

Transfer In Form

SECTION A - To be completed by the Client.

SECTION B - To be completed by the Scheme Administrator/Operator/Trustees of the Transferring Scheme.

The Wealthtime Self Invested Pension Plan is a registered pension scheme for the purposes of Part 4 of the Finance Act 2004, under Pension Scheme Tax Reference 00693331RF.

Wealthtime is not an annuity provider, and does not provide benefits in the form of a Scheme Pension.

Section A - To be completed by the Client

A1 Client Details

Title

Mr Mrs Ms Miss

Other If 'Other' please state

Forename(s)

Surname

Date of Birth

National Insurance Number

I wish to transfer my entitlement to benefits from the following pension scheme to the Wealthtime Self Invested Pension Plan administered by Wealthtime.

Please note that for all Pension Transfers, whatever the value, Wealthtime will require advice recommending the transfer to be obtained from a financial adviser qualified to advise on such transfers in accordance with the requirements of the Financial Conduct Authority. A copy of this advice may need to be supplied to Wealthtime.

I confirm I have received such financial advice in connection with this transfer.

Please tick box to confirm

Financial Adviser Firm Name

FCA Authorisation Number

Financial Adviser Name

Type of pension scheme

(e.g. Personal Pension, Section 32, AVC, Occupational Defined Benefit, Occupational Defined Contribution, SIPP)

Full name of transferring scheme

Policy number(s) or Reference number(s)

HM Revenue & Customs reference number (if known)

Address of transferring scheme

Postcode

Contact name

Is the transfer payment from an arrangement under which you are not an original member?

Yes No

If 'Yes' is the transfer payment Pension Credit Rights?

If 'Yes' is there any Pension Commencement Lump Sum available?

Yes No

Are the funds being transferred

Already fully crystallised

Partially crystallised

Uncrystallised

Estimated uncrystallised* value (£)

Estimated crystallised* value (£)

* The part of the fund on which you have drawn benefits is known as the crystallised part and the part on which you have not drawn benefits is the uncrystallised part.

Please tick the appropriate box to indicate whether the crystallised part is in:

Capped Drawdown Flexi-access Drawdown

Does this represent the full value of the Scheme being transferred?

Yes No

If both uncrystallised and crystallised pension arrangements are to be transferred we will open a SIPP arrangement for you for your uncrystallised funds and an Income Transfer Plan (ITP) arrangement for your crystallised funds. Both parts will be held under the same Plan.

Are any assets to be re-registered into the SIPP as part of an in specie transfer value?

Yes No

If 'Yes' Wealthtime will require a current valuation from the transferring scheme and a list of assets including asset/unit holding, price and value. Wealthtime will then confirm which assets can be re-registered. If you send this information with this Form then this could speed up the transfer process.

Some providers will insist on receipt of their own completed Discharge Forms which you can obtain from your existing pension provider. Alternatively, Wealthtime is a user of the Origo Options Transfer Service and if your existing pension provider is also a user of this service then we will not require a completed Discharge Form.

A2 Cancellation Rights

You will have 30 calendar days during which you have the right to change your mind by sending the cancellation notice back to Wealthtime. If you choose to cancel the transfer under the terms of the cancellation rights, we will transfer any monies received in respect of the transfer, to the pension provider chosen by you less any fall in investment value. If the value of your investments has fallen at the time they are sold by your Financial Adviser, the amount repaid may be less than the amount originally transferred in.

A3 Client Declaration

A) To Wealthtime

I hereby consent to Wealthtime requesting the transfer of my entitlement to benefits from the above named scheme, and for Wealthtime to obtain relevant details from this scheme.

I accept that the benefits to be provided by the receiving scheme may be in a different form and of a different amount to those which would have been payable by the transferring scheme, and there is no statutory requirement on the receiving scheme to provide for survivor's benefits out of the transfer payment.

I understand any enhanced protection will be lost if the transfer is not a 'permitted transfer', as defined by HM Revenue & Customs legislation.

I understand that any entitlement to take lump sum rights in excess of 25% may only be retained on transfer, provided the transfer is part of a block transfer as defined by HM Revenue & Customs legislation. However, I understand that if this lump sum figure is over £375,000 and I have Enhanced or Primary Protection the lump sum on these certificates will take precedence.

I understand that any low retirement age may only be retained on transfer if it is part of a block transfer as defined by HM Revenue & Customs legislation.

I understand that Wealthtime will not pay any benefits on the funds that are transferred until all relevant transfer information has been received.

I promise to accept responsibility in respect of any claims, losses and expenses that Wealthtime and the transferring 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 understand it is a serious offence to make false statements and that the penalties are severe and could lead to prosecution.

B) To the Current Provider

I authorise and instruct you to transfer the funds referred to in this SIPP Transfer In Form directly to Wealthtime. Where you have asked me to give you any original policy documents 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 you may incur as a result of having made the transfer(s) specified above.

I authorise you to release all necessary information to Wealthtime to enable the transfer of funds to Wealthtime. I authorise you to obtain from and release to the financial adviser named in this application any additional information that may be required to enable the transfer of funds.

If an employer is paying contributions to any of the plans referred to above, I authorise you to release to that employer any relevant information in connection with the transfer of funds from the relevant scheme.

Until this application is accepted and complete, Wealthtime's responsibility is limited to the return of the total payment(s) to you.

Where the payment(s) made to Wealthtime represents all of the funds under the scheme(s) specified above then payment made as requested will discharge you of all claims and responsibilities in respect of the said scheme.

Where the payment(s) made to Wealthtime represents part of the funds under the scheme(s) listed, then you will be discharged of all claims and responsibilities only in respect of the part of the scheme(s) represented by the payment(s).

I promise to accept responsibility in respect of any claims, losses and expenses that Wealthtime and the transferring 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.

Client signature

Date

Section B - To be completed by the Scheme Administrator/Operator/Trustees of the Transferring Scheme

B1 Scheme Details

Is the transfer payment from an arrangement/arrangements under which the Client named in Section A was the original member?

Yes No

If 'Yes' please go to B2, if 'No' please provide the following information:

Original member details

Title

Forename(s)

Surname

National Insurance Number

Pension Credit Rights

At the date of the pension sharing order were the arrangements which are being transferred:

Uncrystallised Crystallised

Please supply a certified copy of the Court Order.

Death Benefit Entitlement

At the date of the original member's death were the arrangements which are being transferred:

Uncrystallised Crystallised

B2 Flexi-access Drawdown Benefits

Has any part of the fund been used for Flexi-access Drawdown Benefits?

Yes No

B3 Uncrystallised Arrangements

Current value of uncrystallised arrangements (£)

We confirm that the transferring scheme is (please tick one):

A registered pension scheme approved under Chapter 4 of the Finance Act 2004.

A recognised overseas pension scheme as defined by HM Revenue & Customs under Chapter 4 of the Finance Act 2004, and has satisfied HM Revenue & Customs requirements in this respect.

An employer financed retirement benefits scheme as defined by HM Revenue & Customs under Chapter 4 of the Finance Act 2004 and has satisfied HM Revenue & Customs requirements in this respect.

If the transferring scheme is an employer financed retirement benefits scheme, please confirm the type of scheme this was under pre A-day rules - for example FURBS, UURBS.

B4 Crystallised Arrangements

We confirm:

The transferring scheme is a registered pension scheme approved under Chapter 4 of the Finance Act 2004.

If these arrangements were in income drawdown before 6 April 2006 we will convert them to drawdown pension before transfer to Wealthtime.

The Client's P45 is enclosed with this Form.
If this document is not enclosed please forward it to Wealthtime as soon as it is available.

Were all benefits under these arrangements crystallised at the same date?

Yes No

Additional Information

Please provide the following additional information for each separate date benefits were crystallised distinguishing between pre & post A-day benefits. (Please photocopy this Form and complete separate additional sheets as necessary):

Date benefits were crystallised *

Current value of these crystallised arrangements (£)

Are these benefits in respect of pre A-day drawdown benefits? Yes No

Value of arrangements at the date benefits were crystallised* (£)

(before any pension commencement lump sum and lifetime allowance tax charges paid)

Amount of pension commencement lump sum paid (£)

Percentage of Standard Lifetime Allowance used (%)

If applicable, amount of lifetime allowance tax charge paid (£)

GAD rate used when benefits were crystallised*

Gilt yield used when benefits were crystallised*

Current maximum GAD income limit (£)

Gross amount of income paid in this benefits year (£)

* If these arrangements were in income drawdown before 6 April 2006 this will be the date the income was converted to drawdown pension, not the original date the benefits were first paid.

Section B - To be completed by the Scheme Administrator/Operator/Trustees of the Transferring Scheme

B4 Crystallised Arrangements (continued)

Was the client claiming any of the following types of protection at the Benefit Crystallisation Event (please tick as appropriate)?

Primary Protection

Certificate reference number

Enhanced Protection

Certificate reference number

Pension Credit Rights

Certificate reference number

International

Certificate reference number

Fixed Protection

Certificate reference number

B5 Block Transfer Information

Is this transfer part of a block transfer?

Yes No

If 'Yes' please complete the following if applicable:

Protected lump sum rights

Amount of protected lump sum rights available at 5 April 2006 for the uncrystallised arrangements in Section B2 (£)

Fund value at 5 April 2006 (£)

Does the transfer value include any post A-day contributions?

Yes No

Protected retirement age

Does the member have a protected retirement age?

Yes No

If 'Yes' please state the age that the member can begin to take benefits

If you require this document in an alternative format please contact us.

The Wealthtime Private Client Service provides a reporting and administration facility and is provided by Wealthtime Limited. Wealthtime Limited (registered number 6016480) is registered in England and has its registered office at The Oak House, Barford Lane, Downton, Salisbury, Wiltshire. SP5 3QA. Telephone: 01725 512925. Fax: 01725 513493. Web: www.wealthtime.co.uk. Wealthtime Limited is authorised and regulated by the Financial Conduct Authority under Firm Reference Number 468461 and you can check this authorisation at www.fca.org.uk/register or by calling the Financial Conduct Authority on 0800 111 6768.

The Wealthtime SIPP is established by Wealthtime Limited, which has appointed Wealthtime Trustees Limited as Trustee and Wealthtime Limited as Scheme Operator. Wealthtime Trustees Limited (registered number 6243467) is registered in England and has its registered office at The Oak House, Barford Lane, Downton, Salisbury, Wiltshire. SP5 3QA.

B6 Scheme Administrator/Operator/ Trustees Declaration

We confirm that as Scheme Administrator/Operator/ Trustees of the transferring scheme, that the above statements and the information we have provided are, to the best of our knowledge, correct and complete.

Signed for, or and on behalf of, the Scheme Administrator/ Operator/Trustees of the Transferring Scheme.

Date

Contact name

Contact number

Address of transferring scheme

Postcode