



## ASTUTE SIPP TRANSFER IN FORM

Please complete (in block capitals and in black ink, ticking boxes where appropriate) if you wish to transfer an existing plan to your Astute SIPP. If you are transferring more than one plan please use a separate 'Transfer In form' for each transfer. In addition to this form your current scheme administrator(s) may require their own documentation. Please contact them for further advice.

### 1. PERSONAL DETAILS

ASTUTE SIPP MEMBER NUMBER (if applicable).....

TITLE.....FORENAME(S).....

SURNAME.....

DATE OF BIRTH 

D	D	M	M	Y	Y	Y	Y
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PERMANENT RESIDENTIAL ADDRESS.....

.....

.....

.....POSTCODE.....

TELEPHONE..... FAX.....

E-MAIL.....

NATIONAL INSURANCE NUMBER 

--	--	--	--	--	--	--	--	--	--

I have never had a National Insurance Number. (please tick box if applicable)

GENDER..... OCCUPATION.....

MARITAL STATUS  Single  Married  Registered Civil Partner

Widowed  Divorced  Other

If 'OTHER', please state.....

NATIONALITY.....

DO YOU HAVE DUAL NATIONALITY?

Yes  No

If 'YES', please specify.....

**2. INVESTMENT**

**2a. FINANCIAL ADVISER DETAILS (if applicable)**

COMPANY NAME.....  
NETWORK NAME (if applicable).....  
FCA AUTHORISATION NO.....  
CONTACT NAME.....  
ADDRESS.....  
.....  
.....POSTCODE.....  
TELEPHONE .....FAX.....  
EMAIL.....

**2b. INVESTMENT MANAGER DETAILS**

Is your Financial Adviser your Investment Manager?  Yes  No  
Is your Financial Adviser authorised to hold client monies?  Yes  No

If 'NO', please provide further details:.....  
.....

Basis of Appointment  Execution Only  Advisory  Discretionary

NAME OF INVESTMENT MANAGER.....

ADDRESS.....  
.....  
.....POSTCODE.....

TELEPHONE.....FAX.....  
E-MAIL.....  
AUTHORISATION NO.....

Do you wish monies to be held with your Investment Manager?  Yes  No

If 'YES', please confirm the amount or percentage of your plan you wish to be transferred to your Investment Manager:

SIPP £.....

or

.....%

### 3. DETAILS OF THE PENSION SCHEMES TO BE TRANSFERRED

#### TRANSFER 1

Name of Transferring Scheme.....

Policy No(s).....

Estimated                      £.....                      Estimated                      £.....  
Uncrystallised Value                      Crystallised Value

Pension Input Period.....

I have already requested this transfer:

Yes                       No

If 'NO', we can request this transfer for you if you give us the following information:

Type of Pension Scheme.....  
(e.g. Registered Pension Scheme, Recognised Overseas Scheme)

Revenue Reference No (if known).....

Address of Transferring Scheme.....

.....

.....Postcode.....

Contact Name.....

Is the transfer payment from an arrangement under which you are not an original member or beneficiary?

Yes                       No

If 'YES', is the transfer payment     Pension Credit Rights?     Death Benefit lump sum rights?

Are the assets to be re-registered in-specie into the SIPP?     Yes                       No

If 'YES', Astute Trustee Services Ltd will require a current valuation from the transferring scheme and a list of assets. Astute Trustee Services Ltd will then confirm which assets can be re-registered.

### 3. DETAILS OF THE PENSION SCHEMES TO BE TRANSFERRED (CONTINUED)

#### TRANSFER 2

Name of Transferring Scheme.....

Policy No(s).....

Estimated                      £.....                      Estimated                      £.....  
Uncrystallised Value                      Crystallised Value

Pension Input Period.....

I have already requested this transfer:

Yes                       No

If 'NO', we can request this transfer for you if you give us the following information:

Type Of Pension Scheme.....  
(e.g. Registered Pension Scheme, Recognised Overseas Scheme)

Revenue Reference No (if known).....

Address of Transferring Scheme.....

.....

.....Postcode.....

Contact Name.....

Is the transfer payment from an arrangement under which you are not an original member or beneficiary?

Yes                       No

If 'YES', is the transfer payment     Pension Credit Rights?     Death Benefit lump sum rights?

Are the assets to be re-registered in specie into the SIPP?     Yes                       No

If 'YES', Astute Trustee Services Ltd will require a current valuation from the transferring scheme and a list of assets. Astute Trustee Services Ltd will then confirm which assets can be re-registered.

#### 4. NOMINATION FORM

**TO: ASTUTE TRUSTEE SERVICES LTD  
MY ASTUTE SIPP  
NOMINATION OF BENEFICIARIES**

In the event of my death, I should like the Trustees to consider making payment of any death benefits arising under the Scheme to the following dependants:

Full Name	Address	Relationship	%
.....	.....	.....	.....
.....	.....	.....	.....
.....	.....	.....	.....
.....	.....	.....	.....
.....	.....	.....	.....

Signed.....

Name.....

Date.....

#### 5. CANCELLATION RIGHTS

**For clients who have appointed a financial adviser**

You have a right to cancel this transfer in. We will send you a cancellation notice and you will have 30 days from receipt of the transfer into the plan, to notify us that you have changed your mind and wish to cancel the transfer. If you choose to cancel the transfer under the terms of the cancellation rights, we will transfer the money that has been received in respect of the transfer, to another pension provider chosen by you. During the 30 day cancellation period you can give us investment instructions. The amount repaid may be less than the amount originally transferred in, if the value of your investments has fallen at the time it is sold. This will be explained in the cancellation notice that we will send you.

**For clients who do not have a financial adviser.**

As you have not received any financial advice before applying for this transfer, you will receive a 30 day period from the date we notify you that we have received the transfer, during which you can cancel your transfer request. During this period we will not permit any investments using this transfer money in case you decide to cancel.

However, you have the option to waive your rights to the 30 day cancellation period. If you choose to do this, we will apply the transfer money to the plan, the transferred money will then be available for immediate investment upon receipt of your instructions.

If you do not wish to waive your rights, we will send you a cancellation notice giving you 30 days from the date we notify you that we have received the transfer money in which to change your mind.

If you do wish to waive your rights, please read the following confirmation and then tick the box to confirm your acceptance:

I confirm my decision to waive my rights to a cancellation period for this transfer in. I accept that once I have waived my right to this cancellation period, I will no longer be able to cancel the transfer in or have the money received into the SIPP returned. I also accept that my plan will be fully opened and I will be subject to all the applicable charges as detailed in the relevant SIPP Charges Schedule.

## **6. MY DECLARATION**

I apply to Astute Trustee Services Ltd for Membership of the Astute SIPP.

- a) I agree to be bound by the rules of the Scheme.
- b) I acknowledge and accept the Terms and Conditions for the Astute Trustee Services Ltd Astute SIPP and have read and understood the notes at the back of this Application Form and agree to the charges detailed in the SIPP Charges Menu.
- c) I confirm that to the best of my knowledge and belief the particulars given on the Application Form are correct and complete.
- d) I undertake to tell Astute Trustee Services Ltd in writing within 30 days if:
  - there is any change to my residency status.
  - there is any change in my name or permanent residential address.
- e) I understand that this application determines whether I am entitled to basic rate tax relief at source on my contributions.
- f) I agree that the total contributions to any registered pension schemes in respect of which I am entitled to tax relief will not exceed the higher of:
  - the basic amount, or
  - my relevant UK earnings for that tax year.
- g) If I am no longer entitled to tax relief on my contributions I will undertake to tell Astute Trustee Services Ltd in writing no later than 5th April in the year of assessment in which this occurs, or within 30 days of this change.
- h) I understand that if I have appointed a Financial Adviser Astute Trustee Services Ltd will send correspondence to my Financial Adviser unless I have requested otherwise.
- i) I hereby consent to Astute Trustee Services Ltd obtaining details from any pension scheme, arrangement or contract of which I am or have been a Member and authorise the giving of any such details to Astute Trustee Services Ltd.
- j) I hereby consent to Astute Trustee Services Ltd requesting the transfer of my entitlement to benefits from the schemes listed in the transfers section.
- k) I request the issue of arrangements under the Scheme each of which is held by Astute Trustee Services Ltd as a separate trust fund distinct from other arrangements under the Scheme. I understand that details of the arrangements that will be issued in respect of this application are available on request.
- l) I understand that the value of the Plan may only be applied to provide benefits at the time I take retirement benefits or upon my death and that Astute Trustee Services Ltd will provide the appropriate benefits as required.
- m) I hereby give authority for Astute Trustee Services Ltd to accept investment and disinvestment instructions from my appointed Financial Adviser.
- n) I hereby request Astute Trustee Services Ltd, if applicable, to appoint the investment manager nominated in the application but fully understand and agree:
  - that I am solely responsible for all decisions relating to the purchase, retention and sale of the investments forming part of the Astute SIPP.
  - to hold Astute Trustee Services Ltd indemnified against any claim in respect of such decisions.
  - that Astute Trustee Services Ltd have not carried out and shall not in future carry out any review of the nominated investment manager's financial status or their investment and/or risk strategies. I or my Financial Adviser are responsible for checking these matters on my behalf and ensuring that the investment manager is suitable for my investment objectives.

## 6. MY DECLARATION (Continued)

- o) I request and consent to the payment of benefits set out in Section 4 of this application. I understand and agree that:
- I will be able to change the amount of income within the limits set down by the Rules of the Scheme but if I choose to do so at any time other than the annual review date an extra charge may be levied from my SIPP to meet the additional administration costs.
  - If I select now, or at any time in the future, an amount of income that is above the Government Actuary Department's upper limit then Astute Trustee Services Ltd will pay income equal to the upper limit.
  - Astute Trustee Services Ltd have the right to liquidate investments sufficient to pay the benefits at its sole discretion if I or my advisers fail to give adequate instructions in that respect.
  - If appropriate, Astute Trustee Services Ltd have my authority to check with the Revenue the details of any certificate that I supply which enhances my Lifetime Allowance.
  - If I take a pension commencement lump sum as the means of increasing contributions significantly to my SIPP it will be treated as 'recycling' under certain circumstances by the Revenue, and the lump sum will be defined as an unauthorised member payment.

## **MY DECLARATION TO THE ADMINISTRATORS OF THE TRANSFERRING SCHEMES NAMED IN PART 4**

I authorise and instruct you to transfer funds from the plan(s) as listed in section 4 directly to Astute Trustee Services Ltd. Where you have asked me to give you any original policy document(s) in return for the transfer of funds and I am unable to do so, I promise that I will be responsible for any losses and/or expenses which are the result, and which a reasonable person would consider to be the probable result, of any untrue, misleading or inaccurate information deliberately or carelessly given by me, or on my behalf, either in this form or with respect to benefits from the plan.

I authorise you to release all necessary information to Astute Trustee Services Ltd to enable the transfer of funds to Astute Pension Trustees Ltd.

I authorise you to obtain from and release to the financial adviser named in this application any additional information that may be required to enable the transfer of funds.

If an employer is paying contributions to any of the plans as listed in section 4, I authorise you release to that employer any relevant information in connection with the transfer of funds from the relevant plan(s).

Until this application is accepted and complete, Astute Trustee Services Ltd's responsibility is limited to the return of the total payment(s) to the current provider.

Where the payment(s) made to Astute Pension Trustee Ltd represent(s) all of the funds under the plan(s) listed in section 4, then payment made as requested will mean that I shall no longer be entitled to receive pension or other benefits from the plan(s) listed.

Where the payment(s) made to Astute Pension Trustee Ltd represent(s) part of the funds under the plan(s) listed in section 4 then payment made as requested will mean that I shall no longer be entitled to receive pension or other benefits from that part of the plan(s) represented by the payment(s).

I promise to accept responsibility in respect of any claims, losses and expenses that Astute Trustee Services Ltd and Astute Pension Trustee Ltd and the current provider may incur as a result of any incorrect information provided by me in this application or of any failure on my part to comply with any aspect of this application.

If I have taken benefits from any pension arrangement, with the current or any other pension provider, in a way which means I am subject to the Money Purchase Annual Allowance (MPAA), I have supplied the date the MPAA first applied to me in section 4.

If I am transferring a capped drawdown arrangement(s) to a flexi-access drawdown arrangement(s), I will be subject to the Money Purchase Annual Allowance (MPAA) from the date of my first flexi-access payment, or

If I am already subject to the MPAA, I have supplied the date the MPAA first applied to me in section 4.



**7. DATA PROTECTION**

The information on this form and any supplementary information provided by me and/or my nominated advisers will be used by Astute Trustee Services Ltd to:

- (1) Set up and administer my SIPP.
- (2) Send me information relating to my plan.

You have the right under the Data Protection Act 1998 to access information held about you by Astute Trustee Services Ltd upon payment of a fee.

Signed.....

Date.....

telephone 01772 781889 fax 01772 786756  
email [Info@astutepensions.co.uk](mailto:Info@astutepensions.co.uk) [www.astutepensions.co.uk](http://www.astutepensions.co.uk)  
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Astute Pensions is a trading name of Astute Trustee Services Limited which is registered in England and Wales with number 07944236 and whose registered office is at 87 Watling Street Road, Fulwood, Preston, PR2 8BQ. Astute Trustee Services Limited is authorised and regulated by the Financial Conduct Authority.