Prudential ISA

Switching from an OEIC into an ISA Form

About this form

Please complete all relevant sections in blue or black ink, write in CAPITAL LETTERS or tick as appropriate and sign this form.

Before you sign this form: you should ensure that you are able to make all the declarations that are required to investing in an Individual Savings Account (ISA).

If you have any questions please call us on 0344 335 8936 between 8:30am and 5:30pm Monday to Friday.

Please return the completed form to Waystone Management (UK) Limited, PO Box 389, Darlington DL1 9UF.

This form can be used to instruct Waystone Management (UK) Limited to switch all or part of your investments into a Prudential ISA.

We may have to return any instruction that is incorrectly completed.

Adviser details (only to be completed by a financial adviser)

For commission eligibility and FCA product sales data purposes: if you did not provide advice on this switch please tick ☐

(Where the switch represents a New or Initial Investment) I confirm that I have provided advice, and, in respect of any New Investment, that the client's "demands and needs" have been considered as part of that process, and that the proposed investment is consistent with those "demands and needs".

Company name

Agent code

Adviser name

FRN

IRN

If advice has been provided on the investment(s) detailed in Part 2, please ensure you select the "R" Share class and PruFunds, otherwise the application may be rejected.

Part 1 – Investor(s) details

First holder

National Insurance number

Second holder (if applicable)

National Insurance number

Designated account name (if applicable)

Link customer number

Address

Postcode

Daytime telephone number

Part 2 – Switching instructions

TO BE COMPLETED BY THE INVESTOR

Please specify, using Table 1 below, which fund(s) you wish to switch from, the Share Class (if applicable) and either the desired percentage or monetary amount.

Please specify, using Table 2 below, which fund(s) you wish to switch and the relevant split if you wish to split your proceeds between the funds.

Please sign the declaration below to permit the release of the funds to the ISA however if the funds are jointly held we will require signatures from all account holders.

If you wish to remain in the same fund(s) and just switch your investment(s) into a Prudential ISA, please tick this box and go to Part 3. ☐

TABLE 1 (SWITCHING OUT)

Full name of fund(s) to be switched out of	Share class (e.g. A, R*)	Income/ Accumulation option (delete as appropriate)	Number of shares or value of fund(s) to be switched (please specify FULL if total holding to be switched – up to your maximum ISA allowance)		
WS Prudential Risk Managed Active 1		Inc/Acc		or	£
WS Prudential Risk Managed Active 2		Inc/Acc		or	£
WS Prudential Risk Managed Active 3		Inc/Acc		or	£
WS Prudential Risk Managed Active 4		Inc/Acc		or	£
WS Prudential Risk Managed Active 5		Inc/Acc		or	£
WS Prudential Risk Managed Passive Fund 1		Inc/Acc		or	£
WS Prudential Risk Managed Passive Fund 2		Inc/Acc		or	£
WS Prudential Risk Managed Passive Fund 3		Inc/Acc		or	£
WS Prudential Risk Managed Passive Fund 4		Inc/Acc		or	£
WS Prudential Risk Managed Passive Fund 5		Inc/Acc		or	£

* The "R" Share class is only for customers who have received advice.

Part 2 – Switching instructions (continued)

TO BE COMPLETED BY FIRST HOLDER

Full name

Signature

Date D D M M Y Y Y Y

TO BE COMPLETED BY JOINT HOLDER, IF RELEVANT

Full name

Signature

Date D D M M Y Y Y Y

TABLE 2 (SWITCHING INTO)

Full name of fund(s) to be switched into	Share class (e.g. A, R*)	Income/ Accumulation option (delete as appropriate)	Please indicate a percentage split if the sale proceeds are to be divided between funds (must total 100%)
Prudential PruFunds Risk Managed 1			%
Prudential PruFunds Risk Managed 2			%
Prudential PruFunds Risk Managed 3			%
Prudential PruFunds Risk Managed 4			%
Prudential PruFunds Risk Managed 5			%
Prudential PruFund Cautious Fund			%
Prudential PruFund Growth Fund			%
WS Prudential Risk Managed Active 1		Inc/Acc	%
WS Prudential Risk Managed Active 2		Inc/Acc	%
WS Prudential Risk Managed Active 3		Inc/Acc	%
WS Prudential Risk Managed Active 4		Inc/Acc	%
WS Prudential Risk Managed Active 5		Inc/Acc	%
WS Prudential Risk Managed Passive Fund 1		Inc/Acc	%
WS Prudential Risk Managed Passive Fund 2		Inc/Acc	%
WS Prudential Risk Managed Passive Fund 3		Inc/Acc	%
WS Prudential Risk Managed Passive Fund 4		Inc/Acc	%
WS Prudential Risk Managed Passive Fund 5		Inc/Acc	%

* The "R" Share class is only for customers who have received advice. Please note that only Accumulation shares are available.

Part 2 – Switching instructions (continued)

Please note that a switch of this nature will entitle you to 30 days cancellation rights.

I authorise Waystone Management (UK) Limited to transfer part or all of my investments (as specified above) to Link Financial Investments Limited.

I authorise Waystone Management (UK) Limited to provide Link Financial Investments Limited with any information, written or non-written, concerning my investments and to accept any instructions from them relating to my investments being transferred.

Where a period of notice is required for closure/part transfer of my investments, I give my consent to either: (ISA investor to tick as appropriate)

1. serve the full notice period before this instruction can be processed; ☐ or
2. proceed immediately with the transfer and any consequential penalty which may be applied. ☐

Please note that the switching process may take up to 6 days during which time your investments will be out of the market.

Full name

Signature

Date D D M M Y Y Y Y

DIRECT DEBIT OPTIONS

If you would like to continue making direct debit payments to the fund you are switching out of please tick the box. ☐

If you do not wish to continue making payments by direct debit please tick the box. ☐

We recommend that you notify your bank or building society that the direct debit has been cancelled.

If you would like to transfer your existing regular savings plan to the ISA wrapper provided by Link Financial Investments Limited you will need to complete and return the attached Direct Debit mandate form.

Instruction to your bank or building society to pay by Direct Debit

Please fill in the whole form using a ball point pen and send it to:

Link Financial Investments Limited
PO Box 384
Darlington DL1 9RZ

Service user number

4	3	0	8	6	6

Name(s) of account holder(s)

Reference

Instruction to your bank or building society

Please pay Link Financial Investments Limited Direct Debits from the account detailed in this instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this instruction may remain with Link Financial Investments Limited and, if so, details will be passed electronically to my bank/building society.

Bank/building society account number

Branch sort code

Name and full postal address of your bank or building society

To: The Manager Bank/building society

Address

Postcode

Signature(s)

Date D D M M Y Y Y Y

Banks and building societies may not accept Direct Debit Instructions for some types of account

This guarantee should be detached and retained by the Payer

The Direct Debit Guarantee

- This Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits.
- If there are any changes to the amount, date or frequency of your Direct Debit, Link Financial Investments Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request Link Financial Investments Limited to collect a payment, confirmation of the amount and date will be given to you at the time of the request.
- If an error is made in the payment of your Direct Debit, by Link Financial Investments Limited or your bank or building society, you are entitled to a full and immediate refund of the amount paid from your bank or building society.
  - If you receive a refund you are not entitled to, you must pay it back when Link Financial Investments Limited asks you to.
- You can cancel a Direct Debit at any time by simply contacting your bank or building society. Written confirmation may be required. Please also notify us.

Part 3 – How you want to pay your adviser

Please tell us what you want to pay to your adviser. Provided you are a UK resident, we will use the information you provide in this section to pay your adviser. If you are not a UK resident, you must settle any adviser costs yourself.

By signing the declaration in part 4 of this form you are:

- agreeing to the payment of the Adviser Charges documents in Parts a, b and/or c; and
- authorising us to accept all future instructions from your adviser for payment of Adviser Charges that you have agreed to pay them from your product.

You do not need to complete the information in Parts a, b and/or c if:

- your adviser is billing you directly for their services; or
- your adviser is not charging you for their services.

PART 3A – REGULAR INVESTMENT SET-UP ADVISER CHARGE

Complete this section if you will be making regular investments to your plan and have agreed a charge for advice with your adviser.

Spread payment of Regular Investment Set-up Adviser Charge (please complete one of the following options)

£ [ ] a month for [ ] months

or [ ] % a month for [ ] months

PART 3B – SINGLE INVESTMENT SET-UP ADVISER CHARGE

Complete this section if you will be making a single investment to your plan and have agreed a charge for advice with your adviser.

Please state the amount of Adviser Charge as either a monetary amount or percentage.

Single payment of £ [ ] or [ ] %

PART 3C – ONGOING ADVISER CHARGE

Complete this section if you have agreed to pay your adviser for ongoing advice.

The Ongoing Adviser Charge can be either a set amount or a percentage of your product.

1. Set amount

£ [ ] every month £ [ ] every year

£ [ ] every quarter £ [ ] every half-year

or

2. Percentage

[ ] % of your product (this percentage can be taken once a year or split across a different time period)

Monthly [ ] Quarterly [ ] Half-yearly [ ] Yearly [ ]

LINK Group

Pru
part of M&G plc

Part 4 – Client declarations

I apply to subscribe into a stocks and shares ISA for the tax year 2 0 _ _ / 2 0 _ _ and each subsequent year until further notice.

I agree that:

- this switch is subject to acceptance by Waystone Management (UK) Limited and Link Financial Investments Limited;
- Waystone Management (UK) Limited may disclose my details (including account/transaction details) to Link Financial Investments Limited;
- I will inform you of any changes in my circumstances;
- I acknowledge the Additional Investor Information Document and I agree to the Terms and Conditions of investing in an ISA which form a legal contracting binding on me. I accept that they may be varied at Link Financial Investment Limited's discretion, as provided herein;
- I have received, read and understood or had satisfactorily explained the Key Investor Information Document, or Key Features Document and Key Information Document and Prudential ISA costs and charges disclosure. I am aware that the latest Prospectus and Annual and if more recent Interim Fund Reports and PruFund Funds' Literature are available free of charge and I confirm that I have accessed them to the extent I believe necessary.
- (Where the switch represents a New or Initial Investment) I confirm that I have taken advice, and, for New Investments, that my "demands and needs" have been considered as part of that process, and that the proposed investment is consistent with those "demands and needs".
- (For investments other than New or Initial Investments) I confirm that I have previously taken advice where required, and, in respect of investments into the PruFund Funds, that my "demands and needs" were considered as part of that process, and that the investment made at that time was consistent with those "demands and needs", and that the investment now contemplated remains consistent with those "demands and needs".
- Applicable for current tax year ISA transfers only – I am resident in the United Kingdom for tax purposes or if not so resident, perform duties which are by virtue of section 28 of Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to or in a civil partnership with a person who performs such duties, and will inform Link Financial Investments Limited if I cease to be so resident to perform such duties or be married or be in a civil partnership with a person who performs such duties.
- If any adviser charges are to be facilitated by us, I am a UK resident for tax purposes.

Part 4 – Client declarations (continued)

I declare that:

- all subscriptions made, and to be made, belong to me;
- I am 18 years of age or over;
- I have not subscribed and will not subscribe more than the overall subscription limit in total to any combination of permitted ISAs in the same tax year;
- I have not subscribed, and will not subscribe, to another stocks and shares ISA in the same tax year that I subscribe to this stocks and shares ISA;
- the information I have given is correct to the best of my knowledge and belief I will inform Link Financial Investments Limited if any information provided in the ISA Application and Declaration changes; and
- I agree that if I invest in a monthly savings plan (regular monthly payment), the amount(s) indicated will be deducted each month until further notice.

I authorise Link Financial Investments Limited:

- to hold my cash subscriptions, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash; and
- to make on my behalf any claims to relief from tax in respect of ISA investments.

Full name – registered holder

Signature

Date D D M M Y Y Y Y