

# Application form (form 1)

## How to fill out this form

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

Any corrections must be initialled. Please do not use correction fluid as this will invalidate your application.

## About this form

Some important information before you start.

To take out a Prudence Inheritance Bond you must be:

- aged 18 or over and less than 90
- a UK resident
- in the UK when you sign this form
- able to invest at least £15,000

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 and relevant Investment Option Document(s). These include important information which may help you make up your mind.

You should receive these with your application form from that date. If not, please let us know.

If you make a mistake, please cross out the mistake, and each investor must initial any changes. If you make a mistake on the cheque, you must countersign rather than initial any changes.

Please send this form and any other documents back to us in the prepaid envelope or to Freepost, Prudential, Lancing BN15 8GB.

Make any cheques payable to The Prudential Assurance Company Limited.

For bank and building society "counter" cheques, please make payable to The Prudential Assurance Company Limited and clearly include your name on the payee line.

**Please do not send any payment until the underwriting is complete.**

## Questions about this form

If you are an Adviser, please call our Adviser Centre on **0808 234 0808**. If you are a prospective Policyholder, please speak with your Financial Adviser or call our Policyholder Service Centre on **0800 000 000**. Our web addresses are [pruadviser.co.uk](http://pruadviser.co.uk) for financial advisers and [pru.co.uk](http://pru.co.uk) for policyholders.

## Part 1 – The investors

(please tick one box only)

- Who is buying the bond?
- a) The first or only Life Assured
- b) The second Life Assured
- c) Both Lives Assured jointly

## Part 2 – Personal details of the person(s) to be covered

### a) First (or only) Life Assured

Title Mr  Mrs  Miss  Ms  Dr  Other

Full forename(s)

Surname

Current address

  
  

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Telephone number

Email

### b) Second Life Assured (if applicable)

Title Mr  Mrs  Miss  Ms  Dr  Other

Full forename(s)

Surname

Current address

  
  

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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Telephone number

Email

### Part 3 – Details of your investment and Set-up Adviser Charge instructions

Please ensure you complete all the boxes in this section.

Note: Please make sure that Section A minus Section B is equal to the amount in Section 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.

'Your Premium' will be calculated as 'Your Payment' less any Set-up Adviser Charge you have asked us to pay to your adviser. 1% is deducted from your Premium as payment for the Whole of Life Plan. The remaining 99% of your Premium is used to buy units and this amount represents your Endowment Premium.

If you choose to redirect Natural Income and you do not make any withdrawals from the redirection funds, the units held in these funds will accumulate and will remain included in your estate for IHT purposes and may incur tax liabilities.

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

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

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

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

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

 £  Or  % Or NIL (please tick) 

c) Amount to be invested (your premium) (minimum £15,000)

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

#### Inheritance Tax warning

The funds used to take out the Prudence Inheritance Bond must represent funds that belong to the person or persons taking out the bond. When one investor takes out the Prudence Inheritance Bond, the cheque should generally be drawn from a bank account that is in the sole name of that investor.

### Part 4 – Instructions for Natural Income

Payments will be made by Direct Credit to your Bank or Building Society.

Please choose either a) b) or c).

- a) I/we wish to take the Natural Income in full, paid quarterly.
- b) I/we wish to restrict the Natural Income paid in any plan year to 5% of the Endowment premium.
- c) I/we do not wish to take the Natural Income but wish to re-direct this Natural Income to other funds.

Name of your Bank or Building Society

Address of Bank/Building Society

Postcode

Account holder's name

Account number

If you have selected option b) or c) in part 4 complete Part 5. Otherwise please go to Part 6.

## Part 5 – Re-directed Natural Income

The policyholder(s) have a tax-deferred allowance of 5% of the Endowment premium each year. Any withdrawals, income payments and/or Ongoing Adviser Charges taken above this allowance will create a chargeable event and may affect entitlement to personal allowances and certain tax credits.

As Ongoing Adviser Charges will be deducted from the Natural Income produced by the Endowment Plan, we can only pay Adviser Charges in respect of advice given to the settlor. This feature cannot be used to pay for advice given to the trustees.

Please indicate your fund choice below. A **maximum** of three funds may be selected. The total must add up to 100% and fractions of 1% must not be used.

Fund name	% to be invested in each fund
Total	100%

## Part 6 – Instructions for Ongoing Adviser Charges

Please confirm whether you intend to use this bond to cover the ongoing cost of financial advice provided?

Yes  Please complete the rest of this section

No  Please proceed to Part 7

Please enter the annual amount you wish to have deducted from the bond, to cover the cost of ongoing financial advice, in the boxes below. This charge will be taken quarterly from the Natural Income produced by your bond.

Please select ONE option only.

% p.a. of the Endowment Premium

Or

% p.a.

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

Please note that the Ongoing Adviser Charges will be taken quarterly from this bond before any Natural Income being paid to you or redirected as per your instructions in Part 5.

## Part 7 – Health information (for Inheritance Tax valuation purposes only)

Please note that we will obtain a general practitioner's report (GPR) before finalising your application for a Prudence Inheritance Bond. Please read the Client Guide for further information.

### a) First (or only) Life Assured

Please complete your doctor's details so that we can obtain a general practitioner's report:

Name

Address

  
  

Telephone number

How long have you been with this doctor?

Years  Months

Have you smoked or used any tobacco products in the last 12 months?  
(Includes cigars, cigarettes, pipes and any nicotine replacement therapy etc).

Yes  No

If you smoke cigarettes, how many do you smoke, on average, each day?

What is your height and weight?

Height

Weight

### b). Second Life Assured (if applicable)

Please complete your doctor's details so that we can obtain a general practitioner's report:

Name

Address

  
  

Telephone number

How long have you been with this doctor?

Years  Months

Have you smoked or used any tobacco products in the last 12 months?  
(Includes cigars, cigarettes, pipes and any nicotine replacement therapy etc).

Yes  No

If you smoke cigarettes, how many do you smoke, on average, each day?

What is your height and weight?

Height

Weight

## Part 8 – Gift and trust arrangements

Please make sure that you enclose your completed and signed Prudence Inheritance Trust Declaration (form 2 or form 2D) along with this Application form.

You must also complete and enclose the Tax Residency Self-Certification Declaration Form – INVF11781 in respect of the trust.

## General information

If anyone fills in this application for you, he or she does so as your agent and not as an agent of Prudential. He or she does not have the authority to accept this application on behalf of Prudential. This information is based on our understanding of current taxation, legislation and HMRC practice. You might need to pay tax depending on your circumstances and the options you choose. Tax rules can also change in the future. For more information about tax, please speak to your financial adviser or go to HMRC's website: [hmrc.gov.uk/rates](https://www.hmrc.gov.uk/rates).

## Part 9 – Details of the investor

This information is required to help us fulfil our regulatory responsibilities in fighting financial crime. Please answer all questions. Where there are joint applicants please provide details for both.

Occupation/Nature of business

First applicant

Second applicant

Trustees should just put "Trustee".

Annual Income

First applicant

Second applicant

Where will the funds for this investment come from? (for example, UK bank account)

How did you raise the funds?

(for example, saved from salary, inheritance, property sale, divorce settlement)

## Important notes

The policies within the bond will not start until:

- we have completed our assessment of the current state(s) of health of the Life/Lives Assured (provided this is possible),
- we have accepted your application,
- following our assessment of health, we have received all we require including the fully completed trust document and confirmation from your Financial Adviser that you wish to proceed with the bond. Such confirmation can be by payment of the investment amount or by other means acceptable.

Provided we have sufficient evidence to complete our assessment of health:

- we may confirm there is no change to our original estimate of any discount that may apply to the gift being made,
- we may indicate a revised estimate, or
- we may not be able to provide an estimate based on your current state(s) of health.

If you (or second life assured if applicable) have a birthday while your application is being processed, our estimate of any discount that may apply to the gift, for Inheritance Tax purposes, may differ from that we originally quoted. If we do not have sufficient evidence to complete an assessment of health for any reason, we will tell your Financial Adviser that we will not be able to provide an estimate.

We may ask you to contact your doctor if we are waiting for reports which we have asked for.

We have a confidentiality policy in place, which means we hold your medical information securely and access is limited to authorised individuals who need to see it.

You are entitled to ask for a copy of your application form at any time.

## Part 10 – Declaration, Finalisation Authority and Consent

Your statutory rights under The Access to Medical Reports Act, 1988 and The Access To Personal Files and Medical Reports (NI) Order 1991.

### Access to medical reports

We need to establish whether we can provide an estimate of any discount that may apply to the gift being made, for Inheritance Tax purposes, based on an assessment of your current state(s) of health. To do this we need to get medical reports. Before we can ask any doctor that you have consulted to complete a report, we need your permission under The Access to Medical Reports Act 1988. Your rights under the act are as follows:

- You do not need to give your permission, but if you do not, we will not be able to provide an estimate of any discount that may apply to the gift being made, based on your current state(s) of health.
- You can ask to see the report before the doctor returns it to us. If this is the case, we will tell the doctor to keep the report for 21 days so that you can arrange to see it. If you have not made arrangements to see the report within this time, your doctor will send the report to us.
- If you choose not to see the report at this stage, you may ask the doctor for a copy within six months of it being sent to us. We can send a copy of the report to your doctor if you ask to see it at a later date.
- If you think that any part of the report is not correct or is misleading, you may ask the doctor to amend it. If your doctor refuses to make the amendments, you may ask him or her to attach a statement outlining your views, which will then accompany the report.
- Your doctor can withhold access to the report if he or she feels that it would cause physical or mental harm to you or others.

The medical report asks about the following:

- Your current health.
- Any care, medication or treatment you are currently receiving.
- The results of referrals or tests you are waiting for.
- Any time off work in the last three years.
- Your past health.
- Details (excluding minor self limiting ailments/ conditions) of any relevant illness, trauma, or referrals for specialist advice or treatment, hospital admissions, consultations with your GP or any other medical adviser, therapist or counsellor, in particular whether you have a history of:
  - malignancy (cancer), cardiovascular (heart) disease, diabetes, and degenerative (gradually worsening) diseases;

- musculo-skeletal disease or injury, for example, arthritis, rheumatism, back problems or any other disorder of the joints or muscles;
  - anxiety, depression, neurosis (such as phobias, obsessions and so on), psychosis (a mental disorder where you lose contact with reality), stress or fatigue;
  - suicidal thoughts or attempts at suicide; or
  - conditions related to drug or alcohol misuse or smoking or chewing tobacco.
- Details of any biopsies, blood tests, electrocardiograms (heart tests), diagnostic genetic test results, height, weight if measured in the last two years, urinalyses (tests on urine), x-rays or other investigations.
  - Any blood pressure readings in the last three years.
  - Any history of disease among your parents or brothers or sisters that you have told your doctor about.

We have asked your doctor not to reveal information about:

- negative tests for HIV, hepatitis B or C;
- any sexually-transmitted diseases unless there could be long-term effects on your health; or
- predictive genetic test results.

The information you and your doctor provide about your health may result in us:

- refusing to provide an estimate of any discount that may apply to the gift being made;
- providing a revised estimate of any discount that may apply to the gift; or
- providing a standard estimate of any discount that may apply to the gift.

If you have any questions about your rights under the act or questions relating to the process of getting, assessing or storing medical information, please write to:

Chief Medical Officer  
Prudential  
Lancing  
BN15 8GB

I do not want to see the report before it is sent to the company.

I do want to see the report before it is sent to the company (first Life Assured).

I do want to see the report before it is sent to the company (second Life Assured, if applicable).



### Declaration

- I agree to you asking any doctor I have consulted about my physical or mental health to provide medical information so you may assess my application. You may gather relevant information from other insurers about any other applications for life, critical illness, sickness, disability, accident or private medical insurance that I have applied for. I authorise those asked to provide medical information when they see a copy of this consent form. This form allows you to gather medical reports within six months of the start of the bond, or after my death, to support any claim made on the bond proceeds.
- This information can also be used to maintain management information for business analysis.

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

**Confirmation** – I/We the Investor(s) and Life/Lives Assured declare that, to the best of my/our knowledge and belief, the information on this form is true and complete.

**Policy Benefits** – I/We understand that:

i) the whole life plan provides a death benefit only, ii) the endowment plan provides lifetime distribution (up to age 105) and maturity benefits, and iii) neither of the plans can be surrendered at any time following the statutory cancellation period.

**Distributions** – I/We instruct that the distributions are to be dealt with in accordance with my/our instructions in Parts 4 and 5 of this form until I/we notify Prudential otherwise.

**Ownership of the policies in the bond** – I/We request that Prudential issues the endowment plan in my/our name(s) and the whole life plan subject to the trust specified in the enclosed Prudence Inheritance Trust form (form 2 or form 2D).

### How we use your personal information

We, Prudential UK (part of M&G plc), take the privacy and protection of your personal information seriously.

So we've set out below information about our processing of your personal information, what rights you have, and how you can get in touch if you want to know more.

When we say personal information, we mean information about you, such as your name, date of birth and contact details. We collect personal information from you that is necessary for us to either provide you with the product or service you've requested or to comply with statutory or contractual requirements. Unfortunately if you don't provide all of the information we require this may mean we are unable to provide our products and services to you.

### Part A – How we use your personal information and why

We, M&G plc and our Business Partners, will use the personal information you provide to us, together with other information, for the following purposes:

- the administration of our products and services, including to enable us to perform our obligations to you and to provide any relevant services as discussed with you prior to any purchase of a product or service
- complying with any regulatory or other legal requirements
- carrying out checks using agencies such as credit reference agencies, tracing companies, or publicly available information (See Part B for more)
- the provision of customer services – like to reply to a question, or tell you that something's changing
- automated decision-making or profiling (see Part C for more)
- keeping your information on record and carrying out other internal business administration

In addition, we, M&G plc, and our Marketing Partners, will use the personal information you provide to us, together with other information, to send you direct marketing offers by electronic and non-electronic means including by post, as well as sending you introductions to products and services from carefully selected third parties also by post. Please see Part G for further details.

Some of the purposes above are necessary to allow us to perform our contractual obligations to you and to enable us to comply with applicable laws and regulation. We may also rely on legitimate interests or other legal bases in using and sharing your personal information for the purposes described above to improve our products and services. This allows us to explore ways to develop our business and to gain insights into how our products and services are used. To the extent that we need your consent to use your personal information for the purposes described above, you explicitly provide your consent by signing and returning this form, or as set out in Part G as appropriate.

### Who we share your personal information with and why

We may share your personal information within M&G plc and with our Business Partners, for any of the purposes set out in Part A. If you have a joint policy or investment, the other person may receive your personal information too. If appropriate, we may also pass on your personal information to financial crime prevention agencies, any legal, regulatory or government bodies.

As we, M&G plc, and some of our Business Partners are global companies, we might need to send your personal information to countries that have different data protection laws to the UK or the European Economic Area. These transfers will only be to countries in respect of which the European Commission and, where applicable, the UK Government 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 these safeguards – like our use of the European Commission's or UK's Model Clauses which govern the transfer of information outside of the European Economic Area and UK respectively – further information is available on request.

### We keep your personal information for a set amount of time

Your personal information will be stored either for as long as you (or your joint policyholder) are our customer, or longer if required by law or as is otherwise necessary. It'll always be in line with our data retention policy.

### Part B – Reference checks

For certain products, we may use approved credit reference agencies, tracing companies, financial crime prevention agencies, or publicly available information, to help us to check your identity, as well as to prevent fraud and money laundering; this may include checks on your current or previous addresses. Results of these may be recorded for future reference.

These checks may also be carried out for a joint policy holder or person(s) that you provide personal information on. Should we ever lose contact with you, we may use these agencies to verify your address to help us get back in touch.

Any transfer of your personal information will always be done securely.

### Part C – We may use your personal information to make automated decisions or profile you

We, M&G plc, our Business Partners, and our Marketing Partners may use your personal information to make automated decisions affecting you or to conduct other profiling (for example, marketing profiling).

To the extent that we conduct such automated decision making activity, we'll provide you with further information at the appropriate time.

### Part D – Use of your sensitive personal information

For certain products or services, we'll need to process your sensitive personal information, such as information relating to health, genetics, biometric identifiers and sexual orientation. To the extent that we need your explicit consent to process this kind of personal information in the manner described in Parts A, B, and C, you explicitly provide your consent by signing and returning this form.

### Part E – You're in control

When it comes to how we use your personal information, you've got the right to:

- request a copy of your personal information for free (we may charge you for this if the request is manifestly unfounded or excessive)
- in certain circumstances request that we move your personal information to another organisation if you want us to

## Part 10 – Declaration, Finalisation Authority and Consent – continued

- request that we correct anything that's wrong, or complete any incomplete personal information
- ask us to delete your personal information if it is no longer needed for the purposes set out in Part A or if there is no other legal basis for the processing
- limit how we use your personal information or withdraw your consents (including automated decision making) you have given for the processing of your personal information
- object to us using your personal information for direct marketing (including related profiling) or other processing based on legitimate interests
- complain to a data protection authority or another independent regulator about how we're using it.

If you want to do any of these things, or would like an explanation as regards these rights, we've explained how you can get in touch in the Contact Us section.

If you do need to speak to us, it'll be useful to have to hand that the data controller of your personal information is Prudential UK. Prudential UK have also appointed a Data Protection Officer who can be reached at the address shown in the Contact Us section of this document.

We may monitor or record calls or any other communication we have with you. This might be for training, for security, or to help us check for quality.

### Part F – Acting on someone else's behalf?

If you give us personal information about another person (or persons), we'll take that to mean they have appointed and authorised you to act on their behalf. This includes providing consent to:

- our processing of their personal information and sensitive personal information (as we've explained in Parts A, B, C, and D above)
- you getting any information protection notices on their behalf.

If for any reason you are concerned as to whether you are permitted to provide us with the other person's information, please contact us on the phone number below before sending us anything.

### Part G – Direct marketing

We and M&G plc will still send you information by post about the Prudential UK and M&G plc's products and services and carefully selected third parties.

Additionally, from time to time, Prudential UK and M&G plc would like to contact you by electronic means with details about products, services and any special offers. Please note that any consent you give will not apply to M&G Investments Group and Prudential International Assurance plc as they operate their own customer databases and may contact you separately.

If you consent to us contacting you for this purpose by electronic means, please tick to say how we may contact you (tick as many or as few as you like):

Email  Phone  Text

And if you change your mind, and/or you would like to opt-out of receiving non-electronic direct marketing, it's easy to let us know. Just call us on 0800 000 000.

### Contact us

If you want to exercise your rights in Part E or if you require any other information about any other part of this notice, you can contact us in a number of different ways.

Write to us at:

**Customer Service Centre  
Prudential  
Lancing  
BN15 8GB**

Call us on: **0800 000 000**

Or visit: **pru.co.uk**

Prudential UK means The Prudential Assurance Company Limited, Prudential Distribution Limited, Prudential Life Time Mortgages Limited, Prudential Pensions Limited, and M&G Wealth Advice Limited as appropriate.

M&G plc means any affiliates of Prudential UK (including, Prudential International Assurance plc, PGDS (UK ONE) Limited, M&G Global Services Private Limited, M&G Investments Group, and Prudential Corporate Pensions Trustee Limited.

## Part 10 – Declaration, Finalisation Authority and Consent – continued

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

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

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

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

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

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

I/We agree that where my/our adviser firm arranges for the services I/We have agreed with them to be provided by another adviser firm, I/we authorise Prudential to amend my/our Adviser Charge Instructions to pay the Ongoing 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/We confirm that I/we have discussed with my/our financial adviser the tax implications of my/our investment being net of any Set-up Adviser Charges, and also the tax implications of having my/our Ongoing Adviser Charge deducted from the contract. I understand that deduction of any Ongoing Adviser Charge will be treated as withdrawal from the Endowment Policy.

**I/We have read the General Information and the Important notes on page 5. I/We have also read the Declaration and the information relating to my/our rights under the Access to Medical Reports Act, 1988, The Access to Personal Files and Medical Reports (NI) Order 1991 and the Data Protection Act.**

Name and signature of first (or only) Life Assured

Date

D	D	M	M	Y	Y	Y	Y
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Name and signature of second Life Assured (if applicable)

Date

D	D	M	M	Y	Y	Y	Y
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## Confirmation of Verification of Identity (CVI) – private individual

Introduction by an FCA regulated firm (for completion by Financial Advisers)

### a. Details of individual (see explanatory notes below)

Full name of customer

Current address

Postcode

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

Postcode

Date of birth

D	D	M	M	Y	Y	Y	Y
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### b. Confirmation

I/we confirm that:

- i) the information in section a). above was obtained by me/us in relation to the customer;
- ii) the evidence I/we have obtained to verify the identity of the customer:
  - 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)
- iii) Based on the knowledge I/we have gained of the customer we have:
  - No reason to believe that the tax residency self – certification requires any follow up action
  - or**
  - Reason to believe that the tax residency self-certification requires follow up action

If follow up action is required, please indicate why

Signature

Name

Position

Date

D	D	M	M	Y	Y	Y	Y
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## Confirmation of Verification of Identity (CVI) – private individual – continued

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

Full name of regulated firm (or sole trader)

FCA Reference Number

#### Explanatory notes

- i) 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.
- ii) 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 who have been subject to Simplified Due Diligence under the Money Laundering Regulations; or
  - those whose identity has been verified using the source of funds as evidence.
- iii) This confirmation must carry an original signature, or an electronic equivalent.

**For completion by Financial Adviser – essential information. All sections to be completed.**

1. \*FCA Regulatory No.  or \*Other UK/EU Regulator

Registered individual's forename

and

Registered individual's surname

**2. Your agency details**

Your Prudential agency number

or

Agency name & address stamp

e.g 1 2 3 4 5 6 X

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.

**3. Your customer reference number (if any)**

Your usual routing instructions (for issue of acceptance letter and bond documents) will apply. If you want to give us different instructions for this case, please state below.

**4. Routing instructions (if different from your usual instructions)**

Acceptance letter:

Bond documents to:

Copy bond documents to:

Direct to investor with copy to you

Investor

Investor

Both to you

You

You

Special destination

Special destination

**5. Was advice given?**

Yes  No

Special destination – name

Address

Postcode

Use of this address must have been authorised by the investor, to maintain client confidentiality.

\* Complete as appropriate

**For Prudential use only**

Cheque acknowledgement number

Cheque amount

Date stamp

[pru.co.uk](https://pru.co.uk)

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