector of the Trust
- any individual who has control over the trust e.g. the trustees. If details of the trustees are already given in this Application, they do not need to be provided again here.

Corporate trusts (including QROPS providers unless the QROPS is regulated)

- Each individual named beneficiary of the trust entitled to an interest in the trust assets
- Where the beneficiary is not an individual, i.e. it is a corporate body, any individual who controls that corporate body and/or has an interest in it of 25% or more will be the beneficial owner(s) with regard to the interest entitlement of that corporate body in the trust
- Settlers of the trust – individuals who have acted as Settlor in the creation of the trust
- Where the Settlor is not an individual, i.e. it is a corporate body, any individual who controls that corporate body and/or has an interest in it of 25% or more will be the beneficial owner(s) with regard to the interest entitlement of that corporate body in the trust
- Protector of the trust
- any individual who has control over the trust e.g. the trustees. If details of the trustees are already given in this Application they do not need to be provided again here.

Section 13 – Declaration

1. Confirmation by each applicant

This Application should be read and the Declaration signed by the person(s) who is/are to own the bond.

You should read our Key Information Document, relevant Investment Option Document(s) or the Fund Managers own Key Investor Information Document(s) as appropriate, as these will provide you with important information regarding the key risks and benefits of the product(s) to help you make a decision.

You can get this from your Financial Adviser.

For your own benefit and protection before signing this form, you need to read carefully the documentation provided. You need to also read carefully any further documentation provided to you in the future. If there is anything you do not understand, please ask your Financial Adviser for further information.

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

I confirm that:

- a) the information given in this Application Form and any schedule or other document relating to this application, including information given in section 12 regarding beneficial owner(s), is true and complete to the best of my knowledge and belief.
- b) I have not concealed or omitted any material facts (and to the best of my knowledge and belief no other person involved in this application has concealed or omitted any material facts).
- c) I will notify you of any material facts when I become aware of before the contract starts.
- d) I have read the warning regarding material facts in this section and I understand that failure to disclose a material fact may affect entitlement to benefits under the contract and could result in the contract being void.
- e) I understand that any additional premiums made into the bond will be invested on the same basis as the initial premiums unless otherwise stated and agreed with Prudential International.
- f) I understand that a sole applicant, or, if there is more than one applicant, any one of the applicants, has the right to cancel the contract within 30 days of receiving the cancellation notice.
- g) I acknowledge and accept that for personal investments, Prudential International will take my declared country of tax residence as my residence for any obligatory tax reporting/paying purposes.
- h) I acknowledge and accept that for Trust/Trustee investments, Prudential International will take the country of tax residence of the Trust as the residency of the Trust for tax reporting/paying purposes.
- i) I acknowledge and accept that for company investments, Prudential International will take the country of tax residence as the company's country of residence for tax reporting/paying purposes.

- j) I will notify Prudential International in writing if I change the country in which I reside or if the rights conferred by the contract come to be held subject to a Trust or are transferred to another individual or body, and I will provide Prudential International with the relevant documentation necessary to evidence the change.
- k) as a consequence of my investment and where applicable, I authorise and direct Prudential International to pay on my behalf all taxes, levies and other similar payments payable to the taxation and revenue authorities of my declared country of tax residence from the funds from which the bond derives its value, which I acknowledge will result in a corresponding reduction in the value of the bond. I confirm that I have sought taxation advice in the country in which I am resident unless I consider my personal knowledge is such that I do not have to do so.
- l) I understand that a copy of the terms and conditions, and the completed Application Form, are available on request.
- m) I understand calls may be monitored or recorded for quality, staff training, dispute resolution and/or security purposes.
- n) I acknowledge and accept that the validity, construction and performance of any contract entered into between Prudential International and myself shall be governed by English Law and that any dispute arising under or in connection with the contract shall be subject to the exclusive jurisdiction of the English Courts to which I hereby submit.
- o) If applicable, Life Assured consents to this application (and/or the consent of a parent or guardian has been given for any Life Assured who is under 18 or otherwise lacks legal capacity).
- p) 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.

2. Investment notice

Some funds and investments 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 upwards or downward.

You and/or your Financial Adviser and/or the individual nominated in Section 7 – Part D of the Application Form to provide investment instructions on your behalf have selected funds and investments to which your bond will be linked. You must ensure that you are fully aware of the details of these funds and investments to ensure that you are aware of the risks involved. In addition to the risks inherent in the underlying assets, funds and investments may be subject to additional risks from exchange matters, withholding taxes or political and economic issues. Some funds and investments can be relatively illiquid which can, at points in time, negatively affect investment and redemption values. Some funds 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 funds 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 funds and investments may levy fees or other charges and costs on redemption or there may be restrictions regarding redemption. Some funds and investments may not be subject to any level of investor protection or regulation. Equally, some funds and investments may not be subject to any form of UK FCA recognition, or authorisation or operate from UK FCA designated territories. Funds and investments 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.

Personal Portfolio Bonds (“Highly Personalised Bonds”)

Prudential International does not wish to 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. You and your Financial Adviser are totally responsible for ensuring that any selected funds and investments are not of a nature that would cause your bond to be classified as a Personal Portfolio Bond, if you are or become a UK resident. If a selected fund or investment is of a nature or becomes of a nature (as fund make-up and/or legislation can change) whereby your bond is or becomes so classified, that fund or investment must be terminated immediately and either switched or cashed in and you alone will be responsible for any tax charge.

Declaration

I/We confirm that I/we have read the prospectuses and associated documents of all funds and investments associated with this bond application and am/ are aware of the nature of the investment and risks involved. I/We confirm that to the best of our knowledge the funds and investments selected are not of a nature that would cause my/ our bond to be classified and taxed as a Personal Portfolio Bond (“highly personalised bond”) under the relevant UK legislation.

PRIVACY NOTICE

3. 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 or other legal basis 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***, may 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 for 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, but only where appropriate safeguards have been put in place first. In more limited circumstances, we may also need to rely on a derogation under applicable privacy laws.

If you want to know more about the above 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.

Section 13 – Declaration – continued

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: Data Protection Officer
Prudential International
Montague House
Adelaide Road
Dublin 2

Call us on: +353 1 476 5000

- * 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 M&G Wealth Advice Limited, PGDS (UK ONE)Limited, M&G 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.

4. Adviser Charges Declaration

I authorise Prudential International 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 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 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 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 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's Adviser Charge administration capability.

I confirm that I have discussed with my Financial Adviser the tax implications of having my Adviser Charge deducted from the contract and acknowledge that deduction of the Adviser Charge may trigger a tax liability. (Whether tax is triggered as a result of the Adviser Charge will depend on the type of Prudential International contract and how you have agreed with your adviser to structure payment of the Adviser Charge. Your adviser (or another independent tax adviser) should provide you with this advice).

5. Declaration of residence outside Ireland

Each Applicant must read the residency definitions below and then complete this declaration.

Definition of Residence

Residence definition – company

Generally a company that is incorporated in Ireland will be regarded as resident for tax purposes in Ireland. Incorporation in Ireland does not result in a company being tax resident in Ireland if the company is regarded as resident in a territory other than Ireland and not resident in Ireland for the purposes of a tax treaty. In such a case, the tax treaty provisions override the general rule.

A company that is incorporated in a foreign jurisdiction and is centrally managed and controlled in Ireland will be resident in Ireland for tax purposes.

It should be noted that the determination of a company's residence for tax purposes can be complex in certain cases and professional tax advice should be taken if necessary.

Residence definition – individual

An individual will be regarded as being resident in Ireland for a tax year if s/he either:

- spends 183 days or more in the State in that tax year, or
- has a combined presence of 280 days in the State, taking into account the number of days spent in the State in that tax year together with the number of days spent in the State in the preceding year.

Presence in a tax year by an individual of not more than 30 days in the State will not be reckoned for the purpose of applying the two-year test. Presence in the State for a day means the personal presence of an individual at any time during that day for tax year 2009 onwards.

Ordinary residence definition – individual

The term "ordinary residence" as distinct from "residence" relates to a person's normal pattern of life and denotes residence in a place with some degree of continuity. An individual who has been resident in the State for three consecutive tax years becomes ordinarily resident with effect from the commencement of the fourth tax year.

An individual who has been ordinarily resident in the State ceases to be ordinarily resident at the end of the third consecutive tax year in which s/he is not resident. Thus, an individual who is resident and ordinarily resident in the State in 2020 and departs from the State in that year will remain ordinarily resident up to the end of the tax year 2023.

Please note that the declaration below regarding non-residence in Ireland must be completed before we can make payments. Important Irish 'Exit' Tax may be applied to the bond (for example on payments from the bond) if this Declaration is not completed.

Policyholders and trustees resident outside Ireland are required by the Irish Revenue Commissioners to make the following declaration, which is in a format authorised by them, in order to receive payments without deduction of Irish tax.

I/We* declare that (*Delete as appropriate)

- I/We* have read the explanation of the terms detailed in the note entitled "residence definitions" above.
- I am/We are/The Company is* the policyholder in respect of which this declaration is being made.
- I am/We are/The Company is* not resident or ordinarily resident in Ireland.

If you are making this declaration whilst in the process of setting up your policy, setting up a series of regular withdrawals or making a first partial encashment:

- I/We/The Company* hereby undertake(s) to inform Prudential International in writing of any change in my/our/the Company's* country of residence during the life of the policy, and will provide the relevant documentation necessary to evidence the change.

6. Adviser Charges – Financial Adviser Details

If you have asked us to pay any Adviser Charges, including any Set-up Adviser Charge (in Section 5) and/or Ongoing Adviser Charges (in Section 10), to your Financial Adviser on your behalf, please give the name and address of the adviser to whom these charges should be paid:

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|----------|
| |
| |
| |
| Postcode |

Warning – material facts

A material fact is any fact which might influence the assessment and acceptance of your application. A material fact may affect our decision on whether your Application is acceptable and whether the contract should be subject to any special terms. Failure to disclose a material fact may affect entitlement to benefits under the contract and could result in the contract being void. The obligation to disclose a material fact applies to any material fact you are aware of when you submit the Application. It also applies to any material fact you become aware of after you submit the Application but before the contract starts. If you are in any doubt whether certain facts are material, these facts should be included.

I/We undertake to notify you of any changes to material facts, including any changes in respect of the beneficial owner(s) in respect of the contract as and when such changes occur.

To be completed by your Financial Adviser

Please complete the following and make sure that all necessary documentation accompanies this application form. Failure to provide all relevant information will result in a delay to the application being processed. Please note that interest will not be credited to payments received prior to the receipt of all documentation requirements.

Please tick the appropriate box below to show if there are any trust arrangements for the bond.

- (i) At issue trust your client wants us to issue the bond under trust
- (ii) After issue trust if your client intends to put the bond in trust after issue
- (iii) No trust arrangements if the bond is not going to be in a trust

I/We certify that to the best of my/our knowledge the intended beneficiaries of an Absolute trust/nominee company are not resident in a country on Prudential International's prohibited list (as published by Prudential International)

Financial Adviser checklist

I enclose AML documentation²⁶ including personal identification and address verification for all Applicant(s)/Trustees/Beneficial Owners*

For Personal investments the applicants have fully completed the Tax Residency questions

For corporate and non corporate trusts, SIPP's, QROPS, and company applications the Tax Residency Self-Certification Form – INV11804 has been completed and submitted with this application

Charging Option has been selected

The details of the beneficial owners of the Applicant have been provided in Section 12 of this application form.

If paying by cheque, please make cheque payable to Prudential International

If paying by telegraphic transfer, I enclose the copy of the telegraphic transfer form. (The original should be sent to the client's bank)

Trust declaration (if the bond is to be under Trust at issue)

If a company application, the list of Authorised Signatories, stating position in company and a specimen signature for each person listed

If an Investment Adviser is being nominated, the Investment Adviser form PIIPF10005

If appointing one or more Discretionary Asset Managers, a Discretionary Asset Manager nomination form (DPBF10048) for each one

Ensure that Part 7 of section 12 is fully completed

If Regular Withdrawals are required I enclose verification of the clients Bank Account

* Please delete as applicable

Notes

²⁶ For further information please refer to the "AML Requirements – Guide to New Business, Top-ups and Payments Out" (IPBB10303) for full AML requirements for all customer types.

To be completed by your Financial Adviser – continued

Adviser name

Address

Adviser Ref No

Tel number

Postcode

Fax number

Firm Reference Number (as per FCA Register)

Email address

Reminder

- Check any product options in each section are correctly selected.
- Ensure that Adviser Charge details have been fully completed in Sections 5 and 10, if required.
- Check for correct signatures and dates in Section 12; this is mandatory.
- That full Personal Identification, Address and Bank Verification have been provided
- Make sure that the Tax Residency Self-Certification Form has been completed and submitted

www.pru.co.uk/international

The registered office of Prudential International is in Ireland at Montague House, Adelaide Road, Dublin 2. Prudential International is a marketing name of Prudential International Assurance plc, a life assurance company operating from Ireland. Registration No. 209956. Prudential International Assurance plc is authorised and regulated by the Central Bank of Ireland and in the context of its UK regulated activities only, is deemed authorised by the Prudential Regulation Authority and subject to regulation by the Financial Conduct Authority and limited regulation by the Prudential Regulation Authority. Details of the Temporary Permissions Regime, which allows EEA-based firms to operate in the UK for a limited period while seeking full authorisation, are available on the Financial Conduct Authority's website. Prudential International is part of the same corporate group as The Prudential Assurance Company Limited. Both The Prudential Assurance Company Limited and Prudential International are direct and indirect subsidiaries respectively of M&G plc, a company incorporated in the United Kingdom. The Prudential Assurance Company Limited is not affiliated in any manner with Prudential Financial, Inc, a company whose principal place of business is in the United States of America or Prudential plc, an international group incorporated in the United Kingdom.