

Form D1:

To be signed by the receiving scheme if the member is not using an IFA

In connection with this proposed transfer, please note that:

- Mercer is acting solely in its capacity as administrators of the Bank of Montreal 1972 (UK) Pension Plan and is therefore not arranging any transactions in investments.
- Mercer is not involved in individual pension transfer business of any type. This transfer of pension benefits to (insert name of scheme)
..... DBI TRADING LTD SSAS must not be assigned to Mercer's agency.

Mercer is not acting as agent for the arrangement and will not receive any commission.

To enable me to pay the transfer value, please acknowledge receipt and acceptance of the terms set out by completing this form and returning it to:

Mercer
Westgate House, 52 Westgate, Chichester, PO19 3HF

Transferring scheme name: Bank of Montreal 1972 (UK) Pension Plan

Receiving scheme name: DBI TRADING LTD SSAS

Transfer of benefits in respect of (insert member name) DENIS BAILEY

We, the undersigned, confirm that we understand and accept the terms and conditions as described above.

Print Name: MARK MISEROTTI

Signed: 

Position: ADMINISTRATOR

Address:

Pension Practitioner .Com Limited
Daws House, 33-35 Daws Lane,
London, NW7 4SD
Co Reg: 00200000, Vat: 394312016
HMRC Reg No: 30005585

Date:

TRANSFER CHECK LIST
Member: MR D BAILEY

Transfer to DBI TRADING LTD SAS

I confirm the following documents are attached :

1. Application to proceed with transfer of benefits Form signed by the member. ☒

2. Declaration Form(s) signed by (Trustees/Insurance Company). ☒

3. Member's original Birth Certificate (and Marriage Certificate if applicable). ☐

4a. The original certificate of benefits sent to the member. ☐

OR

4b. A letter signed by the member confirming the certificate is no longer in their possession. ☐

5. Evidence of registration by HMRC. ☒

6. A copy of the Contracting-out Certificate (if applicable) including the relevant ECON, SCON or ACON numbers. ☐ N/A

7. Receiving scheme policy / reference number 00787466 RH

8. Receiving scheme payment details completed below. ☒

Payee: DBI TRADING LTD SAS

Bank: INVESTEL Branch: GRESHAM STREET

Sort Code: 08 60 68 Account Number: 64357003

Reference: DENIS BAILEY TRANSFER

Failure to provide all the information requested will result in delays in transfer

OCCUPATIONAL PENSION SCHEME TRANSFER DECLARATION FORM

In respect of: MR D BAILEY

NI Number: NR138984B

To: The Trustees of Bank Of Montreal 1972 Pension Plan

c/o the address at the top of the covering letter.

In consideration of the transfer of the sum of £ 149168.00 in respect of the above named, the Trustees of DBI TRADING LTD SAS (hereinafter called "the Receiving Scheme") hereby confirm and undertake as follows:

[The Receiving Scheme is a registered pension scheme under section 153 of the Finance Act 2004]*

Evidence of registration by Her Majesty's Revenue & Customs (HMRC) **must be attached.**

[The Receiving Scheme is an insured scheme]*

The above named has been admitted to membership of the Receiving Scheme and in respect of the transfer payment will be entitled to such benefits as shall be agreed between the member and the Trustees of the Receiving Scheme.

[We undertake to treat part of the benefit provided under the Receiving Scheme (being not less than £0.00 per annum) as "equivalent pension benefits" for the purposes of the National Insurance Act 1965 in respect of contracted-out employment between and . In the event of a subsequent transfer to another Scheme we undertake to obtain a similar undertaking from such Scheme's Trustees and agree to indemnify you and the employer concerned against any claims or demands in respect of such equivalent pension benefits.]*

[We undertake to treat £ 0.00 per annum as "guaranteed minimum pension", for the purposes of the Pension Schemes Act 1993. The guaranteed minimum pension will be revalued [in line with section 148 orders] [at fixed rate] [at limited rate]*. (We undertake to treat the sum of £ 99538.00 included in the transfer, as "Contracted Out Benefits", (for the purposes of Pension Schemes Act 1993) in respect of contracted-out employment between 01 July 1993 and 02 March 2001.]*

We undertake that any transfer benefits provided in respect of contracted-out employment from 6 April 1997 will be in the same form as those provided for our scheme's own contracted-out members.*

The member ~~is~~/is not* in contracted-out employment.

Receiving scheme ECON: N/A


Receiving scheme SCON:* N/A

A copy of the contracting-out certificate must be attached.

We authorise HMRC to provide Mercer Limited, as the administrators of Bank Of Montreal 1972 Pension Plan, with any information they deem necessary in their investigation of the registration status of DBI TRADING LTD SAS.

The HMRC reference number of DBI TRADING LTD SAS is
0078 7466 RH.

The name of the principal employer and company registration number is
DBI TRADING LTD / 08233338.

Signature(s):  Date:
25/10/2012

Full name(s) of authorised signatory(s):
MARK MISEROTTI

Position of authorised signatory(s):
ADMINISTRATOR

*delete as appropriate

Application to proceed with transfer of benefits

To: The Trustees of Bank Of Montreal 1972 Pension Plan (the pension scheme)

Name of member: MR D BAILEY

I wish to transfer the value of my benefits to DBI TRADING LTD SSAS (the receiving arrangement) as an alternative to leaving those benefits, including any statutory right I may have to a guaranteed cash equivalent, in the pension scheme.

Please apply the transfer value* of my benefits in the pension scheme to secure benefits in respect of me in the receiving arrangement. I acknowledge that on payment of the transfer in accordance with my request made by completing and returning this form, duly signed and dated, the trustees will be discharged from all liability to provide any benefits for or in respect of my membership of the pension scheme.

Please issue a cheque for the transfer value*, made payable to the providers or trustees of the receiving arrangement, to DBI TRADING LTD SSAS.

They are my agents and act on my behalf

I understand that the benefits eventually payable from the receiving arrangement may be more or less than the benefits that would have been payable in respect of me in the pension scheme

I acknowledge that the trustees will not be responsible for the amount or type of benefits to be provided by the receiving arrangement in return for the above transfer value*.

** The transfer value in respect of your benefits in the pension scheme is calculated using methods and bases determined by the trustees, after taking advice from the scheme actuary. It is guaranteed for three months from 11 September 2012, but will be recalculated once the guarantee period has expired, if requested. The amount at the date of transfer may therefore be more or less than the amount originally calculated.*

Signed  Date 11/10/2012

Full name: DENIS BAILEY
IN BLOCK CAPITALS PLEASE