Prudential ISA

Application Form

V18-04-24

PruFund Range of Funds
WS Prudential Investment Funds (1)

LINK FINANCIAL INVESTMENTS LIMITED ACTS AS THE ISA PLAN MANAGER

Link Financial Investments Limited
PO Box 384
Darlington
DL1 9RZ

Important Information

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.

Before completing this application pack, you must ensure that you read the Terms and Conditions issued with this form.

All investments must meet the minimum investment levels specified in the Prospectus, or the Key Features Document, as applicable.

ISAs are subject to regulatory limitations as prescribed by the ISA Regulations. Please refer to the HM Revenue & Customs website for further details: www.hmrc.gov.uk.

ISA Transfers – all ISA transfers must include the appropriate transfer authority and authorisation and declaration. Please ensure you complete pages 21-27.

If you are submitting a regular monthly investment application with less than 10 working days before the next collection date, you should submit a cheque for the first payment. The first payment by cheque will be applied as an immediate investment. Subsequent investments will be collected by monthly direct debit on your chosen date each month (or the next business day if your chosen date falls on a weekend or Public Holiday). Please note, regular annual payments cannot be made by direct debit. Annual or top-up payments must be made by cheque or bank transfer and the Adding to or Changing Your Investment form completed for any subsequent years.

Regular monthly Direct Debit collections are made on the your chosen date each month, or the first working day thereafter, and invested on the next valuation date. No interest will be paid in the interim.

IMPORTANT: CHEQUE PAYMENTS

Cheques must be made payable 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 holder's 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).

Lump sum investments can be made by direct (electronic) payment. See page 7 for full details. Please use the applicant's full name as a reference. Failure to do so will result in the payment being returned to the sender.

Summary

To avoid delays in processing your application, please ensure you have:

- Completed all relevant sections of this application form, and that you and your adviser (if appropriate) has signed all the relevant sections. ☐
- For all non-advised investors: enclosed original or certified copies of your proof of identity, address and bank account details. ☐
- Enclosed a cheque, drawn on an account in your name or in that of a third party, for a single investment or completed the Direct Payment section. ☐
- For payments from third parties (including spouses) the Gifting Process section on page 8 must be completed. ☐
- Ensured banker's drafts and building society cheques are properly endorsed. ☐
- Completed the Direct Debit section for regular monthly investments and enclosed a cheque if the next collection date is in less than 10 days of us receiving the application form. ☐
- Completed the CVI form (for advisers only). ☐
- Completed National Insurance number on page 4. ☐
- For ISA Transfers: signed page 27 and page 34. ☐

If an error is made completing this form, the investor must cross out and initial each and every amendment.

Personal Details

To be used for all individual investment applications.

PERSONAL DETAILS (PLEASE COMPLETE IN BLOCK CAPITALS)

Title (Mr/Mrs/Miss/Other)		Surname	
Middle name(s)			
Forename(s)			

PERMANENT UK ADDRESS

Address line 1	
Address line 2	
Town or city	
County	
Country	
Postcode	
E-mail address	
Daytime telephone number	
Work telephone number	
Home telephone number	
Nationality	
Gender	
Town & country of residence	
Date of birth	D D M M Y Y Y Y
Country of birth	
National Insurance number	

Please tick here if you do not have a National Insurance number ☐

Your application will not be accepted if you fail to provide either your National Insurance Number or confirmation that you do not hold one, as required under the ISA rules.

* you should be able to find your NI number on a payslip, form P45 or P60, a letter from the HM Revenue & Customs, a letter from the DWP, or pension order book.

Investment Details

Enter the amount you wish to invest and the details of the payments. Please note that the amounts should be after adviser charges have been deducted.

Single investment	£									
Regular monthly investment	£									
Tax year ending	0	5	0	4	2	0			and each subsequent tax year until further notice.
I wish to transfer in from another ISA Plan Manager†										
Direct Debit start date*	0	6			2	0				

Please indicate your method of payment for the single investment ☐ Cheque ☐ Direct payment

Is the payment for the single investment coming from a third party? ☐ Yes ☐ No

If yes then complete the 'Gifting Process' section on page 8.

IMPORTANT

Cheques must be made payable 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. 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).

Lump sum investments can be made by direct (electronic) payment. See page 7 for full details. Please use the applicant's full name as a reference. Failure to do so may result in the payment being returned to the sender.

* Please select a month and year you would like regular investments to start. Direct debit collections can be taken 1st to 28th of the month (or the next business day if your collection date falls on a weekend or Public Holiday). Direct Debits take at least 10 days to set up, so please allow enough time. Please note it is only possible to set up regular payments on a monthly basis and this cannot be paid from a business account.

† For transfer investment information, please complete pages 21-27 in full.

If you are setting up a Direct Debit, we require evidence for that account in the form of a bank statement, void cheque or paying-in slip.

Fund Selection

Fund Name	Single Investment (minimum £500)	Regular Monthly Investment (minimum £50)	Transfer Investment	R* Share Class (advised)	A† Share Class (non-advised)	
					Inc	Acc
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	£	£	%			
WS Prudential Risk Managed Active 2	£	£	%			
WS Prudential Risk Managed Active 3	£	£	%			
WS Prudential Risk Managed Active 4	£	£	%			
WS Prudential Risk Managed Active 5	£	£	%			
WS Prudential Risk Managed Passive Fund 1	£	£	%			
WS Prudential Risk Managed Passive Fund 2	£	£	%			
WS Prudential Risk Managed Passive Fund 3	£	£	%			
WS Prudential Risk Managed Passive Fund 4	£	£	%			
WS Prudential Risk Managed Passive Fund 5	£	£	%			

* Only select if advice has been provided. Please note that only Accumulation shares are available.

† Only select if no advice has been provided.

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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 'Gifting Process' section on page 8 must be completed.

Gifting Process

Full name of the person gifting the money (the "donor")	
Full address of the person gifting the money	Postcode
Relationship to the investor	
Single investment amount	£
Regular investment amount	£

Donor Declaration: I hereby confirm the details I have above are correct to the best of my knowledge and belief. Further, I hereby confirm that the monies subscribed for this application are a gift to the individual named in this application and they are the legal beneficial owner of the funds.

I understand Link Financial Investments Limited is required to undertake verification on all gifted/third party payments and will warrant and confirm all applicable due diligence, to include, but not limited to, identify and address verification documents will be presented without delay.

I agree to the regular saver amount of £ , however any requests to amend this figure should be referred back to me for further consideration.

Donor Signature

Date D D M M Y Y Y Y

IMPORTANT

The amount gifted should be the amount to be invested in the ISA and exclude any adviser charge.

The donor's details must match exactly the bank account details from which payment is being made.

Link Financial Investments Limited will treat the donor as if the donor is making the application directly. Accordingly, to meet its obligations, Link Financial Investments Limited are required to verify the identity and address of the donor.

The required verification may be undertaken by the introducing intermediary by completing a Certificate of Verification of Identity or by submitting original or certified evidence of identity and address.

The adviser may use a separate copy of the Confirmation of Verification of Identify form on page 31 of this application to use for confirmation of due diligence of the donor.

Link Financial Investments Limited reserves the right to request any additional information considered appropriate for the effective discharge of all applicable obligations under the regulatory system.

Income Information

This section is applicable to the A share class only.

Please provide information about the account that you wish to use to receive income payments.

If an income option is taken, income will be distributed as per the fund(s) payment dates. The income will be paid directly to your account by BACS. (Income is not available in accumulation share classes.)

If you do not indicate that you want income paid out to you, we will automatically reinvest your income by purchasing additional shares for you.

To the Manager	
Bank/building society	
Address	Postcode
Account holder name(s)	
Account number	
Sort code	
Building society reference/ roll number (if applicable)	

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.

This page is intentionally left blank.

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, unless we receive satisfactory confirmation that advice is being given in compliance with UK legislation and regulation and no other regimes apply.

I am;

- [ ] a new investor making a New Investment. I understand this application will be accepted only if I have received advice from a professional adviser.
- [ ] an existing investor making a New Investment into a PruFund(s) in which I am not already invested. I understand this application will be accepted only if I have received advice from a professional adviser.
- [ ] an existing investor making further investment into a PruFund(s) in which I am already invested. I understand I do not require advice from a professional adviser to make this investment.

Please tick whichever applies.

In all cases, I understand an adviser charge may apply, details of which have been provided to me by my adviser.

For transfer-in single set-up adviser charging, please complete page 16. If you want an Ongoing Adviser Charge to be applied to transfers, please complete Part C on page 14.

By signing the declaration on page 34 of this form you are:

- agreeing to this payment of the Adviser Charges documented in Parts A, B, C and/or D; 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, C and/or D if:

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

IMPORTANT

An end date must always be included in the spread of adviser charge and the number of months payments must also be completed.

How you want to pay your adviser (continued)

PART A: 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.

On each increase to the regular investment amount, a different adviser charge value and duration may be applied.

Every increase to a regular investment is classed as a separate tranche on your account for adviser charging purposes. Therefore please give details, where applicable, of each new and existing tranche in the section below.

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

£ ______ a month for ____ months on £ ______ of the regular investment amount*

£ ______ a month for ____ months on £ ______ of the regular investment amount*

OR

______ % a month for ____ months on £ ______ of the regular investment amount*

______ % a month for ____ months on £ ______ of the regular investment amount*

* Please note that the amounts should be before adviser charges have been deducted. Any % amounts paid by cheque must match the cheque amount exactly.

PART B: 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 ______ %

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How you want to pay your adviser (continued)

PART C: 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 the value of your plan.

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)

Yearly ☐ Monthly ☐ Quarterly ☐ Half-yearly ☐

Adviser Charging to commence from: D D M M Y Y Y Y *

* This date must be no sooner than 30 days from the date of investment.

If Ongoing Adviser Charges are requested as a percentage of the full value of your plan, the total amount of Ongoing Adviser Charge will automatically increase if any additional premiums are paid into the plan.

Ongoing Adviser Charges will be calculated and deducted proportionally across all eligible funds including WS Prudential Investment Funds (1) and the PruFund Funds.

Adviser use only*

Bank/building society

Address

Postcode

Account holder name(s)

Account number

Sort code

Building society reference/
roll number (if applicable)

* Details where adviser charges are to be paid.

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

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How you want to pay your adviser (continued)

PART D: TRANSFER SET-UP ADVISER CHARGE

IMPORTANT

If you do want the Ongoing Adviser Charge, please complete Part C on page 13. Please ensure each transfer is filled in separately even if they are with the same plan manager.

Transfer 1 Set-up Adviser Charge

in respect of the transfer in from ISA Plan Reference Number

Single investment set-up adviser charge payment

Complete this section if your transfer will be made as a single investment and you have agreed a charge for advice with your adviser.

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

Single payment of £ or %

Transfer 2 Set-up Adviser Charge

in respect of the transfer in from ISA Plan Reference Number

Single investment set-up adviser charge payment

Complete this section if your transfer will be made as a single investment and you have agreed a charge for advice with your adviser.

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

Single payment of £ or %

Transfer 3 Set-up Adviser Charge

in respect of the transfer in from ISA Plan Reference Number

Single investment set-up adviser charge payment

Complete this section if your transfer will be made as a single investment and you have agreed a charge for advice with your adviser.

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

Single payment of £ or %

Please state the total estimated Transfer Value £

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How you want to pay your adviser (continued)

Adviser use only*

Bank/building society	
Address	Postcode
Account holder name(s)	
Account number	
Sort code	
Building society reference/ roll number (if applicable)	

* Details where adviser charges are to be paid.

Regular Withdrawal Facility

Complete this section if you want to make a regular withdrawal from your plan.

Please specify how much you want each amount to be. For example, if you want to withdraw £100 each month (£1,200 per year) cross the monthly box and write £100 in the amount box.*

£ | | | | | | . | |

Please indicate the date and month you would like payments to commence†

0	5	M	M	Y	Y	Y	Y	or	2	0	M	M	Y	Y	Y	Y

Please indicate how often you wish to make withdrawals‡

Yearly ☐ Monthly ☐ Quarterly ☐ Half-yearly ☐

IMPORTANT

* The total value of the regular withdrawals to be taken in any 12 month period must not exceed 100% of the value of your Prudential ISA. This calculation is performed when the withdrawal is established, on its re-commencement following any suspension, or should the amount be increased.

† Due to cancellation rights, the next available start date for regular withdrawals will be 35 days from the date of investment.

‡ Please note that if you do not select a frequency, 'Monthly' will automatically be selected for you.

Regular withdrawals can be made on the 5th or 20th of the month.

Payment will be made four business days after the date of each withdrawal transaction.

Please note that you cannot elect to have a Regular Withdrawal facility if you have a Regular Investment facility and vice versa.

The minimum Regular Withdrawal is £50 on each occasion for each fund that you are invested in.

Regular withdrawals will continue for the life of the plan or until you submit an instruction for these to cease.

Regular Withdrawal Facility (continued)

Complete this section if you want to make a regular withdrawal from your investment.

Please indicate if you want:

Withdrawals to be taken proportionately across funds.
If you tick this box, you do not need to complete the remainder of this page. ☐

Withdrawals to be taken across specific funds within the product.
If you tick this box, please complete the table below. ☐

Please indicate which funds you wish to make your withdrawals from. You can only withdraw a monetary amount from the fund.

Fund Name	Inc/Acc	Amount	R* Share Class (advised)	A† Share Class (non-advised)
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		£		
WS Prudential Risk Managed Active 2		£		
WS Prudential Risk Managed Active 3		£		
WS Prudential Risk Managed Active 4		£		
WS Prudential Risk Managed Active 5		£		
WS Prudential Risk Managed Passive Fund 1		£		
WS Prudential Risk Managed Passive Fund 2		£		
WS Prudential Risk Managed Passive Fund 3		£		
WS Prudential Risk Managed Passive Fund 4		£		
WS Prudential Risk Managed Passive Fund 5		£		

IMPORTANT

* Only select if advice has been provided. Please note that only Accumulation shares are available.

† Only select if no advice has been provided.

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

Regular Withdrawal Information

Please provide information of the account that you wish to receive regular withdrawal payments.

The regular withdrawal will be paid directly to your account by BACS.

To the Manager	
Bank/building society	
Address	Postcode
Account holder name(s)	
Account number	
Sort code	
Building society reference/ roll number (if applicable)	

For us to make payment by electronic transfer, you must provide us with an original void cheque* or bank statement (dated within the last three months). If the bank statement is printed in the branch it must be correctly certified with the following: the full name and position of the bank employee, signature and contact telephone number to enable us to verify them. We will only return original bank statements to you. Original void cheques and certified copy documents will be retained for our sole record-keeping purpose.

* To void a cheque please cross through and write 'void' across the cheque. Please note that this only applies if your adviser has not ticked the box on page 27 to indicate that the bank details have been verified.

Failure to provide ownership of bank account evidence may delay in the payment(s) of your regular withdrawal request.

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Transfer in 1

If you require more than three sections for Transfer Authority details, please photocopy this page prior to completion.

Is this a Cash ISA Transfer? (If yes, please tick this box.): ☐

IMPORTANT

Any current tax year contributions can only be transferred in full.

Previous tax year contributions can be transferred as a proportion of the total amount invested with that ISA Manager.

Please complete a new transfer form for each separate transferring policy. Please refer to pages 12, 13 and 14 for Adviser charging.

TRANSFER AUTHORITY (TO BE COMPLETED BY THE ISA INVESTOR)

Details can be continued on a separate sheet if necessary.

To the existing ISA Manager

Address (in full)

Postcode

ISA Plan Reference

Tick if you wish to transfer Current Tax Year

Current tax year 100%

ISA Plan Reference

Tick if you wish to transfer Previous Tax Year

Previous tax year %

or

Previous Tax Year Transfer Amount £

Date of birth D D M M Y Y Y Y

National Insurance number

I authorise my existing ISA Manager (as specified above) to transfer the ISA (account number above) to Link Financial Investments Limited.

I authorise my existing ISA Manager to provide Link Financial Investments Limited with any information, written or non-written, concerning the ISA and to accept any instructions from them relating to the ISA being transferred.

Details of any sub-accounts must be clearly disclosed, with any corresponding withdrawal forms required by the ceding manager provided to us.

Link Financial Investments Limited will not be liable for any errors or omissions where disclosures are not made or withdrawal forms are not provided.

Transfer in 1 (continued)

Where a period of notice is required for closure/part transfer of the existing ISA, 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.

Name ______________________ Signature ______________________

Date D D M M Y Y Y Y

IMPORTANT

You must sign and date this form. Failure to do so may result in the transfer request being rejected by your existing ISA Manager.

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Transfer in 2

If you require more than three sections for Transfer Authority details, please photocopy this page prior to completion.

Is this a Cash ISA Transfer? (If yes, please tick this box.): ☐

IMPORTANT

Any current tax year contributions can only be transferred in full.

Previous tax year contributions can be transferred as a proportion of the total amount invested with that ISA Manager.

Please complete a new transfer form for each separate transferring policy. Please refer to pages 12, 13, 14, 15 and 16 for Adviser charging.

TRANSFER AUTHORITY (TO BE COMPLETED BY THE ISA INVESTOR)

Details can be continued on a separate sheet if necessary.

To the existing ISA Manager

Address (in full)

Postcode

ISA Plan Reference	Tick if you wish to transfer Current Tax Year	Current tax year
	☐	100%

ISA Plan Reference	Tick if you wish to transfer Previous Tax Year	Previous tax year	or	Previous Tax Year Transfer Amount
	☐	%		£

Date of birth D D M M Y Y Y Y National Insurance number

I authorise my existing ISA Manager (as specified above) to transfer the ISA (account number above) to Link Financial Investments Limited.

I authorise my existing ISA Manager to provide Link Financial Investments Limited with any information, written or non-written, concerning the ISA and to accept any instructions from them relating to the ISA being transferred.

Details of any sub-accounts must be clearly disclosed, with any corresponding withdrawal forms required by the ceding manager provided to us.

Link Financial Investments Limited will not be liable for any errors or omissions where disclosures are not made or withdrawal forms are not provided.

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Transfer in 2 (continued)

Where a period of notice is required for closure/part transfer of the existing ISA, 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.

Name ______________________ Signature ______________________

Date D D M M Y Y Y Y

IMPORTANT

You must sign and date this form. Failure to do so may result in the transfer request being rejected by your existing ISA Manager.

Transfer in 3

If you require more than three sections for Transfer Authority details, please photocopy this page prior to completion.

Is this a Cash ISA Transfer? (If yes, please tick this box.): ☐

IMPORTANT

Any current tax year contributions can only be transferred in full.

Previous tax year contributions can be transferred as a proportion of the total amount invested with that ISA Manager.

Please complete a new transfer form for each separate transferring policy. Please refer to pages 13, 14, 15 and 16 for Adviser charging.

TRANSFER AUTHORITY (TO BE COMPLETED BY THE ISA INVESTOR)

Details can be continued on a separate sheet if necessary.

To the existing ISA Manager

Address (in full)

Postcode

ISA Plan Reference	Tick if you wish to transfer Current Tax Year	Current tax year
	☐	100%

ISA Plan Reference	Tick if you wish to transfer Previous Tax Year	Previous tax year	or	Previous Tax Year Transfer Amount
	☐	%		£

Date of birth D D M M Y Y Y Y National Insurance number

I authorise my existing ISA Manager (as specified above) to transfer the ISA (account number above) to Link Financial Investments Limited.

I authorise my existing ISA Manager to provide Link Financial Investments Limited with any information, written or non-written, concerning the ISA and to accept any instructions from them relating to the ISA being transferred.

Details of any sub-accounts must be clearly disclosed, with any corresponding withdrawal forms required by the ceding manager provided to us.

Link Financial Investments Limited will not be liable for any errors or omissions where disclosures are not made or withdrawal forms are not provided.

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Transfer in 3 (continued)

Where a period of notice is required for closure/part transfer of the existing ISA, 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.

Name ____________ Signature ____________

Date D D M M Y Y Y Y

IMPORTANT

You must sign and date this form. Failure to do so may result in the transfer request being rejected by your existing ISA Manager.

ISA Transfer Declaration & Authorisation

I agree that:

- this application is subject to acceptance by the current ISA Manager;
- I will inform you of any changes in my circumstances;
- I acknowledge and agree that the Terms and Conditions form a legal contract that is binding on me. I accept that they may be varied at Link Financial Investments Limited's discretion, as provided herein;
- I confirm that I have received, read and understood or had satisfactorily explained the information contained in this form and the Key Investor Information Document, or the Key Information Document and Prudential ISA costs and charges disclosure as applicable, that 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; and
- 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.
- I confirm that I have taken advice in respect of any New or Initial Investments, and for New Investments, I confirm 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 New Investments, I understand that this application will be accepted only if I have received advice from a professional financial adviser.
- If any adviser charges are to be facilitated by Link, I am a UK resident for tax purposes. or that I have provided, or will provide confirmation satisfactory to Link Financial Investments Limited that advise is being given in compliance with UK legislation and regulation and no other regimes apply.

I authorise Link Financial Investments Limited:

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

Full Name

Signature

Date D D M M Y Y Y Y

IMPORTANT
Please also sign the ISA Application & Investor Declaration on page 34.

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Adviser's Declaration

Please ensure you have completed this box.

If you have NOT given advice in respect of this investment, please tick here ☐. Otherwise we will assume that advice has been given.

I accept that this application is governed by Link Financial Investments Limited Terms of Business, a copy of which has been or will be supplied to me.

I hereby indemnify Link Financial Investments Limited for any loss suffered should it subsequently be discovered that the applicant was entitled to cancellation rights and no cancellation notice was sent as a result of the undernoted.

I confirm that the applicant named in this application is entitled to cancellation rights under the Conduct of Business (Cancellation) Rules.

I confirm that I have provided advice in respect of any New or Initial Investments, and for New Investments, I confirm 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".

If any adviser charges are to be facilitated and the client is non UK resident, I confirm that any advice given is in accordance with UK legislation and regulation and that no other regimes apply ☐

I confirm that I have completed the Confirmation of Verification of Identity Certificate (CVI)*. ☐
*Please note this must carry an original signature.

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

I confirm that the financial details provided on page 7 were obtained and verified by me in relation to the applicant and the donor (where applicable). ☐

Based on the knowledge I/we have gained of the customer I/we have: Tick one box only

- no reason to believe that the tax residency self-certification requires any follow up action ☐
- reason to believe that the tax residency self-certification requires follow up action ☐

If follow up action is required, please indicate why

Adviser's name		Telephone	
Company name and address		Mobile	
		Fax	
		E-mail	

Firm Reference Number (FRN)†

(for example: 123456)

Individual Reference Number (IRN)†

(for example: ABD123456)

If you are affiliated with an advisory firm or network please use the firm or network's FRN when completing the FRN field and confirm your Individual FRN in the IRN field to ensure payment services are correct on submission of the application.

Adviser's Declaration *continued*

Company bank details (please complete only if this information has not been provided previously)

Bank/building society	
Address	
Account holder name(s)	
Account number	
Sort code	
Building society reference/ roll number (if applicable)	

IMPORTANT

† If you require any guidance for FRN and IRN, please visit the FCA register at www.fca.org.uk.

The adviser must send in a verification of identity form, or complete the Confirmation of Verification of Identity on page 30, along with this application to ensure no delays are encountered when carrying out future transactions.

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

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Confirmation of Verification of Identity – Private individual/Donor (please delete as appropriate)

INTRODUCTION BY A FINANCIAL CONDUCT AUTHORITY REGULATED FIRM – SEE EXPLANATORY NOTES BELOW

Surname:

Other names in full:

Current address:

Postcode

Previous address
(if individual has changed address in the last three months):

Postcode

Date of birth D D M M Y Y Y Y

CONFIRMATION

I/We confirm that:

a) anti-money laundering/counter terrorist financing verification has been satisfied in accordance with UK legislation and:

Tick one box only

- meets the standard evidence set out within the guidance for the UK Financial Sector issued by the Joint Money Laundering Steering Group ("JMLSG"); or ☐
- exceeds the standard evidence (written details of the further verification evidence taken are attached to this confirmation). ☐

b) based on your knowledge and due diligence undertaken on the customer you confirm:

Tick one box only

- he/she is a Politically Exposed Person as defined within JMLSG; or ☐
- he/she is not a Politically Exposed Person as defined within JMLSG ☐

Tick one box only

- he/she is a known close associate of a PEP ☐
- he/she is not a known close associate of a PEP ☐

If the customer is a known close associate of a PEP, please indicate the individual(s) they are linked to:

Furthermore, I confirm that on reasonable request by Link Financial Investments Limited, I will provide copies of all evidence gathered to meet such requirements and agree to assist in enhanced due diligence where necessary.

Adviser name:

Position:

Adviser signature:

Date: D D M M Y Y Y Y

DETAILS OF INTRODUCING FIRM (OR SOLE TRADER)

Full name of regulated firm (or sole trader):

Financial Conduct Authority Reference Number:

EXPLANATORY NOTES

1. Where a third party is involved, i.e. a payer of contributions who is different from the customer, the identity of that person must also be verified and a Confirmation of Verification of Identity provided.

2. 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 whose identity has not been verified by virtue of the application of a permitted exemption under the Money Laundering Regulations; or
- those whose identity has been verified using the source of funds evidence.

3. This confirmation must carry an original signature of the adviser.

4. Ensure that the details for a Private individual match exactly with the applicant details on page 4.

IMPORTANT

Please ensure you complete the Adviser's Declaration on pages 28 and 29.

If payment is drawn on a third party (the 'donor') this form may be used to provide confirmation of verification of identity for the donor. Please delete as appropriate above.

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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: Where necessary, in order to provide our services to you, we will disclose your personal information (including account/transaction details) to related third parties, including the investment manager or sponsor in accordance with our privacy policy – https://www.fundsolutions.net/privacy-notice/.

Permission to deal with your professional adviser: Please tick the box below to indicate that you wish for us to send copies of your statements to your professional adviser:

Yes I do wish to have copies of my statements sent to my professional adviser. ☐

(Please Note – if you do not tick the box above your application will be processed on the basis that you do not wish to have information about your investment sent to your professional adviser.)

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 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.

I confirm that I have taken advice in respect of any New or Initial Investments, and for New Investments, I confirm 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 New Investments, I understand that this application will be accepted only if I have received advice from a professional financial adviser.

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;
- If any adviser charges are to be facilitated by us, I am a UK resident for tax purposes, or that I have provided, or will provide confirmation satisfactory to Link Financial Investments Limited that advice is being given in compliance with UK legislation and regulation and no other regimes apply;
- 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 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;
- I confirm that I have taken advice in respect of any New or Initial Investments, and for New Investments, I confirm 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"; and that I understand that, for new investments, this application will be accepted only if I have received advice from a professional financial adviser.
- 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;
- to make on my behalf any claims to relief from tax in respect of ISA investments; and
- where I have instructed you to make such payments, to pay charges to my adviser via deduction from my initial investment, or by encashment of the holdings needed to facilitate such payments.

I confirm that the financial details provided on page 7 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.

Link Financial Investments Limited (LFIL) is authorised and regulated by the Financial Conduct Authority. Registered Office: 6th Floor, 65 Gresham Street, London EC2V 7NQ. Telephone 0344 335 8936. Calls may be monitored and/or recorded to protect both you and us and help us with our training. Registered in England and Wales with registered no. 02823982