

# Retirement Account Adviser Declaration – Top Ups

Client name:

Policy Number:

By submitting this application, I confirm that:

1. I'm an authorised or certified financial adviser.
2. I have all necessary authority from the customer to complete this top up application for the Retirement Account and submit it on their behalf.
3. I have explained the key features of the Retirement Account to the customer and have ensured that the customer has had sufficient time to read and understand all the information associated with this transaction including the following before I submit this application:
  - a) the application form;
  - b) the advisor declaration;
  - c) the Retirement Account Terms and Conditions;
  - d) the Key Features Document.
4. I have explained to my customer that although the product terms and conditions require certain requests to be made directly by customers, Prudential is allowing financial advisers to make these requests on customers' behalf as a temporary measure due to current restrictions on movement relating to the COVID-19 pandemic.
5. I have agreed with my customer the level and frequency of adviser charging and have explained that payment of the adviser charging will be facilitated through the product.
6. I have explained to the customer that they continue to be a member of the Prudential Pension Scheme and to be bound by the rules.
7. The details I have submitted on behalf of the customer in this application accurately reflect the details they have given me for this purpose.

## Money Laundering

I certify that in accordance with the provisions of the UK Money Laundering Regulations 2017 and the Guidance Notes for the Financial Sector (as amended from time to time), I've verified the identity of the applicant(s) for this application and of any other relevant parties to this contract (e.g. 3rd party payer, employer – when making contributions, trustees and beneficial owners as appropriate), based on original documents, data or information obtained from a reliable and independent source. I confirm that:

- a) The Information in the Personal Details section was obtained by me in relation to the customer.
- b) The evidence I/we have obtained to verify the identity of the customer and the other relevant parties to the contract meets the standard evidence set out within the guidance for the UK Financial Sector issued by Joint Money Laundering Steering Group (JMLSG).

## Data Protection

\*By submitting this application I confirm that:

1. I have the customer's permission and all necessary rights to submit this application in accordance with data protection laws;
2. I have provided Prudential UK's\* Data Protection Notice to the customer, which they have acknowledged;
3. I have collected explicit consent from the customer for Prudential UK and its Business Partners\* to process their sensitive personal information.
4. I have correctly notified Prudential UK of the customer's electronic marketing communication preferences and collected consent from the customer for this where applicable, and in each case, so that Prudential UK and its Business Partners can lawfully process the customer's personal information in accordance with Prudential UK's Data Protection Notice.

\* has the same meaning as set out in Prudential UK's Data Protection Notice.

Adviser name:

This is for UK advisers – feel free to show it to your clients.

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