

# Financial Adviser Appointment Form

## Notes to help you

Please use black ink and write in CAPITAL LETTERS or tick as appropriate. Any corrections must be initialled – do not use correction fluid as this will invalidate your instruction. Before completing this form, the applicant must read the Privacy Notice on page 2. 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 submit the completed form to:

**Prudential International,  
Montague House,  
Adelaide Road,  
Dublin 2,  
Ireland.**

## Section 1 – Policy Owner(s)

Policy number(s)

**First Policy Owner**

Title:

Mr  Mrs  Miss  Ms  Other

Last Name

First Name (in Full)

Home Address in Full

  
  
  

Telephone number

Email Address

Date of birth

D	D	M	M	Y	Y	Y	Y
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**Additional Policy Owner**

Title:

Mr  Mrs  Miss  Ms  Other

Last Name

First Name (in Full)

Home Address in Full

  
  
  

Telephone number

Email Address

Date of birth

D	D	M	M	Y	Y	Y	Y
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## Section 2 – The company you are appointing

The company you are appointing as your servicing Financial Adviser and to whom you have granted authority to receive information and service your policy(ies) on your behalf.

Full Name of Company

Contact name

Address

  
  

Telephone number

Email Address

### Appointment of Financial Adviser

- I/We hereby appoint the above named Company as my/our Financial Adviser.
  - I/We acknowledge that if the above Company does not hold a Servicing Terms of Business with Prudential International Assurance plc (“PIA”) they cannot be registered to service my/our policy(ies) or deal with PIA on my/our behalf and, accordingly, will not receive automatic copies of any correspondence sent to me/us. In such cases PIA will keep a record that the above Company is my/our Financial Adviser and will release information to them on request only.
- 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'll use your personal information if we consider it is in our legitimate business interests so that we can operate as an efficient and effective business and ensure that our policyholders are appropriately protected. We use your personal information:

- to detect and prevent financial crime
- for marketing purposes, including profiling
- to obtain reinsurance for the policies we underwrite
- identifying customers that require additional support
- market research, data analytics including profiling, staff training and provision of on-line services
- for management information purposes including risk assessments, performance and management reporting.

Where we rely on legitimate interests, we will always balance this against your rights and freedoms. Where your rights override our legitimate interests we will cease to process personal data.

In addition, we M&G plc 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. To the extent that we need your consent to use your personal information for these purposes, you explicitly provide your consent. 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.

#### Who we share your personal information with and why

We are the data controller in respect of the personal information we collect about you and in this capacity we will share your personal information within M&G plc Group, with our Business Partners and with our Marketing Partners, for

### 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 A – How we use your personal information and why

We, M&G plc 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);

## Section 2 – The company you are appointing – continued

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, M&G plc 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 UK or 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, or
- to other countries, such as India or the United States of America, where appropriate safeguards have been put in place.

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

We'll keep your personal information while you're one of our policyholders (including joint policyholders), and for seven years from cessation, or longer if we need to by law. It'll always be in line with our data retention policy.

## 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, M&G plc 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

For certain products or services, we'll need to process your sensitive personal information, such as information relating to health, genetics, biometric identifiers and sexual orientation.

To the extent that we need your explicit consent to process this kind of personal information in the manner described in Parts A, B, and C, you explicitly provide your consent by signing and returning this form.

## 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 within one month of the date of receiving 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);
- object to us using your personal information for direct marketing (including related profiling) or other processing based on legitimate interests;
- complain to a data protection authority or another independent regulator about how we're using it.

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.

## Section 2 – The company you are appointing – continued

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.

### Contact Us

Write to us at:

Data Protection Officer  
Prudential International  
Montague House  
Adelaide Road  
Dublin 2

Call us on:

+353 1 476 5000

M&G plc Group means any directly or indirectly connected companies of PIA within M&G plc Group (including but not limited to The Prudential Assurance Company Limited, Prudential Distribution Limited, Prudential Pensions Limited, and M&G Wealth Advice Limited, Prudential Services Limited, PGDS (UK ONE) Limited, M&G Global Services Private Limited, 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, selected third party financial and insurance product providers and our legal advisers.

Marketing Partners means our service providers, intermediaries, pension trustees (and other stakeholders), scheme advisors, selected third party financial and insurance product providers and introducers.

#### First Policy Owner

Signature

Date

**Note:** If the Policy(ies) are owned by 2 or more persons this request must be signed by each of them. PIA reserves the right to request proof of ownership.

1. I/We hereby designate to the above named company to service my/our Policy(ies) for an indefinite period to the exclusion of all other financial advisers.
2. I/We authorise PIA to act on instructions received from them and to release information to them on request. I/ We confirm that we are aware that they will receive copies of all correspondence sent to me in relation to my/our Policy(ies).
3. I/We undertake to inform PIA immediately in writing if I/ We wish to amend or cancel this appointment.
4. I/We Certify that: a)
  - a) The Policy(ies) belong to me/us;
  - b) No other person has an entitlement of any kind in respect of the Policy(ies) overriding or restricting my/ our entitlement in any way; and
  - c) I/We have authority to make this instruction.

I/We understand that PIA reserves the right in its absolute discretion to reject any appointment or refuse such a request where it is deemed to be not in my/our best interest or in the interest of PIA.

#### Additional Policy Owner

Signature

Date

If there are more than two owners we need both pages completed and submitted together with this instruction.