

### 1. Personal details

Title

First name

Middle name(s)

Surname

Date of birth   /   /

Your username  **1**

National Insurance number

### 2. Account details

Employment status  **2**

Intended retirement age  years

**OR**

Intended retirement date   /   /

### Income from your investments

Some investments generate income in the form of dividends, distributions or interest. You need to specify how you would like this income to be treated.

Please note that any interest you generate on 'Income' Fixed Term Deposits cannot be automatically reinvested.

#### What would you like us to do with this income?

Keep in my capital account

### 3. Money Purchase Annual Allowance (MPAA) **3**

Are you subject to the Money Purchase Annual Allowance Rules?  Yes  No

If yes, please indicate the source of MPAA trigger

Uncrystallised Funds pension lump sum payment

Flexi-Access Drawdown Income withdrawal

Standalone lump sum

Unknown

From what date are you subject to the MPAA?   /   /

Before deciding how to invest, you need to choose the appropriate account(s) to hold your investments in. Each account type has different tax benefits and implications.

**You may hold only one SIPP or ISA, but as many Investment Accounts as you need.**

**1** Your online username can be found in the top right hand corner of your online portal screen i.e. ASmith123

**2** Please insert appropriate option:

- Employed
- Self-employed
- Unemployed
- Pensioner
- In full-time education
- Caring for one or more children under the age of 16
- Caring for a person aged 16 or over
- Other (please specify)

**3** The Money Purchase Annual Allowance (MPAA) will apply to you if you have accessed your pension in one of the ways shown. The effect is that any contributions to Money Purchase arrangements are limited to £4,000 per Pension Input Period (PIP).

## 4. Protection details

You should be able to obtain this information from your protection certificates.

Are you entitled to Enhanced Protection?  Yes  No

If yes, please confirm the following

Pension Commencement Lump Sum (PCLS) entitlement  %

Certificate number

Are you entitled to Primary Protection?  Yes  No

If yes, please confirm the following

PCLS entitlement  %

Certificate number

Enhancement factor

Are you entitled to Fixed Protection 2012?  Yes  No

If yes, please confirm your certificate number

Are you entitled to Fixed Protection 2014?  Yes  No

If yes, please confirm your certificate number

Are you entitled to Individual Protection 2014?  Yes  No

If yes, please confirm the following Certificate number

Individual Protection 2014 amount  £

Are you entitled to Fixed Protection 2016?  Yes  No

If yes, please confirm your reference number

Are you entitled to Individual Protection 2016?  Yes  No

If yes, please confirm your reference number

Individual Protection 2016 amount  £



Please only complete section 6 if you wish to transfer benefits from an existing pension arrangement into your Close SIPP. If you are not transferring investments, please leave blank.

**6. Transfer details**

Full name of current provider

Full name of current pension scheme

Account/Policy number

Estimated transfer value  £

Please indicate whether this is a full or partial transfer  Full  Partial

Is this an Occupational Pension Scheme transfer?  Yes  No

Are assets to be transferred in-specie?  Yes  No

Does the transfer include a crystallised element?  Yes  No  £

If yes, please indicate the drawdown type  Capped  Flexi-Access

Are you currently taking an income from your existing arrangement?  Yes  No

If you wish to take an income from these funds following the transfer, please complete our Close SIPP Drawdown Amendment Form.

**Transferring Stock**

Stock name	Sedol/ISIN	Approximate number of units	Approximate value
Total			

**Your SIPP illustration**

Once your transfer application has been received and processed we will generate a personalised SIPP illustration in your online Document library. This illustration shows a potential outcome for your investment in the Close SIPP based on certain assumptions for investment returns and annuity rates. It is not a guarantee of what you will actually receive in the future and such forecasts are not a reliable indicator of future performance.

As the transfer process involves us working with your previous provider, it can take several weeks to complete. To avoid any unnecessary delays, please ensure that all the relevant details are completed on the form and the declaration has been signed before returning the form.

**Please note that we are unable to accept transfers from Defined Benefit schemes or Qualifying Recognised Overseas Pension Schemes into the Close SIPP.**

**Charges**  
Close Brothers Asset Management will not charge you for making a transfer. However, where you are transferring investments from another provider, they may levy a charge for this.

Where you are investing in funds a platform fee is typically payable to Close Brothers Asset Management and will be calculated at the highest possible rate, excluding any promotional discount for illustrative purposes. Details of our charges can be found in our Key Features and Charges document.

**What happens now?**

1. Complete this form (if you intend to transfer in multiple investments from several different providers, you will need to complete a separate form for each transfer) and post to our FREEPOST address: **Freepost CBAM ONLINE INVESTOR SUPPORT**

2. Upon receipt of your form we will submit the request to your current provider.
3. Your current provider will then process your request. Cash transfers should be quicker than in-specie transfers (where it could typically take up to six weeks to complete). If assets are to be transferred in-specie, please complete a separate SIPP Transfer Form.
4. We will add your transferred investments or cash to your account. When completed, you'll be able to view these investments online.

**6** Please note that only investments which are available within the Close SIPP can be transferred in-specie from your current arrangement. As part of the transfer process, investments which are not available will be sold and transferred as cash. You can search for your current holdings online to confirm that they are supported by our services.

**Please note that some providers will only allow transfers in cash and accordingly, your entire portfolio will be sold and transferred to your Close SIPP as cash.** In these circumstances you will need to specify the investments that you wish to hold in your Close SIPP.

Please also note that any cash held within your transferring plan will be transferred to Close Brothers regardless of the estimated amount entered here.

**7** If yes, please provide the value of the crystallised fund in the box provided.

## 7. Important information

### **At the point you fund your SIPP we will create a personalised SIPP illustration based on your details and we will upload this to your online Document library.**

Close Brothers has given no advice as to the suitability of this product for your needs. By reading and accepting the information and declaration below you confirm acceptance that you are solely responsible for your investment decisions, and for the suitability of the product you have selected. As such you understand you will not share in the full protection offered by FSCS in respect of receiving incorrect or misleading advice.

This service is provided, and will be carried out, in line with our Terms and Conditions. The Terms and Conditions, charges and other relevant information are available at all times in the your online Documents Library. For your own benefit and protection, please ensure you read and agree to them. If there is anything you do not understand please call us to request clarification.

## 8. Declarations

- I hereby apply for membership of the Close SIPP and agree to be bound by the Trust Deed and Rules of the Close SIPP (as amended from time to time);
- I am aware my SIPP illustration will be available in my online Document library;
- I undertake to provide to the scheme administrator any other information which it may need in connection with my membership of the Close SIPP from time to time;
- I understand that my interest in the Scheme shall not exceed the value of net assets held in my Member Fund (as defined in the Rules);
- I understand that I am not entitled to any payment from the Scheme that would be an unauthorised payment under the Finance Act 2004;
- I understand that I shall not do, or omit to do, anything if it would or might result in the administrator of the Scheme becoming liable to pay a scheme sanction charge or a de-registration charge under the Finance Act 2004;
- I am aware that if I have elected for either enhanced or fixed protection, this protection will be lost when any contributions, whether employer or personal, are made to the Scheme by me or on my behalf;
- I confirm that I am a “relevant UK individual” within the meaning of section 189 of the Finance Act 2004 and that I have taken tax advice if I am unsure of my status;
- I confirm that the total contributions to any registered pension schemes in respect of which I am entitled to tax relief under section 188 of the Finance Act 2004 will not exceed the higher of:
  - (a) the basic amount (being £3,600 gross at the time of application); and
  - (b) my relevant UK earnings, within the meaning of section 189 of that Act for that tax year.
- I authorise, instruct and apply to my current provider to transfer sums and assets from the plan(s) as listed in section 6 of this application form directly to Close Asset Management Limited and to provide any instructions and/or discharge required by any relevant third party to do so.
- I authorise Close Asset Management Limited, my current provider, any contributing Employer and any financial intermediary named in this application to obtain from each other, and release to each other, any information that may be required to enable the transfer of sums and assets to Close Asset Management Limited.
- Until this application is accepted and complete, Close Asset Management Limited’s responsibility is limited to the return of the total payment(s) to my current provider(s).
- When payment is made to Close Asset Management Limited as instructed, this means that I shall no longer be entitled to receive pension benefits from the whole of the plan(s) listed in section 6 of this application form where the whole of the plan(s) are transferring, or that part of the plan(s) represented by the payment(s) if only part of the plan(s) are transferring.
- I accept responsibility in respect of any claims, losses, expenses, additional tax charges or any penalties that Close Asset Management Limited and my current provider may incur as a result of any incorrect, untrue, or misleading information in this application or given by me, or on my behalf, or of any failure on my part to comply with any aspect of this application.
- I undertake to give you notice in your capacity as the scheme administrator if an event occurs, as a result of which I will no longer be entitled to relief for my contributions pursuant to section 188 of the Finance Act 2004, no later than:
  - (a) 5th April in the year of assessment in which the event occurs; and
  - (b) the date which is 30 days after the occurrence of that event.
- I undertake to give you notice in your capacity as the scheme administrator if any of my personal details change in the future within 30 days of any such change;
- I consent to the processing by the scheme trustee and the scheme administrator of my personal data in accordance with the Data Protection Act 2018, and as set out in the Terms & Conditions.

## 8. Declarations (continued)

I declare that the information in this application is correct to the best of my knowledge and belief. I have read and agreed to any Declaration, Terms & Conditions and Key Features and Charges Schedules made available to me and agree to be bound by their terms and conditions; and if applicable, I wish to proceed and submit this transfer application and any associated transactions. These documents can also be found in my online Document Library at any time.

Signature

Print name (BLOCK CAPITALS)

Date

  /   /    

N.B. You will be able to invest in your SIPP once it has opened.

**Please return all forms to our FREEPOST address:  
Freepost CBAM ONLINE INVESTOR SUPPORT**