Top-up Application Form
(Not for use in the United Kingdom)

Notes to help you

This form is used for additional investments to an existing Portfolio Account (Life Assured or Capital Redemption option).

Note: If a bond is held by a company, you should look to get some advice before topping up.

If you’re appointing one or more new Discretionary Asset Managers, please make sure you complete a Discretionary Asset Manager nomination form (DPBF10048) for each one.

If you have any questions when completing this form, please speak to your financial adviser or call us 0808 234 2200 where we will be happy to help you. We might record your call to make sure our service is up to standard.

This form is divided into sections. Notes can be found at the end of each section to help you to complete this form.

Before completing this form, you must read the Privacy Notice in part 4 page 4. The Privacy Notice explains how we use your personal data and why we are collecting it.

The personal information you provide is being collected for the purpose of entering into a contract and to discharge our legal responsibilities. Failure to provide the requested information will result in the application not being processed.

Please use black ink and write in CAPITAL LETTERS or tick as appropriate. Any corrections must be initialled – don’t use correction fluid as this will invalidate your application.

This form is divided into sections. Notes can be found at the end of each section to help you to complete this form.

Part 1 – Personal details

Bond number(s)  Policyholder(s)

Are you appointing a new Discretionary Asset Manager?  Yes  No

If yes, please complete a Discretionary Asset Manager nomination form (DPBF10048) for each Discretionary Asset Manager to be appointed and submit with this top-up application form.

Are you notifying us of a change of address as part of this application?  Yes  No

If yes, please let us know your new address below. Note: Please provide certified copies of up to date address verification for each policyholder, this could be a utility bill or bank statement dated within the last six months. Copies can be certified by an authorised financial adviser.

Country  Are you changing your country of tax residency?  Yes  No

If so, please let us know your new country of tax residency and complete our Tax Residency Self-Certification Form (INVF11804) and send it to us with this top up application:

Profession (If retired also state previous profession.)  If retired how long have you been retired?

Job title including industry

Part 2 – Details of your payment

I/We wish to invest an additional payment of (minimum £5,000 or currency equivalent) to be divided equally between ALL identical Policies, numbered in my/our bond

Currency of your payment  UK £  Euro €  US $  Other

Please note that interest will not be credited to payments received prior to the receipt of all documentation requirements.
### Part 2 – Details of your payment – continued

Your payment is being made by (method & source):
- **Telegraphic transfer** (The original should be sent to your bank).
- **Cheque (payable to Prudential International)**
- **Banker’s draft (payable to Prudential International)**

If your payment is being made by telegraphic transfer or banker’s draft, please give us details of the account from which the payment has been drawn below. Please note that the source of funds must be an account held in the name of the applicant(s).

<table>
<thead>
<tr>
<th>Name of bank or building society</th>
<th>Account name</th>
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<tbody>
<tr>
<td>Bank Address</td>
<td>Account number</td>
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<td>Sort code</td>
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**Source(s) of your payment**
- **Bank or building society deposit**
- **Other (please specify)**

**Source(s) of wealth**
- **Borrowings, investment income, sale of property, sale of other investments (please specify)**
- **Other (please specify)**

 Territory your payment was made from:
- **UK**
- **Other EU Country**
- **Other (please specify)**

If you’re taking **regular withdrawals** from your bond, do you want to increase these?  
- **Yes**
- **No**

If yes, please state the total increased amount you wish to take.  
(Amount and currency)

Regular withdrawal amounts can only be taken from a Deposit Account or assets managed by a Discretionary Asset Manager. If part or all of your bond is managed by a Discretionary Asset Manager, please detail below where you want your regular withdrawal payments to be funded from. If you do not give us this information we may not be able to pay your regular withdrawals.

<table>
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<tr>
<th>Discretionary Asset Manager name</th>
<th>Deposit Account/ Discretionary Asset Manager currency</th>
<th>Amount</th>
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<tr>
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<td><strong>Total</strong></td>
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Please note that the total amount in the table must equal the total increased amount entered in the box above the table.

Please note that any increase will take effect from the next payment that falls due at least 30 days after we receive this application.

**Notes**

1. We may need to request additional information such as proof of the source of wealth and the source of your funds to comply with our legal and regulatory obligations.
### Part 3 – Investment choice

I/We would like to invest my/our additional payment in the following funds.

The information requested in each column must be provided in full, otherwise the investment into your chosen funds may be delayed. If you wish to invest in more than 16 funds please photocopy this page, complete the photocopied page and send it with this application.

**If you're appointing one or more new Discretionary Asset Managers, please complete a Discretionary Asset Manager nomination form (DPBF10048) for each one.**

If you already have one or more Discretionary Asset Managers, please specify in the table how much of your top-up investment is going to each.

<table>
<thead>
<tr>
<th>Fund manager/Discretionary Asset Manager name</th>
<th>Full name of fund and/or Discretionary Asset Manager currency</th>
<th>Sedol number/ISIN **</th>
<th>Type of units required** (Accumulation/Income Distribution/Income Reinvest)</th>
<th>% of the total payment into the fund</th>
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* To two decimal places.

** Not required for investments with a Discretionary Asset Manager

OR

As per the latest quarterly valuation holding split

The quarterly valuation holding split is based on the latest valuation sent to you. We provide a valuation statement of your bond on the bond fund valuation dates of 31 March, 30 June, 30 September and 31 December.

Please note that Prudential International will aim to meet investment deadlines on a best endeavours basis, but if there are any outstanding items which prevent the processing of your additional investment this will impact on the purchase of your investment. Prudential International will not be responsible for any loss should such a delay occur.

If you’ve chosen to appoint one or more Discretionary Asset Managers for part or all of your top-up investment, Prudential International will forward the relevant invested amount to the Discretionary Asset Manager(s) on receipt of their signed acceptance of your investment, as noted in the Discretionary Asset Manager nomination form, and on issue of your top-up investment.
Fund Adviser

Are you nominating a Fund Adviser?

If a Fund Adviser was appointed for the original bond, this will apply automatically to any additional premium and you need not do anything further.

If you've not previously appointed a Fund Adviser and you'd like to now, please complete the Fund Adviser appointment form (DPBF10012), which is available on our website www.prudential-international.com. This won't delay the processing of your additional investment.

Please note that you can't nominate a Fund Adviser for assets managed by a Discretionary Asset Manager.

Please go to part 4 below.

Part 4 – Application

This application should be read and signed by the person(s) who own(s) the bond.

Please read the Key Features Document as this will provide you with important information regarding the key risks and benefits of the product to help you make a decision.

Please also read the Funds guide, which is available from your financial adviser, as this will provide you with full details of the funds available, their objectives, Prudential International's risk ratings of these funds and the charges and costs to help you select the funds suitable for your needs.

For your own benefit and protection, you should read carefully the documentation provided before signing this form. You should also read carefully any further documentation provided to you in the future. If there is anything you do not understand, please ask your financial adviser for further information.

You must be aged 18 or over to be the owner of the bond.

I/We request that holdings are purchased in the fund(s) selected. I/We understand that the additional payment will be applied to purchase holdings in the fund(s) selected as soon as Prudential International's requirements are met and the payment is accepted.

I/We understand that a sole applicant, or, if there is more than one applicant, any one of the applicants, has the right to cancel the top-up investment within 30 days of receiving the cancellation notice.

I/We understand that a copy of the terms and conditions and the completed application Form are available on request.

I/We understand calls may be recorded or monitored for quality, staff training, dispute resolution and/or security purposes.

I confirm that:

a) the information given in this application Form and any schedule or other document relating to this application is true and complete to the best of my knowledge and belief.

b) I have not concealed or omitted any material facts (and to the best of my knowledge and belief no other person involved in this application has concealed or omitted any material facts).

c) I will notify you of any material facts I become aware of before the contract starts.

d) I have read the warning regarding material facts on page 5 and I understand that failure to disclose a material fact may affect entitlement to benefits under the contract and could result in the contract being void.

e) If applicable, each person to be covered by the bond consents to this application (and/or the consent of a parent or guardian has been given for any person to be covered by the bond who is under 18 or otherwise lacks legal capacity).

PRIVACY NOTICE

How we use your personal information

We, Prudential International Assurance Plc (PIA), take the privacy and protection of your personal information seriously. PIA will operate as the data controller in respect of the data we collect about you.

So we've set out below information about our processing of your personal information, what rights you have, and how you can get in touch if you want to know more.

When we say personal information, we mean information about you, such as your name, date of birth and contact details. We collect personal information from you that is necessary for us to either provide you with the product or service you’ve requested or to comply with statutory or contractual requirements. Unfortunately, if you don't provide all of the information we require this may mean we are unable to provide our products and services to you.
Part 4 – Application – continued

Part A – How we use your personal information and why
We, the Prudential Group and our Business Partners, will use the personal information you provide to us, together with other information, for the following purposes:

> the administration of our products and services, including to enable us to perform our obligations to you and to provide any relevant services as discussed with you prior to any purchase of a product or service;
> complying with any regulatory or other legal requirements;
> carrying out checks using agencies such as credit reference agencies, tracing companies, or publicly available information (See Part B for more);
> the provision of customer services – like to reply to a question, or tell you that something’s changing;
> automated decision-making or profiling (see Part C for more);
> keeping your information on record and carrying out other internal business administration.

Some of the purposes above are necessary to allow us to perform our contractual obligations to you and to enable us to comply with applicable laws and regulation. We may also rely on legitimate interests in using and sharing your personal information for the purposes described above to improve our products and services. This allows us to explore ways to develop our business and to gain insights into how our products and services are used.

In addition, we the Prudential Group and our Marketing Partners, may use the personal information you provide to us, together with other information, to send you direct marketing offers by electronic or non-electronic means including by post. Please see Part G for further details. To the extent that we need your consent to use your personal information for these purposes, you explicitly provide your consent as set out in Part G as appropriate.

Who we share your personal information with and why
We’ll share your personal information within the Prudential Group and with our Business Partners, for any of the purposes set out in Part A. If you have a joint policy or investment, the other person may receive your personal information too. If appropriate, we may also pass on your personal information to financial crime prevention agencies, legal, regulatory or government bodies.

As we, the Prudential Group, and some of our Business Partners are global companies, we might need to send your personal information to countries that have different data protection laws to the European Economic Area. These transfers will only be:

> to countries in respect of which the European Commission has issued a data protection ‘adequacy’ decision (such as Guernsey, Isle of Man and Jersey),
> to other countries, such as India or the United States of America, where appropriate safeguards have been put in place (such as the European Commission’s Model Clauses), or
> where the transfer is necessary to allow us to perform our contractual obligations to you or to perform a contract which is in your interest.

If you want to know more about the above safeguards – like our use of the European Commission’s Model Clauses which govern the transfer of information outside of the European Economic Area – further information is available on request.

We keep your personal information for a set amount of time
Your personal information will be stored either for as long as you (or your joint policyholder) are our customer, or longer if required by law or as necessary to defend ourselves against legal action. Generally we will continue to hold your information for 30 years after you cease to be our customer. This is in order to manage any potentially long running disputes, in order to provide appropriate compensation to legacy holders of policies which have lapsed or to compensate customers in the event of a tax refund. For further information about our data retention policy, please visit www.prudential-international.com/mydata-recordretention. (To access this website, all characters must be typed in lowercase format.)

Part B – Reference checks
For certain products, we may use approved credit reference agencies, tracing companies, financial crime prevention agencies, or publicly available information, to help us to check your identity, as well as to prevent fraud and money laundering; this may include checks on your current or previous addresses. Results of these may be recorded for future reference.

These checks may also be carried out for a joint policy holder or person(s) that you provide personal information on. Should we ever lose contact with you, we may use these agencies to verify your address to help us get back in touch.

Any transfer of your personal information will always be done securely.

Part C – We may use your personal information to make automated decisions or profile you
We, the Prudential Group, our Business Partners, and our Marketing Partners may use your personal information to make automated decisions affecting you or to conduct other profiling (for example, marketing profiling).

To the extent that we conduct such automated decision making activity, we’ll provide you with further information at the appropriate time.

Part D – Use of your sensitive personal information
In order to provide certain products or services, we’ll need to collect and process personal information related to your health which are known as “special categories of personal data”. We will use this personal information only for the purpose of fulfilling our contractual obligations and legal responsibilities regarding your policy of insurance or life assurance (see Note 1).
Part 4 – Application – continued

Part E – You’re in control
When it comes to how we use your personal information, you’ve got the right to:

▸ request a copy of your personal information for free (we may charge you for this if the request is manifestly unfounded or excessive). We shall respond as soon as reasonably possible and at the latest within 30 days from the date of your request;

▸ in certain circumstances request that we move your personal information to another organisation if you want us to;

▸ request that we correct anything that’s wrong, or complete any incomplete personal information;

▸ ask us to delete your personal information if it is no longer needed for the purposes set out in Part A or if there is no other legal basis for the processing;

▸ limit how we use your personal information or withdraw your consents you have given for the processing of your personal information (including consents to automated decision making);

▸ complain to a data protection authority or another independent regulator about how we’re using it.

Note 1: This derogation from Art. 9 GDPR is in accordance with Art. 50 of the Irish Data Protection Act 2018. Processing of data concerning health shall be lawful where the processing is necessary and proportionate for the purposes of a policy of insurance or life assurance.

Note 2: To the extent that we process your data for direct marketing or other processing based on our legitimate interest, including any profiling on the basis of our legitimate interests, you have a right to object to such processing.

If you want to do any of these things, or would like an explanation as regards these rights, we’ve explained how you can get in touch in the ‘Contact Us’ section below.

If you do need to speak to us, it’ll be useful to have to hand that the data controller of your personal information is PIA. PIA has also appointed a Data Protection Officer who can be reached at the details shown in the ‘Contact Us’ section of this document.

We may monitor or record calls or any other communication we have with you. This will be for training, for security, or to help us check for quality.

Part F – Acting on someone else’s behalf?
If you give us personal information about another person (or persons), we’ll take that to mean they have appointed and authorised you to act on their behalf. This includes providing consent to:

▸ our processing of their personal information and sensitive personal information (as we’ve explained in Parts A, B, C, and D above);

▸ you getting any information protection notices on their behalf.

If for any reason you are concerned as to whether you are permitted to provide us with the other person’s information, please contact us on the phone number provided in the ‘Contact Us’ section of this notice before sending us anything.

Part G – Direct marketing
From time to time, we, the Prudential Group and our Marketing Partners may like to contact you by electronic or non-electronic means with details about products, services and any special offers. Please note that any consent you give will not apply to M&G Investments Group, Prudential UK and Prudential plc as they operate their own customer databases and may contact you separately. (See also Note 2)

If you consent to us contacting you for this purpose, please tick to say how we may contact you (tick as many or as few as you like).

Email □ Phone □ Text □ Post □

And if you change your mind, and/or you would like to opt-out of receiving direct marketing, it’s easy to let us know. Just contact us at the details noted in the ‘Contact Us’ section of this notice.

If you want to exercise your rights in Part E or if you require any other information about any other part of this notice, you can contact us in a number of different ways.
Part 4 – Application – continued

Contact Us
Write to us at: Data Protection Officer
Prudential International
Montague House
Adelaide Road
Dublin 2

Call us on: +353 1 476 5000

The Prudential Group means any connected companies of PIA (including [the Prudential Assurance Company Limited,
Prudential Distribution Limited, Prudential Life Time Mortgages
Limited, Prudential Pensions Limited, and Prudential Financial
Planning Limited, Prudential Plc, Prudential Services Limited,
PGDS (UK ONE) Limited, Prudential Global Services Private
Limited, Prudential Corporation Asia, Jackson National Life and
PPM America, Inc. M&G Investments Group and Prudential
Corporate Pensions Trustee Limited]).

Business Partners means our service providers, accountants,
auditors, IT service and platform providers, intermediaries,
reinsurers, retrocessionaires, investment managers, agents,
pension trustees (and other stakeholders), scheme advisors,
introducers and our legal advisers.

Marketing Partners means our service providers, intermediaries,
pension trustees (and other stakeholders), scheme advisors
and introducers.

Application – by owner(s) of the bond:

Please issue the top-up to my/our bond on the basis specified in this application Form.

It is our normal procedure to issue policy documents direct to the policyholder. If you would prefer us to issue these to your financial
adviser, please tick the box below.

Please issue policy documents to my/our financial adviser

Signature of each owner/Authorised Signatory of Company or Trust

Signature of owner/Authorised Signatory of Company or Trust

Full name

The date of this application

Signature of owner/Authorised Signatory of Company or Trust

Full name

The date of this application
## Section A – to be completed by your Financial Adviser

1. a) Adviser’s name

1. b) Firm reference number

1. c) Adviser’s agency number

2. Adviser’s address

<table>
<thead>
<tr>
<th>Telephone number</th>
<th>Fax number</th>
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<tbody>
<tr>
<td>E-mail address</td>
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### Financial Adviser checklist

Please make sure that the following information/documentation is sent this application Form. Failure to provide all relevant information will result in a delay to this application being processed.

- Please tick if attached

- If paying by cheque or banker’s draft, please make payable to Prudential International

- If paying by telegraphic transfer, a copy of the telegraphic transfer form *(the original should be sent to the client’s bank)*.

- If appointing a Fund Adviser for the first time please complete a Fund Adviser appointment Form.

- If appointing one or more Discretionary Asset Managers for the first time, a Discretionary Asset Manager nomination form for each one

- For Company and Trust applicants please submit an up to date Authorised Signatory list on headed paper.

- If your client has changed address as part of this application ensure certified copy of address verification for each Policyholder is provided.

- If your client has changed Tax residency please ensure Tax Residency Self-Certification Form is completed and submitted with this top up application.

For **Jersey Resident applicants** please complete **Section B** if commission is required

For **Jersey Resident applicants** where Section B cannot be completed please **DO NOT** complete Commission details.

Please note that interest will not be credited to payments received prior to receipt of all required documents.

Please now complete the next page
Section A – to be completed by your Financial Adviser – continued

Commission structure
Please select the option the bond was written under and detail how you would like to use your initial commission. Please note that the standard rate of initial commission is 6%. Please also complete the renewal commission section overleaf, if applicable.

1. Establishment Charge Option (See example A below)

Take full initial commission  
(a) Reduced initial commission to be taken  
Amount of initial commission given up used to:  

(b) Reduce charges  
\[ \text{and/or} \]  
(c) Increase allocation

Example A
Your maximum initial commission is 6% and you are taking 3%. You can use the 3% given up to:
- reduce the Establishment Charge by 0.75% (3 x 0.25%)
- increase the allocation rate by 3%
- combine the two e.g. increase the allocation rate by 2% and reduce the Establishment Charge by 0.25%

Please make sure that the total of a, b and c equals your maximum initial commission rate

2. Initial Charge Option (See example B below)

Take full initial commission  
Reduced initial commission to be taken  
Any initial commission given up will be used to increase the allocation rate.

3. Ongoing Charge Option – Establishment version (See example C below)

Take full initial commission  
(a) Reduced initial commission to be taken  
Amount of initial commission given up used to:  

(b) Reduce charges  
\[ \text{and/or} \]  
(c) Increase allocation

Please make sure that the total of a, b and c equals your maximum initial commission rate

4. Ongoing Charge Option – Initial version (See example B below)

Take full initial commission  
Reduced initial commission to be taken  
Any initial commission given up will be used to increase the allocation rate.

Example B
Your maximum initial commission is 6% and you are taking 3%. The allocation rate will be increased by 3%.

Example C
Your maximum initial commission is 6% and you are taking 3%. You can use the 3% given up to:
- reduce the Establishment Charge by 0.69% (3 x 0.23%)
- increase the allocation rate by 3%
- combine the two e.g. increase the allocation rate by 2% and reduce the Establishment Charge by 0.23%

Important information on next page

Notes
2 Monetary amounts must be in the currency of the premium and will be converted to percentages rounded down to two decimal places.
**Section A – to be completed by your Financial Adviser – continued**

**Renewal commission**

Renewal commission you wish to take %

(This can be in steps of 0.01%)

(Not available if a Fund Adviser is appointed)

A fund based charge will be made on the bond to equal this renewal commission.

**Section B – Jersey resident applicants only**

For applicants resident in Jersey ONLY

For submission of applications from 31 December 2013, where you have elected to receive commission, you must confirm the following:

I confirm that I have undertaken an adequate assessment of this applicant and I have classified them as an Elective Professional Client in accordance with the Jersey Codes of Practice for Investment Business and I have complied with all associated obligations contained within the relevant sections of the abovementioned Codes.

Please provide a separate, written declaration on appropriate letterhead, signed by an authorised signatory of the Firm, confirming the above and submit along with this application Form.

NB: Where you have elected to receive commission, failure to tick the above box and provide the written declaration will result in a delay in this application being processed.
The registered office of Prudential International is in Ireland at Montague House, Adelaide Road Dublin 2. Prudential International is a marketing name of Prudential International Assurance plc. Registration No. 209956. Telephone number +353 1 476 5000. If the Company should become unable to meet its liabilities, the Financial Services Compensation Scheme will protect eligible policyholders habitually resident in the UK when their contract starts, with effect from 1 December 2001. This protection does not extend to externally linked investments. Prudential International Assurance plc is authorised by the Central Bank of Ireland and is subject to limited regulation by the Financial Conduct Authority for UK business. Details on the extent of our regulation by the Financial Conduct Authority are available from us on request.

www.prudential-international.com