

TRANSFER CHECK LIST
Member: MR D BAILEY

Transfer to

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. ☐
7. Receiving scheme policy / reference number ☐
8. Receiving scheme payment details completed below. ☐

Payee:

Bank: Branch:

Sort Code: Account Number:

Reference:

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

PERSONAL PENSION SCHEME TRANSFER DECLARATION FORM

TRANSFERRING SCHEME DETAILS:

Name of Trustees: The Trustees of the Bank Of Montreal 1972 Pension Plan

Address of Trustees:
c/o the address at the top of the covering letter.

Member's Full Name: MR D BAILEY

National Insurance Number: NR138984B

Total Transfer Value not including AVCs to be paid to the Personal Pension Scheme: £ 149168.00

Amount included in Total Transfer Value to secure Contracted Out Benefits: £ 99538.00

PERSONAL PENSION SCHEME DETAILS:

Full Name of Personal Pension Scheme Provider:.....

Name of Personal Pension Scheme:
(hereinafter called "the Personal Pension Scheme".)

Address of Personal Pension Scheme:.....

.....

HMRC Reference No: ASCON No:.....

Evidence of registration by Her Majesty's Revenue and Customs (HMRC) (and, if the Personal Pension Scheme is contracted-out, a copy of the appropriate scheme certificate) must be attached.

Payee in respect of transfer value:
(If the Personal Pension Scheme is underwritten by a Life Office the payment must be made to the Life Office.)

DECLARATION BY PERSONAL PENSION SCHEME:

TICK BOX

1) The Personal Pension Scheme is a registered pension scheme under section 153 of the Finance Act 2004

☐

2) The Personal Pension Scheme is underwritten by a Life Office

☐

3) The Personal Pension Scheme is partly non-insured or no Life Office is involved.

☐

The Personal Pension Scheme is an appropriate personal pension scheme for the purposes of paragraph (5) of section 9 of the Pension Schemes Act 1993. It is not being used solely for the purpose of receiving minimum contributions from the National Insurance Contributions Office under section 43 of the Pension Schemes Act 1993.

☐

The Personal Pension Scheme is able and willing to accept the Total Transfer Value and will use it to provide money-purchase benefits (including, where appropriate, Contracted Out Benefits) for and in respect of the member.

☐

The transfer value is/is not* the only payment to this scheme.

The Personal Pension Scheme does not fall within either 2 or 3 above and we therefore authorise HMRC to provide Mercer, as administrators of the Bank Of Montreal 1972 Pension Plan, with any information they deem necessary in their investigation of the registration status of the Personal Pension Scheme.*

Signed: **date**

Full Name of Authorised Signatory:.....

Position of Authorised Signatory:.....

Personal Pension Provider's official Stamp:

* delete as appropriate

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 (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:

Receiving scheme SCON:*

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

The HMRC reference number of is
_____.

The name of the principal employer and company registration number is
_____.

Signature(s): _____ Date:

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

Position of authorised signatory(s):

*delete as appropriate

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)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:

Transfer of benefits in respect of (insert member name)

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

Print Name:

Signed:

Position:

Address:

.....

.....

Date: