

SIPP

PENSION TRANSFER ADVICE FORM

THIS FORM IS TO BE COMPLETED AND SIGNED BY THE AUTHORISED PERSON PROVIDING THE SPECIALIST PENSION TRANSFER ADVICE ON THE TRANSFER FROM AN OCCUPATIONAL DEFINED BENEFIT SCHEME OR AN OCCUPATIONAL DEFINED CONTRIBUTION SCHEME CONTAINING SAFEGUARDED RIGHTS TO A SELF-INVESTED PERSONAL PENSION (SIPP) ADMINISTERED BY LONDON & COLONIAL.

| | | | |
|---------------------------------------|----------------------|---------------------------|----------------------|
| Member Name: | <input type="text"/> | Member Number (if known): | <input type="text"/> |
| Financial adviser firm name: | <input type="text"/> | | |
| FCA firm regulatory authorisation N°: | <input type="text"/> | | |
| Financial adviser individual name: | <input type="text"/> | | |
| Name of transferring scheme: | <input type="text"/> | | |

- Advice given which takes into account the suitability of the pension transfer. We have advised the client to transfer.
- Advice given which takes into account the suitability of the pension transfer. We have advised the client **NOT** to transfer.

Declaration

I/we confirm that:

- the adviser firm detailed above is authorised by the UK Financial Conduct Authority (FCA) to provide advice and recommendation on the suitability of a transfer from an occupational defined benefit scheme or an occupational defined contribution scheme containing safeguarded rights.
- the advice in respect of the suitability of the pension transfer for this client takes into account the specific guidance issued by the FCA and is being given under FCA authorisation and is subject to UK Law.
- the information regarding the client's attitude to risk to both the product and the proposed investments has been included in the recommendation.
- the product fees for the SIPP have been used to compare against the product fees of the scheme being transferred.
- the proposed investments to be made and held within the SIPP (based on information supplied by the client and their agent, the overseas financial adviser) have been taken into account including anticipated growth, costs, charges, and expected returns when comparing this to the scheme from which funds are being transferred.
- the advice on the pension transfer follows the normal advice process for pension transfers.
- the advice provided is suitable for the individual client and this advice is clear to the client.
- the risks of the alternative course of action have been clearly communicated to the client.
- the client has been provided with a personal recommendation in line with COBS 19.1.
- where appropriate I/we have liaised with the overseas adviser prior to advising the client.
- London & Colonial may at any time request and be provided with a copy of the Transfer Value Analysis System (TVAS) and accompanying suitability report.
- the pension transfer report and recommendation has been prepared and signed by a person qualified and authorised to do so by the FCA.
- that the report/recommendation is written under UK legislation and that the pension transfer specialist (firm and/or individual) remain accountable no matter where the jurisdiction of the client.
- to the best of my/our knowledge, the particulars and declarations made in this form are correct and complete.

PLEASE RETURN SIGNED AND COMPLETED FORMS TO:

LONDON & COLONIAL, ROCKWOOD HOUSE, 9-17 PERRYMOUNT ROAD, HAYWARDS HEATH, WEST SUSSEX RH16 3TW, UNITED KINGDOM

| | | | |
|--------------------|----------------------|-------------|---|
| Adviser Signature: | <input type="text"/> | Print Name: | <input type="text"/> |
| | | Date: | <input type="text"/> Day <input type="text"/> Month <input type="text"/> Year |



PART OF



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