

Transfer declaration

– potential risks of transferring

With this form you can

- confirm that you understand the potential risks of transferring to one of the following pension schemes:
- A pension scheme not regulated by the Financial Conduct Authority or Prudential Regulation Authority
- A pension scheme that allows overseas advisers or unregulated advisers
- A pension scheme that allows offshore investments or unregulated investments
- A pension provider that we are unfamiliar with, or haven't had regular dealings with, in the last year.

The Financial Conduct Authority (FCA) and Prudential Regulation Authority (PRA)

The FCA and PRA regulate financial firms providing services to UK consumers. They can take action against a regulated firm or individual who fails to follow the rules they set. Quilter Life & Pensions Limited ('Quilter') is regulated by the FCA and the PRA. For more information about the FCA and the PRA, visit www.fca.org.uk and www.bankofengland.co.uk/pru respectively.

The Financial Services Compensation Scheme (FSCS)

The FSCS provides protection to consumers when firms regulated by the FCA or PRA fail. The level of compensation offered by the FSCS will depend on the circumstances of your claim. Your pension with us is protected up to 100% of its value, should Quilter fail. For more information about the FSCS, visit www.fscs.org.uk

Potential risks

- Personal pension schemes are required to be run by a firm authorised by the FCA and PRA. Occupational pension schemes are not. If you transfer to an occupational scheme, it's possible that the pension provider or administrator may not be regulated by the FCA or PRA. This doesn't mean they are bad, however you will not be covered by the FSCS if that firm fails.
- Some pension schemes allow **overseas advisers or unregulated advisers** to transact a pension transfer on your behalf. If you use an overseas adviser who is not authorised by the FCA or PRA, or you use an unregulated adviser, you will not have access to the FSCS if you are later unhappy with the advice given.
- Some pension schemes allow **overseas investments or unregulated investments**. If you invest in these types of investments and they fail, you will not have access to the FSCS.
- Even if you transfer to a scheme that is run by a regulated firm, take advice from a regulated adviser or invest in regulated investments, there is still a chance of firm failure. As the amount of FSCS compensation may be limited, it is important you are satisfied with any firms you are dealing with. We will complete basic checks for you but can't guarantee that the firms you are dealing with are completely safe.

Your declaration

I confirm that I have read and understood the risks shown above.

Signed

Alexander

Date (dd/mm/yyyy)

16/04/2024

Print name

ALEXANDER AALGH

Account number

AC2122661-002

Send the completed form to: Quilter, SUNDERLAND, SR43 4JP.

quilter.com

Please be aware that calls and electronic communications may be recorded for monitoring, regulatory and training purposes and records are available for at least five years. Quilter is the trading name of Quilter Investment Platform Limited which provides an Individual Savings Account (ISA), Junior ISA (JISA) and Collective Investment Account (CIA) and Quilter Life & Pensions Limited which provides a Collective Retirement Account (CRA) and Collective Investment Bond (CIB).

Quilter Investment Platform Limited and Quilter Life & Pensions Limited are registered in England and Wales under numbers 1680071 and 4163431 respectively.

Registered Office at Senator House, 85 Queen Victoria Street, London, EC4V 4AB, United Kingdom. Quilter Investment Platform Limited is authorised and regulated by the Financial Conduct Authority.

Quilter Life & Pensions Limited is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Their Financial Services register numbers are 165359 and 207977 respectively. VAT number 386 1301 59.



Using the editable fields?

To ensure your information is saved correctly, we recommend you save the form to your desktop before you start completing the required fields.

Quilter

Transferring to an occupational pension Questionnaire

With this form you can:

- provide us with the additional information we need about your pension transfer application

Giving us your instruction:

- **Email** – Simply scan your completed form and supporting documents and email them to ask@quilter.com
- **Post to** – Quilter, SUNDERLAND, SR43 4JP.

Contact telephone number and best time to call

077379 109 32

Email address

alex@sixteenrealstate.com

Details about your new pension scheme

If your administrator is not regulated by the Financial Conduct Authority (FCA), you will not be protected by the Financial Services Compensation Scheme should the administrator fail.

- How did you become aware of your new pension scheme?

Via Colin Bates chapter 3

- Who is the administrator for your new pension scheme?

RC Administration Limited

- Is the administrator of your new pension scheme regulated by the FCA?

Yes ☐ No ☒

Details about your employment

To have a statutory right to transfer you must be able to show an employment link to your new occupational scheme.

- What is the name of your employer?

Company Director Sixteen Real Estate (Retail)

- Is your employer linked to this pension scheme?

Yes ☒ No ☐

- If your employer is not linked to this pension scheme, what is the link between you and the scheme?

You will also need to provide evidence to support this. Please confirm whether you have included the following:

- Letter confirming employment for at least 3 months?
- Payslips for 3 months?
- Contributions statement/schedule?
- Bank account statement?

Yes ☒ No ☒
Yes ☒ No ☐
Yes ☒ No ☐
Yes ☒ No ☐

If you have answered "no" to any one of the above, please explain why.

7 years company director.



Declaration

Please make sure you can answer yes to all of these questions before you return this questionnaire to us.

- | | |
|---|-----|
| - I have read the pension scam leaflet you sent me. | Yes |
| - I have included a list of investments with this questionnaire. | Yes |
| - I have included evidence of my employment link to this pension scheme. | Yes |
| - I have completed this questionnaire to the best of my knowledge. | Yes |
| - I understand that you may come back to me for further information based on my answers. | Yes |
| - I understand that if I have not answered all questions the transfer request may be delayed. | Yes |

Your Name

ALEXANDER WAIGHT

Account
Number

A C 21 226 61 - 002

Signature



Date

15 04 20 24



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