

LV= SIPP

Flexible Transitions Account

Single Contribution (Top up only)

Application Form

About this form

You should use this form if you want to pay extra contributions into your existing LV= Pension Plan by bank transfer or cheque.

If you want to take immediate benefits you will need to complete our **Tax Free Cash & Income application form**.

If you want to pay money into a new type of investment, one you're not already invested in, you will need to complete our **Investment Instruction form**.

If you want to include additional transfers into your existing LV= Pension Plan, or pay regular contributions you will need to complete our **Contributions and Additional Transfers application form**.

If you wish to invest in LV=Smoothed Managed Funds Pension Series 1 (referred to as LV= Smoothed Managed Pension in this document) please read the Terms and Conditions and Your guide to how we manage our unitised with-profits Smoothed Managed Funds business.

Please provide the illustration reference

You can get this form in large print or other formats by calling us on 00800 0322 990



How we use your personal information

Find out how we use your personal information, and what rights you have by visiting www.LV.com/data-protection/life

This includes who we are, how long we hold your information, what we do with it and who we share it with.

Please ensure that you advise anyone else whose personal details you are providing in this form where they can find this information.

Personal details

Your full name

Your date of birth / / (DD/MM/YYYY)

Your plan number

Your contact telephone number

Your email address

Contribution

We need to know about the contributions you will be making into your plan. You can get tax relief on personal pension contributions up to 100% of your yearly earnings. If unemployed or the plan holder is a child under the age of 16 the maximum contribution is £3,600 gross each year. Contributions can only be made whilst the plan holder is under the age of 75.

What is your annual salary? £

We are required to verify the account ownership for the account the funds have been sent from. Please could you arrange to send us a recent bank statement dated within the last 3 months for all contributions.

Annual allowance

Do you have a reduced annual allowance, for example if you've taken any money out of a pension using Flexi-access Drawdown, or an Uncrystallised Funds Pension Lump Sum (UFPLS)? Yes No

If yes, your Annual Allowance will be reduced from £60,000 to £10,000 for any pension savings to money purchase pensions. Your Annual Allowance is the maximum amount you, or anyone else on your behalf, including your employer, can pay in to pension plans in any tax year that will be eligible for tax relief. For more information about this please speak to your financial adviser.

If yes, what date did this reduced annual allowance first apply to you? / / (DD/MM/YYYY)

Single Contributions

What is the source of this single contribution?

Occasionally we may require documentary evidence to confirm source of wealth. We'll be in touch if this is required.

Employment	Inheritance	Property sale	Divorce settlement	Other (please specify)
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Please give the amount you wish to pay into your pension plan. We will add the tax relief to the amounts shown below when this is payable.

Your personal single contribution	£
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Your employer's single contribution	£
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Third party contributions	£
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Please complete for any employer contributions

Employer's name

Employer's address

Postcode

Company registration number (if applicable):

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Company payroll date	(DD/MM)
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Business principal beneficial owners who own over 25%

Name	DOB	/	/	(DD/MM/YYYY)
Name	DOB	/	/	(DD/MM/YYYY)
Name	DOB	/	/	(DD/MM/YYYY)
Name	DOB	/	/	(DD/MM/YYYY)

Any other parties who exercise significant control (this needs to include directors and in the absence of principal beneficial owners the senior persons responsible for the operations)

Name	DOB	/	/	(DD/MM/YYYY)
Name	DOB	/	/	(DD/MM/YYYY)
Name	DOB	/	/	(DD/MM/YYYY)
Name	DOB	/	/	(DD/MM/YYYY)

If you are unsure of this information you can provide your employer with our Employer Details Form (available on request).

We can contact them directly if the form isn't returned promptly, what's their email address?

Please complete for any third party contributions (excluding employer payments covered above)

Their title and full name			
Their date of birth	/	/	(DD/MM/YYYY)
Their address			
			Postcode
Their relationship to the plan holder			
Their email address			

We will need to check the identity of any third person making a contribution to this plan. Where possible we will use online information agencies, but we may need to contact them for their permission.

Please ensure that you advise anyone else whose personal details are related to your policy that the 'How we use your information statement' is available by visiting www.LV.com/data-protection/life

Methods of Payment

- **Single contributions** can be paid directly into our bank account using a bank transfer (Bacs or Chaps). You'll need to provide us with this completed application form, so we can identify your payment.

Bank account number: 21718060

Bank sort code: 15 10 00

Bank account name: NMPTL Client Money

Payment Ref: LV= policy number and the plan holder's surname (for example **12345 SMITH**)

Failure to quote a reference may result in the payment being returned.

- If you pay by **cheque**
 - The cheque should be made payable to NMPTL Client Money. Please quote your name and plan number on the back of the cheque.
 - The cheque should be sent to us with your application form. Failure to do so may result in the payment being returned.

Investment details

Please let us know if you'd like your financial adviser to provide us with investment instructions on your behalf.' Yes No

LV= Core Funds

Equally in line with my current fund holdings

Proportionally in line with my current fund holdings

As outlined below (you can choose a maximum of 20 funds, and don't forget to make sure they total 100%).

Fund Name	Single Contribution or Transfer	Regular Contributions
	%	%
	%	%
	%	%
	%	%
	%	%
	%	%
	%	%
	%	%
	%	%
	%	%
	%	%
	%	%
	%	%
	%	%
	%	%
	%	%
	%	%
	%	%
	%	%
	%	%
	%	%

LV= Smoothed Pension

The Minimum amount is £5,000. The maximum amount is £1,000,000 (less the total of any current investments across the Smoothed Managed Funds Product range), you must also be over 17 years of age to have this type of investment with LV=. This is to purchase LV= Smoothed Pension Funds. You must receive financial advice if you are investing into this for the first time.

How much of your plan do you want to invest in LV= Smoothed Pension? £

Fund choice

Smoothed Managed Extra Cautious	Smoothed Managed Cautious	Smoothed Managed Balanced
Smoothed Managed Growth	Smoothed Managed Impact Growth	

Guarantee

Currently a guarantee can only be purchased on the Smoothed Managed Cautious Fund option at outset. Please tick below if you want a 10 year guarantee for your investment in the Cautious Fund.

Would you like to purchase a guarantee? Yes No

We’ve explained the guarantee and how much it costs in our Key Features of the Flexible Transitions Account and the personal illustration. To find out what the options are, talk to your financial adviser.

If you’ve purchased a guarantee we’ll contact you to remind you before your guarantee term ends in 10 years’ time. We’ll also let you know what replacement guarantees, if any, are available at that time, in case you want to add a new one. We won’t add a new guarantee unless you tell us to.

Other Investments

If you would like to invest in a new type of investment (including our LV= Protected Retirement Plan) you will need to complete our **Investment Instruction Form**. If you want to pay more money into an existing investment within your plan please give details below, and tell us how much you’d like to invest.

Investment	Single Contribution
	£
	£
	£
	£

Advice

Have you received financial advice in relation to this application? Yes No

If you’ve answered ‘No’

At LV=, we believe that a financial adviser is best placed to help you plan for your retirement. That’s why we always recommend that you speak to a financial adviser before you make any decision about your pension plan, or how your money is invested.

If you have an active servicing financial adviser would you like us to include them in correspondence? Yes No

If you’ve answered ‘Yes’

If you have received financial advice the section below must be completed. Where tax free cash or income is to be taken from the additional funds the adviser charge will be calculated after these benefits have been paid in line with the illustration reference below.

Please provide the illustration reference

Adviser details

Company name

Contact name

Financial Services Register – reference number

Financial Conduct Authority number:

Telephone number

Email address

Your agency number (if known)

Adviser charges single contribution

What is the agreed adviser charge for this application? £ OR %

Ongoing adviser charges

You only need to complete this question if the ongoing adviser charges paid from the plan each year is changing (if stating an amount, give the yearly amount)

£ OR %

Adviser charges

- In order to pay any adviser charges, there must be sufficient cleared funds available. These adviser charges will be taken from the plan in the same way as plan charges, as described in the Terms & Conditions.
- We won't calculate any VAT to be included in the adviser charges payable. Please include this in the amount stated if relevant.
- If tax free cash is also being requested your adviser fee will be paid net.

Declaration

About the scheme

- Liverpool Victoria Financial Services Limited (LV=) is the scheme administrator of the LV Personal Pension Scheme (the scheme) in accordance with its trust deed and rules (as amended from time to time).
- NM Pensions Trustees Limited (the trustees) acts as the scheme trustee and hold the assets on behalf of the member and the scheme administrator.

Honest and truthful disclosure

By completing this application, I confirm that;

- I have answered all questions truthfully and honestly even if this has been provided on a previous application to LV=.
- All information provided by me in connection with this application is honest and accurate, and I will inform you of any change occurring before acceptance of this application form.

I declare that to the best of my knowledge and belief the information contained in this application form and provided in my quote request is complete and true and I have checked any answers completed on my behalf.

General declaration and agreement

- I hereby apply to increase my contributions as described in this application.
- I have agreed with my financial adviser the charges set out in the Adviser Details section and I instruct LV= to pay my financial adviser the adviser charges specified in this application form. I confirm that these adviser charges are for pension advice relating to this plan only.
- I declare that I am not a United States (U.S.) Person for the purpose of the Foreign Account Tax Compliance Act (FATCA).

Declaration for LV= Core Funds

- I agree that contributions or other payments won't be invested until the Trustees have received cleared funds.
- I confirm that I wish to proceed immediately with the investment. If I wish to cancel within 30 days LV= will return the amount invested to the trustee bank account. However if the value of the units in the investment funds I have chosen falls before the cancellation form is received by LV=, I understand I will receive a different amount.

Declaration for LV= Smoothed Pension

- I agree that contributions or other payments won't be invested until the Trustees have received cleared funds.
- I confirm that I wish to proceed immediately with the investment and if I wish to cancel within 30 days LV= will return the premium paid into the fund at that time only to my 'trustee' Bank Account.
- I confirm that I have not fully cashed in any other Investments from LV= Flexible Guarantee Funds or an LV= Smoothed Pension held in my name, in order to invest in this LV= Smoothed Pension.
- I understand that LV= will not accept any investment if they believe that it is against the interests of other with-profits members.
- I understand that I need to have taken financial advice in order to invest in the LV= Smoothed Pension for the first time.

Declaration for Contributions

Where contributions are to be made to my plan:

- I declare and confirm that I'm under the age of 75 and either:
- I have relevant UK earnings in the current tax year; or
- I am, or have been, resident and ordinarily resident in the UK at some time in the current tax year; or
- I am a Crown Servant; or
- I am the spouse/civil partner of a Crown Servant.

I declare that the total contributions to all registered pension schemes which I'm claiming tax relief for won't exceed the higher of:

- the basic amount (currently £3,600 for each tax year); and
- my relevant UK earnings for the tax year in question.
- I declare that I will inform LV= if any of the above statements are no longer true and this results in me no longer being entitled to claim tax relief for my contributions. I agree to confirm such an event by no later than the next 5 April or, if later, 30 days after the event.
- I know that it's my responsibility to monitor my total contributions against the limit for tax relief and the Annual Allowance.
- I am aware that if I've applied for Enhanced or Fixed Protection this may be lost if I choose to contribute to this plan.

A summary of how we use your personal information

Liverpool Victoria Financial Services Limited (LV=) is the data controller of your personal information. We'll keep you informed about how we use your personal information in the document 'How we use your personal information', which is available:

- online at **www.LV.com/data-protection/life**
- in print from Life Customer Support, LV=, County Gates, Bournemouth, BH1 2NF or **LifeCustomerSupport@LV.com**

By completing this application I understand that my personal information and information I may have provided about other people will be used in line with the LV= 'How we use your information' statement, which includes being:

- Used by LV= and shared with my intermediary for the purposes of providing me with a quote, processing and administering my plan and assessing any claims.
- Shared with regulatory bodies (for example, the Financial Conduct Authority and HM Revenue and Customs) to enable LV= to fulfil legal and regulatory obligations.

It is therefore important that if you have provided information about other people in the application that you advise them to also read the 'How we use your personal information' statement so they are aware of how their personal information will be used by LV=.

You have a number of rights concerning your personal information. You can ask for a person to review an automated decision, and in certain circumstances to:

- **access** the personal information we hold about you.
- **correct** personal information.
- have your personal information **deleted**.
- **restrict** us processing your personal information
- **receive** your personal information in a **portable** format, and
- **object** to us processing your personal information.

If you want to find out more or exercise these rights, contact Life Customer Support, LV=, County Gates, Bournemouth, BH1 2NF or email us at **LifeCustomerSupport@LV.com**

You can contact us about data protection at: Data Protection Officer, LV= County Gates, Bournemouth, BH1 2NF or **dpo@LV.com**.

Financial Crime

The personal information LV= has collected from you will be shared with crime prevention agencies who will use it to prevent financial crime and money-laundering and to verify your identity. If financial crime is detected, you could be refused certain services, finance or employment. Further details of how your information will be used by LV= and these fraud prevention agencies, and your data protection rights, can be found by contacting us at GFC LV=, County Gates, Bournemouth BH1 2NF.

If you or anyone representing you:

- provides LV= with misleading or incorrect information to any of the questions asked when applying for or amending this product
- deliberately misleads LV= to obtain more favourable terms
- provides LV= with false documents
- makes a fraudulent payment by bank account and/or card

LV= may:

- reject your application
- amend your plan to record the correct information, apply any relevant terms and conditions and collect any additional monies due including any administration charges
- cancel or void your plan including any other products which you have with LV= and apply a cancellation charge
- recover from you any costs incurred and not return any monies paid by you

LV= also has the right to stop processing your application, cancel your plan and pass details to crime prevention and law enforcement agencies if

- LV= identifies financial crime or any attempt to gain an advantage, in connection with this application for this product, to which you're not entitled
- LV= identifies your involvement or association with fraud or financial crime

Terrorist Financing

LV= uses your information to make sure we comply with any financial sanctions that apply in the UK and overseas. This includes:

- checking your information against sanctions lists
- sharing your information with HM Treasury and international regulators if required

LV= will contact you if more information is needed to comply with any financial sanctions.

By signing below, I agree to be bound by these declarations.

Signature

Print name

Date / / (DD/MM/YYYY)

If you are signing this application on behalf of the applicant because you have a power of attorney or court of protection order please provide court sealed copies of these documents with this form.

Supplementary Declaration by Guardian

To be completed by the guardian where the plan holder is under 18.

I declare that:

- I've completed this application and made all of the declarations on behalf of the applicant
- I'm responsible for the contract, as if I was the applicant, until the applicant reaches the age of 18
- I'm responsible for ensuring that the applicant's contributions don't exceed the permitted limits.

Signature

Print name

Date / / (DD/MM/YYYY)

Please send your completed application form to

LV= Savings & Retirement
Pensions New Business
Tilehouse Street
Hitchin
SG5 2DX

This is positioned for a C4 window envelope

**You can get this and other documents from us in Braille
or large print by contacting your financial adviser.**



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