

Additional Transfer Into Your SSAS

Please complete this form if you want to transfer funds from another pension scheme into your Plan.

TRANSFER IN

Please note that we do not accept transfers from pension schemes that include safeguarded benefits. Examples of this include but are not limited to, defined benefit schemes, guaranteed pensions including Guaranteed Annuity Rates (GARs) and Guaranteed Minimum Pensions (GMPs).

If any initial adviser charge is to be paid in relation to the transfer(s) please ensure that the Initial Adviser Charges section is completed. For any ongoing adviser charges please provide us with a completed adviser charges agreement.

TRANSFER 1

Transferring scheme/Provider		
Policy Number		
HMRC Reference Number		
Address		
	Postcode	

Estimated Transfer Value £

Type of scheme being transferred, Please select from one of the following:	Personal Pension	Occupational	Other
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If Occupational or Other has been selected please confirm the type of scheme being transferred	
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Does the transferring scheme contain any Safeguarded Benefits?	Yes	No
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If Yes has been selected we will not be able to accept the transfer

Is this a full or partial transfer?	Full transfer	Partial transfer
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Is the transferring Plan subject to any existing or proposed trustee in bankruptcy orders, earmarking or pension sharing orders, or other receiving orders?	Yes	No
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Is the transferring Plan a dependants or beneficiaries Plan?	Yes	No
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Please confirm if you received advice from an FCA regulated Financial Adviser in respect of the transfer:	Yes	No
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If advice has been selected your adviser will need to complete the Adviser Declaration

Have you taken any benefits from the scheme?

Yes	No
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If Yes please confirm by what method you have taken the benefits

Flexi- Access Drawdown	Uncrystallised Funds Pension Lump Sum	Capped Drawdown
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If via Capped Drawdown please confirm current maximum pension and review date. If there are multiple pots please list the individual maximum pensions and review dates

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If benefits have been taken from the scheme please confirm whether the scheme is entirely or partially in drawdown?

Full Drawdown	Partial Drawdown
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If in Partial Drawdown please confirm the percentage of uncrystallised and crystallised funds

Uncrystallised %
Crystallised %

How is the transfer to be made? Please select one of the following:

All as cash All in specie Part cash, part in specie

If any assets are to be transferred in specie, please provide us with a list of these assets. We will review each asset and may ask for additional information to be provided before we are able to confirm whether these can be accepted. We may ask for additional information from the transferring scheme before we process your request. This could result in a delay in the transfer process.

ADVISER DECLARATION

I confirm that I have given advice to transfer the above plan and have the appropriate permissions as per Part 4A of the Financial Services and Markets Act (FSMA). The transfer is not being undertaken on an insistent client basis and I have provided a positive recommendation to the transfer.

Signature:

Name:

FCA Number:

Date:

TRANSFER 2

Transferring scheme/Provider

Policy Number

HMRC Reference Number

Address

Postcode

Estimated Transfer Value £

Type of scheme being transferred, Please select from one of the following:

Personal Pension	Occupational	Other
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If Occupational or Other has been selected please confirm the type of scheme being transferred		
Does the transferring scheme contain any Safeguarded Benefits?	Yes	No

If Yes has been selected we will not be able to accept the transfer

Is this a full or partial transfer?	Full transfer	Partial transfer
Is the transferring Plan subject to any existing or proposed trustee in bankruptcy orders, earmarking or pension sharing orders, or other receiving orders?	Yes	No
Is the transferring Plan a dependants or beneficiaries Plan?	Yes	No
Please confirm if you received advice from an FCA regulated Financial Adviser in respect of the transfer	Yes	No

If advice has been selected your adviser will need to complete the Adviser Declaration

Have you taken any benefits from the scheme?	Yes	No	
If Yes please confirm by what method you have taken the benefits	Flexi-Access Drawdown	Uncrystallised Funds Pension Lump Sum	Capped Drawdown
If via Capped Drawdown please confirm current maximum pension and review date. If there are multiple pots please list the individual maximum pensions and review dates			
If benefits have been taken from the scheme please confirm whether the scheme is entirely or partially in drawdown	Full Drawdown	Partial Drawdown	
If in Partial Drawdown please confirm the percentage of uncrystallised and crystallised funds	Uncrystallised % Crystallised %		

How is the transfer to be made? Please select one of the following:

All as cash All in specie Part cash, part in specie

If any assets are to be transferred in specie, please provide us with a list of these assets. We will review each asset and may ask for additional information to be provided before we are able to confirm whether these can be accepted. We may ask for additional information from the transferring scheme before we process your request. This could result in a delay in the transfer process.

ADVISER DECLARATION

I confirm that I have given advice to transfer the above plan and have the appropriate permissions as per Part 4A of the Financial Services and Markets Act (FSMA). The transfer is not being undertaken on an insistent client basis and I have provided a positive recommendation to the transfer.

Signature:

Name:

FCA Number:

Date:

INITIAL ADVISER CHARGE TO BE PAID DIRECTLY FROM THE SSAS

This is the remuneration you have agreed to pay to your Financial Adviser for the initial advice and services that your Financial Adviser has provided to you in relation to the transfer(s). We will pay the initial adviser charges from your SSAS bank account once the relevant transfers have been paid into your Plan. Please select one of the following options:

A percentage of each transfer payment received %

A fixed amount of each transfer payment received

Another basis agreed with your Financial Adviser (give details below)

MEMBER DECLARATION

In respect of a transfer payment;

1. I authorise, instruct and apply to the transferring scheme to transfer sums and assets from the plan(s) as listed directly to D A Phillips & Co Ltd and to provide any instructions and/or discharge required by any relevant third party to do so.
2. I authorise D A Phillips & Co Ltd, the provider of the plan(s) listed, 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 D A Phillips & Co Ltd.
3. Until this application is accepted and complete, D A Phillips & Co Ltd's responsibility is limited to the return of the total payment(s) to the provider of the plan(s) listed.
4. When payment is made to D A Phillips & Co Ltd as instructed, this means that I shall no longer be entitled to receive pension benefits from the whole of the Plan(s) listed where the whole of the Plan is transferring, or that part of the Plan(s) represented by the payment(s) if only part of the Plan(s) is transferring.
5. I accept responsibility in respect of any claims, losses, expenses, additional tax charges or any penalties that D A Phillips & Co Ltd and the 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.
6. 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.
7. 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.

Where you are receiving advice from an FCA regulated Financial Adviser;

8. I confirm that I have received a positive recommendation to transfer my pension plan(s).

In respect of an adviser charges payment;

I authorise DP Pensions Ltd to pay the Adviser charges as detailed above.

Member Name:

Scheme Name:

Member Signature:

Date

Please return your completed form to:

D A Phillips & Co Ltd
Bridewell House
Bridewell Lane
Tenterden
Kent TN30 6FA

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Fax 01580 766 444

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Member of the Association of Member Directed Pension Schemes (AMPS)

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