Prudential ISA

Adding to or Changing Your Investment Amount

The Prudential ISA is available online for new applications and the management of existing investments.

Online application and account management does not affect ISA eligibility requirements, execution policy or your cancellation rights.

If you have a financial adviser, they are able to buy and sell investments and amend your personal details online on your behalf. (Advice is required for new investments within the Prudential ISA.) The Prudential ISA terms and conditions have therefore been amended to provide your consent for your adviser to buy and sell and to make amendments online on your behalf, and to incorporate requirements particular to online activity (including those relating to personal data and data security). However, the Prudential ISA terms and conditions are otherwise unchanged and apply equally to online and other activity.

Registration is required for access to online services. Once registered for online access, you will be notified of any action taken on your account by you or your adviser on your behalf.

For more information, contact us on 0344 335 8936.

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 on the reverse.

Before you sign this form: you should read, understand or have had satisfactorily explained to you the latest versions of the Key Investor Information Document (KIID) or Key Features Document and Key Information Document and Prudential ISA costs and charges disclosure as applicable, for your chosen share/unit class in each fund or PruFund Fund in which you want to invest, and the ISA Terms and Conditions which includes the Link Financial Investments Limited Customer Agreement.

Please note that advice is required for New or Initial Investments.

The latest Prospectus and Annual and if more recent Interim Fund Reports and other PruFund Funds' Literature are available free of charge.

If you have any questions or would like a free up-to-date copy of the KIID, ISA Terms and Conditions, Prospectus, most recent Annual or Interim Fund Reports or additional application forms, please call us on 0344 335 8936 between 8:30am and 5:30pm Monday to Friday. All literature will be provided in English. These documents are also available at https://www.waystone.com.

Commission may be payable, depending on Share class chosen and whether advice has been given.

Please return the completed form to Link Financial Investments Limited, PO Box 384, Darlington DL1 9RZ.

We may have to return any application that is incorrectly completed. This could mean that the purchase of your investment may be delayed or even rejected. It could also affect the purchase price of your investment.

You can use this form at any time to

- make an additional payment to your existing Prudential ISA
- change the amount you pay by Direct Debit.

Please note that you may only invest in an ISA if you are eligible.

Part 1 – 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 sale please tick ☐

(Where the transaction represents a New or Initial Investment) I confirm that I have provided advice, and, in relation to 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) in Part 2, please ensure that you select the "R" Share class and PruFunds, otherwise the application may be rejected.

I confirm that the sort code, account number and account name was obtained and verified by me in relation to the applicant, where applicable. ☐

Part 2 – Investor details

Holder

Link customer number

Address

Postcode

Part 3a – Making an additional payment to your existing Prudential ISA (single premium)

The minimum top up into your existing fund(s) is £250 or £500 into a new fund.

Please refer to the ISA Terms and Conditions and relevant KIID(s) for full details of the fund(s) and options available.

For investments in the WS Prudential Investment Funds (1) only: For each fund in which you invest, please tick either the Accumulation Option or the Income Option. You can only choose one option per fund. For funds offering both Accumulation and Income Options, if none/both options are ticked then the Accumulation Option will be allocated for that fund.

Cheque payments must be made to "Link Financial Investments Limited". If payment is made using a banker's draft or building society cheque, the issuer must endorse the cheque confirming that the funds have been drawn from an account in your name. The account holders full name must be printed on the front of the banker's draft. Where such endorsement is not provided, we will require you to provide evidence that the funds have been drawn on an account in your sole or joint name. Until such time that the requested evidence has been provided, we will not be able to release the proceeds of any subsequent disinvestment. In such event, we shall not be liable for any loss whether direct or indirect as a result of any failure to provide us with appropriate evidence(s) pursuant to this clause (section 2.3 in Terms and Conditions).

Direct Payment

SINGLE INVESTMENTS VIA DIRECT PAYMENT

The direct payment (settlement) must be made in sterling to the account below:

Barclays Bank Plc

Account:	Link Financial Investments Limited Client Account
Account Number:	53186652
Sort Code:	20-67-59
Swift Code:	BARCGB22
Reference:	Full name of the applicant

IMPORTANT

Payment may be rejected if the name of the investor(s) is not included in the reference section when making the electronic transfer.

CONFIRMATION OF THE SOURCE OF FUNDS

Please complete the section below to confirm the bank account from which the direct payment subscription is being made and to confirm the name on the accounts from which the funds have been drawn.

Account holder name(s)

Account number:

Sort code:

Amount before any adviser charges have been deducted: £

IMPORTANT

Please note that the payment should be made from the applicant's own bank account. Where money is being gifted to the investor by another party including spouses, partners etc, the full application form must be completed.

Fund Name	Income/ Accumulation option (delete as appropriate)	Amount	R* Share Class (advised) (Top-up minimum £250)	A† Share Class (non-advised) (New investment minimum £500)
Prudential PruFund Risk Managed 1		£		
Prudential PruFund Risk Managed 2		£		
Prudential PruFund Risk Managed 3		£		
Prudential PruFund Risk Managed 4		£		
Prudential PruFund 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		£	£

* Only select if advice has been provided. Please note that only Accumulation shares are available.
† Only select if no advice has been provided.

Part 3b – Changing the amount you pay by Regular Investments

Direct Debits can be taken between 1st and 28th of the month or the next business day. Changes must reach us at least 10 calendar days before the next collection date otherwise the change will take place the following month.

I wish to amend my regular savings contributions starting from D D M M Y Y Y Y

I wish to commence regular savings contributions starting from D D M M Y Y Y Y

I wish to change the regular savings collection date from D D M M Y Y Y Y to D D M M Y Y Y Y

					Income/ Accumulation option (delete as appropriate)
from	£	to	£	per month in the Prudential PruFund Risk Managed 1	
from	£	to	£	per month in the Prudential PruFund Risk Managed 2	
from	£	to	£	per month in the Prudential PruFund Risk Managed 3	
from	£	to	£	per month in the Prudential PruFund Risk Managed 4	
from	£	to	£	per month in the Prudential PruFund Risk Managed 5	
from	£	to	£	per month in the Prudential PruFund Cautious Fund	
from	£	to	£	per month in the Prudential PruFund Growth Fund	
from	£	to	£	per month in the WS Prudential Risk Managed Active 1	Inc/Acc
from	£	to	£	per month in the WS Prudential Risk Managed Active 2	Inc/Acc
from	£	to	£	per month in the WS Prudential Risk Managed Active 3	Inc/Acc
from	£	to	£	per month in the WS Prudential Risk Managed Active 4	Inc/Acc
from	£	to	£	per month in the WS Prudential Risk Managed Active 5	Inc/Acc
from	£	to	£	per month in the WS Prudential Risk Managed Passive Fund 1	Inc/Acc
from	£	to	£	per month in the WS Prudential Risk Managed Passive Fund 2	Inc/Acc
from	£	to	£	per month in the WS Prudential Risk Managed Passive Fund 3	Inc/Acc
from	£	to	£	per month in the WS Prudential Risk Managed Passive Fund 4	Inc/Acc
from	£	to	£	per month in the WS Prudential Risk Managed Passive Fund 5	Inc/Acc

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 4 – Income payment details
(for investment in the WS Prudential Investment Funds (1) only)

Do you wish to (i) – Reinvest Income automatically ☐

(ii) – Pay Income out to my nominated bank account (see below) ☐

Please complete this section if you have selected to pay income out so that it can be paid direct to your bank or building society account. Please take care when completing this section as Link Financial Investments Limited cannot take responsibility for incorrectly completed bank or building society account details. The bank or building society account must be in the holder's name.

NAME AND FULL POSTAL ADDRESS OF BANK OR BUILDING SOCIETY

Name

Address

Postcode

Bank/Building society account number

Branch sort code – –

Building society collection account number*

Name(s) of account holder(s)

* The building society sort code and collection number can be obtained from your building society.

AMEND REGULAR WITHDRAWALS

- If you wish to amend your regular withdrawals, please complete the relevant section of the Withdrawals Form.

THE DIRECT DEBIT GUARANTEE

- This Guarantee is offered by all banks and building societies that take part in the Direct Debit Scheme.
- The efficiency and security of the Scheme is monitored and protected by your own bank or building society.
- If the amounts to be paid or the payment date change, Link Financial Investments Limited will notify you ten working days in advance of your account being debited or otherwise agreed.
- If an error is made by Link Financial Investments Limited or your bank or building society, you are guaranteed a full and immediate refund from your branch of the amount paid.
- You can cancel a Direct Debit at any time by writing to your bank or building society. Please also send a copy of the letter to us.

HOW WE USE YOUR PERSONAL DATA

For a copy of your Data Protection Notice please refer to your original application form. If you have any questions about this please write to LFI Investor Services, PO Box 385, Darlington DL1 9UA.

By signing and returning this form, you consent to us processing your data.

Part 5 – How you want to pay your adviser

Please tell us what you want to pay to your adviser. Provided you are a UK resident for tax purposes, 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 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 5A – REGULAR INVESTMENT INITIAL (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 5B – SINGLE INVESTMENT INITIAL (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 5C – 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 half-year

£ [.] every quarter £ [.] every 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 [ ]

ISA Application & Investor Declaration

Please note: This application when accepted by Link Financial Investments Limited will constitute a binding contract and be evidenced by the issue of a contract note or allocation letter. No other acknowledgement will be issued at the time of application and only in the event of a query will there be further communication.

Please note: Link Financial Investments Limited reserves the right to request the original documentation at its discretion which you are obliged to promptly provide.

The terms and conditions are available on the Link Financial Investments Limited website: https://www.waystone.com, and are also available on request from contacting Link Financial Investments Limited on the contact details below.

Data Protection Act: We may send your details (including account/transaction details) to related third parties (including the investment manager and/or sponsor). If you do not wish to receive information on other products and/or services from related third parties, please tick this opt out box. ☐

Declaration: To be completed by the applicant. I confirm that I have received, read and understood or had satisfactorily explained the information contained in this form and confirm that a copy of the Key Investor Information Document or the Key Information Document and Key Features Document, and Prudential ISA costs and charges disclosure as applicable, have been supplied to me. I am aware that the latest Prospectus and Annual and if more recent Interim Fund Reports and other PruFund Funds' Literature are available free of charge and I confirm that I have accessed them to the extent I believe necessary. I request and authorise Link Financial Investments Limited to act in accordance with my instructions where payment is made directly from your bank account.

Bank details: By signing the Adviser Declaration, your adviser is confirming that they have seen evidence of your bank details. For any bank account nominated on page 9, acceptable forms of evidence are an original bank statement, cheque, paying-in slip or a letter confirming your account details.

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

If you have any queries please phone 0344 335 8936. For your protection telephone calls are recorded. Please send the completed form, together with a cheque made payable to 'Link Financial Investments Limited' if appropriate, to: Link Financial Investments Limited, PO Box 384, Darlington DL1 9RZ

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 am resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, 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. I will inform Link Financial Investments Limited if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties;
- 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 this ISA Application and Declaration changes;
- I have received, read and understood or had satisfactorily explained the ISA Terms and Conditions and the Key Investor Information Document or the Key Information Document and Key Features 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 other PruFund Funds' Literature are available free of charge and I confirm that I have accessed them to the extent I believe necessary; and
- I agree that if I invest in a monthly savings plan (regular monthly payments), the amount(s) indicated will be deducted each month until further notice.

I authorise Link Financial Investments Limited:

- to hold my cash subscription, 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.

I confirm that the financial details provided on page 3 including source of funds is correct to the best of my knowledge and belief.

Full Name

Signature

Date D D M M Y Y Y Y

IMPORTANT
If a third party is signing on behalf of an investor a CVI must also be completed for that individual and relevant supporting documentation provided e.g. Power of Attorney/Court of Protection.