FundsNetwork™

The FundsNetwork Pension

Application form

Please complete the form in BLOCK CAPITALS using black ink.

What is this form for?

You should use this form to take out a FundsNetwork Pension for the first time. Both you and your adviser are required to complete this form. Your adviser will advise you if you are eligible for this product and what options are most suitable for you.

Sections

1 About you

2 Contributions

3 Transfers

4 Investment choices

5 Adviser details

6 Expression of wish

7 Declaration

Check list

Please enter the applicant's name

Before submitting this form, mark an X in the relevant boxes below:

☐ **I have enclosed a cheque, with the application form, payable to FundsNetwork.** Please indicate the amount of the cheque and ensure that your payment is made separate to any other investment product you are applying for with FundsNetwork.

£ ☐☐☐☐☐☐ • ☐☐

☐ I have completed all the relevant sections

☐ I have read through all the declarations and signed where necessary

☐ I have read the Key Features Document, Terms & Conditions and the relevant Key Investor Information Documents (KIIDs) or Fund Specific Information (FSI)

☐ I am a resident in the UK for tax purposes or am a Crown Servant performing duties abroad, or married to or in a civil partnership with a Crown Servant

Please send your completed application form to:

FundsNetwork
PO Box 80
Tonbridge
TN11 9YA

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1 About you

1.1 Title

☐ Mr ☐ Mrs ☐ Ms ☐ Other:

1.2 Surname

1.3 First and other names in full

1.4 Gender

☐ Male ☐ Female

1.5 Date of Birth

1.6 Employment status

☐ Employed ☐ Self-employed ☐ Unemployed ☐ Full time education

☐ Pensioner ☐ Caring for children under 16 ☐ Other – please specify below

1.7 Do you have a National Insurance number? You can find this on a payslip or a letter from HMRC or DWP.

☐ No ☐ Yes –

1.8 Phone numbers

Home

Mobile

1.9 Email

1.10 What is your selected retirement age?

1.11 Your address. 'Care of' and PO Box are not acceptable.

House number/name

Street, city, county and country

Postcode

1.12 Are you an existing customer with FundsNetwork?

☐ No ☐ Yes – please give us your account number or client reference number (CRN)

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2 Contributions

2.1 Your contributions

Due to regulatory requirements we must obtain information about the source of your contributions before we can accept your application.

2.1.1 How did you acquire the money you are investing?

- ☐ Salary/bonus
- ☐ Divorce settlement
- ☐ Lottery/betting win
- ☐ Sale of investments
- ☐ Other – please specify: ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

2.2 Single contributions

2.2.1 Do you want to make a single contribution?

The total minimum single contribution for the FundsNetwork Pension is £1,000 gross

☐ No – go to section 2.3 ☐ Yes – what is the amount? £ ☐☐☐☐☐☐ • ☐☐ Net

2.2.2 How would you like to pay for this?

☐ Cheque/banker's draft – must be made payable to FundsNetwork from your personal or joint account as third party payments are not accepted. For a building society cheque or banker's draft please also ensure that the bank/building society enters your name and address on the reverse of the cheque/draft and adds their stamp.

OR

☐ Bank transfer – please use the following details:

Bank:	**BARCLAYS BANK PLC**	Account number:	**63645614**
Account name:	**FINANCIAL ADMINISTRATION SERVICES LIMITED RE FUNDSNETWORK PENSION CLIENT DEPOSIT ACCOUNT**	Sort code:	**20-88-13**
Reference:	**IMPORTANT: Please ensure you provide your National Insurance number as the 'payment reference' when submitting your payment electronically**		

2.3 Regular contributions

2.3.1 Do you want to make regular contributions?

☐ No – go to section 2.4

The total minimum regular contribution for the FundsNetwork Pension is £200 gross per month or £2,400 gross per annum

☐ Yes – please enter the NET amount you want to pay into your account. This is the amount that will be deducted from your bank account £ ☐☐☐☐☐ • ☐☐ Net

2.3.2 What frequency do you wish to make your contributions?

☐ Monthly **OR** ☐ Yearly

We will collect your first regular contribution on the next available collection date and monthly or yearly thereafter. Collections are made on the 10th of each month.

2.3.3 Would you like your regular monthly contributions to increase automatically each year?

☐ No ☐ Yes – choose a percentage between 1% and 10% of your previous year's contributions: ☐☐ %

Please complete the Direct Debit Instruction on the next page.

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If more than one regular contribution is being made, for example, personal and employer, please copy this form and submit both direct debit instructions.

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 to:

FundsNetwork
PO Box 80
Tonbridge
TN11 9YA

Service User Number

4	3	9	2	4	1

Name(s) of account holder(s)

Reference

Instruction to your bank or building society
Please pay Financial Administration Services Ltd 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 Financial Administration Services Ltd 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

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

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2 Contributions (continued)

2.4 Employer contributions

2.4.1 Employer's name

2.4.2 Employer's registered address. 'Care of' and PO Box are not acceptable.

Building number/name

Street, city, county and country

Postcode

2.4.3 Company registration number

2.5 Employer single contributions

2.5.1 Does your employer want to make a single contribution?

The total minimum single contribution for the FundsNetwork Pension is £1,000 gross

☐ No – go to section 2.6 ☐ Yes – what is the amount? £ •

2.5.2 How would your employer like to pay for this?

☐ Cheque – must be payable to FundsNetwork from your employer's account.

OR

☐ Bank transfer – please use the following details:

Bank:	**BARCLAYS BANK PLC**	Account number:	**63645614**
Account name:	**FINANCIAL ADMINISTRATION SERVICES LIMITED RE FUNDSNETWORK PENSION CLIENT DEPOSIT ACCOUNT**	Sort code:	**20-88-13**
Reference:	**IMPORTANT: Please ensure your employer provides your National Insurance number as the 'payment reference' when submitting the payment electronically**		

2.6 Regular contributions

2.6.1 Does your employer want to make regular contributions?

☐ No – go to section 2.7

☐ Yes – please enter the amount they want to pay into your account.
This is the amount that will be deducted from your employer's bank account £ •

2.6.2 What frequency does your employer wish to make contributions?

☐ Monthly **OR** ☐ Yearly

We will collect the first regular contribution on the next available collection date and monthly or yearly thereafter.
Collections are made on the 10th of each month.

Please ask your employer to complete a Direct Debit Instruction and an Employer record of payments due form.

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2 Contributions (continued)

2.7 Third party contributions

2.7.1 Full name of the third party

2.7.2 Address of the third party (For identity verification purposes) 'Care of' and PO Box are not acceptable.

Building number/name

Street, city, county and country

Postcode

2.8 Single contributions

2.8.1 Does the third party want to make a single contribution?

The total minimum single contribution for the FundsNetwork Pension is £1,000 gross

☐ No – go to section 2.9 ☐ Yes – what is the amount? £ • Net

2.8.2 How would the third party like to pay for this?

☐ Cheque/banker's draft – must be made payable to FundsNetwork from their personal or joint account. For building society cheques or banker's drafts please also ensure that the bank/building society enters the name and address of the third party on the reverse of the cheque/draft and adds their stamp.

OR

☐ Bank transfer – please use the following details:

Bank:	**BARCLAYS BANK PLC**	Account number:	**63645614**
Account name:	**FINANCIAL ADMINISTRATION SERVICES LIMITED RE FUNDSNETWORK PENSION CLIENT DEPOSIT ACCOUNT**	Sort code:	**20-88-13**
Reference:	**IMPORTANT: Please ensure they provide your National Insurance number as the 'payment reference' when submitting the payment electronically**		

2.9 Regular contributions

2.9.1 Does the third party want to make regular contributions?

☐ No – go to section 3

☐ Yes – please enter the NET amount you want to pay into your account.
This is the amount that will be deducted from your third party's' bank account £ • Net

2.9.2 What frequency does the third party wish to make contributions?

☐ Monthly **OR** ☐ Yearly

We will collect your first regular contribution on the next available collection date and monthly or yearly thereafter.
Collections are made on the 10th of each month.

Please ask the third party to complete the Direct Debit Instruction

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3 Transfers

You can transfer other pension arrangements by cash or a process called re-registration. Your adviser can explain both these processes to you.

3.1 Are you transferring any of your other pension arrangements?

No – go to section 4

3.2 Transfer scheme 1

3.2.1 Please indicate which type of transfer is being made.

☐ Cash transfer ☐ Re-registration transfer

Re-registration allows you to transfer your existing pension assets without cashing them in. This is only possible if your existing funds share classes are offered within the product. You can only hold clean share classes in the FundsNetwork Pension and your adviser will be able to tell you if re-registration is possible for you.

3.2.2 Policy reference

3.2.3 Is this a block transfer? (A block transfer is from a single scheme which is made of a single transaction for more than one member of the same scheme)

☐ No ☐ Yes

3.2.4 Which type of pension scheme do you wish to transfer (e.g. stakeholder)?

3.2.5 What is the estimated transfer value?

£ •

3.2.6 The scheme name from which you wish to transfer

3.2.7 Name of pension administrator

3.2.8 Address of pension administrator

Building number/name

Street, city, county and country

Postcode

3.2.9 Telephone number of pension administrator

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3.3 Transfer scheme 2

3.3.1 Please indicate which type of transfer is being made.

☐ Cash transfer ☐ Re-registration transfer

Re-registration allows you to transfer your existing pension assets without cashing them in. This is only possible if your existing funds share classes are offered within the product. You can only hold clean share classes in the FundsNetwork Pension and your adviser will be able to tell you if re-registration is possible for you.

3.3.2 Policy reference

3.3.3 Is this a block transfer? (A block transfer is from a single scheme which is made of a single transaction for more than one member of the same scheme)

☐ No ☐ Yes

3.3.4 Which type of pension scheme do you wish to transfer (e.g. stakeholder)?

3.3.5 What is the estimated transfer value?

£ •

3.3.6 The scheme name from which you wish to transfer

3.3.7 Name of pension administrator

3.3.8 Address of pension administrator

Building number/name

Street, city, county and country

Postcode

3.3.9 Telephone number of pension administrator

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3.4 Transfer scheme 3

3.4.1 Please indicate which type of transfer is being made.

☐ Cash transfer ☐ Re-registration transfer

Re-registration allows you to transfer your existing pension assets without cashing them in. This is only possible if your existing funds share classes are offered within the product. You can only hold clean share classes in the FundsNetwork Pension and your adviser will be able to tell you if re-registration is possible for you.

3.4.2 Policy reference

3.4.3 Is this a block transfer? (A block transfer is from a single scheme which is made of a single transaction for more than one member of the same scheme)

☐ No ☐ Yes

3.4.4 Which type of pension scheme do you wish to transfer (e.g. stakeholder)?

3.4.5 What is the estimated transfer value?

£ •

3.4.6 The scheme name from which you wish to transfer

3.4.7 Name of pension administrator

3.4.8 Address of pension administrator

Building number/name

Street, city, county and country

Postcode

3.4.9 Telephone number of pension administrator

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3.5 Declaration and signature for transfers

In relation to my transfer application to the FundsNetwork Pension, I declare that:

- I have read the documents relating to the FundsNetwork Pension and I understand that this transfer will be bound by the Rules (as this term is defined in the FundsNetwork Pension Terms & Conditions).
- I authorise the current provider(s) to release all necessary information to FundsNetwork to enable the transfer of funds to the FundsNetwork Pension.
- I authorise and instruct the current provider(s) to transfer funds from the plans listed in this application directly to Financial Administration Services Limited. Where the current provider(s) has asked me to provide any original policy document(s) in return for the transfer of funds and I am unable to do so, I promise to accept responsibility for any claims, losses and expenses of any nature which the current provider(s) may incur as a result of having made the transfer(s) listed in this application.
- Where I have requested a re-registration, I authorise and instruct the current provider(s) to re-register the assets from the plan(s) to Financial Administration Services Limited. I authorise the current provider(s) to sell and transfer in cash any assets which cannot be so re-registered or held by FundsNetwork.
- If an employer is paying contributions to any of the plans as listed in this application, I authorise the current provider(s) to release to that employer any relevant information in connection with the transfer of funds from the relevant plan(s). Until this application is accepted and complete, FundsNetwork's responsibility is limited to the return of the total payment(s) to the current provider(s).
- Where the payment(s) made to FundsNetwork represents all of the funds under the plan(s) listed in this application, then payment made as requested will discharge the current provider(s) of all claims and responsibilities in respect of the plan(s) listed.
- Where the payment(s) made to FundsNetwork represents part of the funds under the plan(s) listed in this application, then the current provider(s) will be discharged of all claims and responsibilities only in respect of the part of the plan(s) represented by the payment(s).
- I promise to accept responsibility in respect of any claims, losses and expenses that FundsNetwork and the current provider(s) may incur as a result of any incorrect information provided by me in this application or of any failure on my part to comply with any aspect of this application.
- I confirm that, where I am transferring contracted out benefits, I wish to transfer these from the current provider(s) to Financial Administration Services Limited.

Your signature

By signing here I confirm I have read and completed all relevant sections as per the instructions on this form. (If you are transferring funds from another pension, you must sign here and in section 7.)

Date

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4 Investment choices

We will follow your investment instructions below but where we cannot arrange this we will place your money in the FundsNetwork Pension cash account.

Re-registration

Investments within my existing pension plan(s) are being re-registered ☐

Other investment choices

Please invest my contributions and any cash transfers into the following funds:

Fund code	Fund name	Percentage
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
		%
	Amount to be invested in the FundsNetwork Pension cash account	%
	Totals should add up to 100%	100 %

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5 Adviser details (this section should be completed by your adviser)

5.1 Full name of the adviser

5.2 Unique adviser number **Consultant ID**

5.3 FCA firm reference number **FCA individual reference number**

I confirm that I am authorised to conduct this type of business ☐

I confirm that I have formally recommended my client to take out a FundsNetwork Pension ☐

Where my client is transferring other pension(s), I confirm that I have established it is suitable for my client to transfer the schemes listed in section 3 ☐

I confirm and consent to your reliance upon the fact, that I have verified the identity of the client named in section 1 in accordance with the Money Laundering Regulations and standards set in Guidance issued by the JMLSG. ☐

I confirm I have provided my client with the FundsNetwork Pension Key Features Document, Terms & Conditions and the relevant Key Investor Information Documents and Fund Specific Information. ☐

5.4 Adviser remuneration

Contribution type	Initial fees	Ongoing Fee
Regular contributions	☐ • ☐☐ % or £ ☐☐☐☐ • ☐☐	☐ • ☐☐ % or £ ☐☐☐☐ • ☐☐
Single contributions	☐ • ☐☐ % or £ ☐☐☐☐ • ☐☐	The Ongoing Fee will apply to the whole FundsNetwork Pension account.
Cash transfers	☐ • ☐☐ % or £ ☐☐☐☐ • ☐☐	
Re-registration transfers	Initial fees are not available for re-registration transfers	

Would you like to nominate a fund to pay fees if there is an insufficient balance in the FundsNetwork Pension cash account?

☐ No ☐ Yes **Fund code** **Fund name**

Deducting Adviser Charges:

All fees will be deducted from your client's FundsNetwork Pension cash account. If there is an insufficient balance, we will sell units from a nominated fund (if chosen) or the largest fund holding.

Company Stamp

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6 Expression of wish

In the event of your death your FundsNetwork Pension will usually provide benefits. Please use this section to nominate beneficiaries you would like us to consider when exercising our discretion as to whom any benefits will be paid. If you would like to nominate more than four beneficiaries please use a separate piece of paper to give us their details.

6.1 Beneficiary 1

6.1.1 Title

☐ Mr ☐ Mrs ☐ Ms ☐ Other:

6.1.2 Full name

6.1.3 Relationship to you

Percentage (if you are naming more than one beneficiary the percentages must equal 100%)

. %

6.2 Beneficiary 2

6.2.1 Title

☐ Mr ☐ Mrs ☐ Ms ☐ Other:

6.2.2 Full name

6.2.3 Relationship to you

Percentage (if you are naming more than one beneficiary the percentages must equal 100%)

. %

6.3 Beneficiary 3

6.3.1 Title

☐ Mr ☐ Mrs ☐ Ms ☐ Other:

6.3.2 Full name

6.3.3 Relationship to you

Percentage (if you are naming more than one beneficiary the percentages must equal 100%)

. %

6.4 Beneficiary 4

6.4.1 Title

☐ Mr ☐ Mrs ☐ Ms ☐ Other:

6.4.2 Full name

6.4.3 Relationship to you

Percentage (if you are naming more than one beneficiary the percentages must equal 100%)

. %

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7 Declaration

Have you opted out of an occupational pension scheme or are you planning to opt out of an occupational pension scheme in favour of making payments to the FundsNetwork Pension? ☐ Yes ☐ No

In relation to my application for the FundsNetwork Pension, I declare that:

- My adviser has provided me with copies of the FundsNetwork Pension Terms & Conditions, Key Features Document and Key Investor Information Documents (KIID) or Fund Specific Information to read, and I acknowledge that I have read these documents and will be bound by them (as may be amended from time to time) in the event of my application being successful.
- I agree to pay my adviser an Initial Fee and/or an Ongoing Fee, if applicable, as stated on this application form and in accordance with the FundsNetwork Pension Terms & Conditions. For all fees I instruct FundsNetwork to deduct monies from the FundsNetwork Pension cash account or sell unit/shares from either a nominated fund or my largest fund holding to pay the fees. I understand that these fees will become irrevocably due and payable immediately on receipt of the monies by FundsNetwork and that FundsNetwork will then hold this money as agent of my adviser. I confirm that I have received a personalised illustration that shows the effect of the fees agreed on my investment.
- I agree to pay all the charges related to the FundsNetwork Pension as set out on the FundsNetwork Pension Key Features Document.
- I confirm that the information I have provided on the application, and any other documents completed in connection with this application, is correct, complete and not misleading.
- I understand that with regard to my expression of wish, the administrator is not bound by my wishes and that I may change my mind at any time by completing a new expression of wish instruction.
- I confirm that I will not request the withdrawal of monies held in my FundsNetwork Pension Account to provide benefits for me or any income or distribution earned on those monies, other than in accordance with the Rules (as this term is defined in the FundsNetwork Pension Terms & Conditions).
- I confirm that any penalty or tax charge arising as a result of an unauthorised payment being made, except as a result of an error or omission on the part of FundsNetwork in its capacity as the Scheme Administrator can be deducted from my FundsNetwork Pension Account and paid to the Revenue. If there are insufficient funds in my FundsNetwork Pension Account to cover this amount, I agree to pay the Scheme Administrator the balance of the penalty and/or tax charge.
- If contributions are to be paid:

  a) I am under age 75 and a relevant UK individual under Section 189 of Finance Act 2004 and not a US person

  b) The total of the member contributions paid to my FundsNetwork Pension and to other registered pension schemes, on which I am entitled to tax relief, under Section 188 of Finance Act 2004, will not exceed, in any tax year, the higher of:
     - The basic amount (£3,600 gross in the 2013/14 tax year); or
     - 100% of my relevant UK earnings (as defined in Section 189 of Finance Act 2004 in the tax year);

  c) the declaration in b) is correct, to the best of my knowledge and belief

  d) I will give notice to the Scheme Administrator if an event occurs, as a result of which I will no longer be entitled to tax relief on my contributions, under section 188 of Finance Act 2004. I will give this notice by the later of:
     - end of the tax year in which the event occurs; and
     - 30 days of the event
- I confirm that I have read the data protection statement set out in the FundsNetwork Pension Terms & Conditions and agree that my personal data (including any sensitive data) may be used for the purposes described (subject to me exercising my right not to be contacted with details of other products and services).
- To comply with Money Laundering Regulations, we may need to request additional evidence of identity from you and anyone else who is providing funds on your behalf and we may use a credit reference agency for this purpose (who will record that an enquiry has been made).

Your signature

By signing here I confirm I have read and completed all relevant sections as per the instructions on this form.

Date

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Important: A Direct Debit Guarantee should be retained by the relevant 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, Financial Administration Services Ltd will notify you ten working days in advance of your account being debited or as otherwise agreed. If you request Financial Administration Services Ltd 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 Financial Administration Services Ltd 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 Financial Administration Services Ltd 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.

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