

# Westerby Discretionary Pension Portfolio

## SUPPLEMENTARY APPLICATION FORM

This form is for use by existing members of the Westerby Discretionary Pension Portfolio in notifying Westerby Trustee Services Ltd of any changes to the contributions or additional pension transfer payments to be made.

This form also acts for employees as an application for basic tax relief by deduction from members contributions. The provider is, therefore, required by Her Majesty's Revenue and Customs (HMRC) to remind you that it is a serious offence to make false statements; the penalties are severe and could also lead to prosecution.

### 1. PERSONAL DETAILS

Title: MR / MRS / MISS / OTHER \_\_\_\_\_  
Surname: \_\_\_\_\_  
Forename(s): \_\_\_\_\_  
Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Post Code: \_\_\_\_\_  
Contact Telephone No: \_\_\_\_\_

### 2. EMPLOYMENT STATUS

#### EMPLOYMENT

1. Employed  
Please complete your employers full name and address:  
Employers Name: \_\_\_\_\_  
Employers Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Postcode: \_\_\_\_\_

2. Are you receiving a pension chargeable to tax under Schedule E?  
 3. Self-Employed (in receipt of profits or gains which are chargeable to tax under Schedule D)  
 4. Child under the age of 16 years?

If you do not fall into any of the above categories please select the most applicable status from the list below:

5. Caring for one or more children under the age of 16 years  
 6. Caring for a person aged 16 years or over  
 7. In full-time education  
 8. Unemployed  
 9. Other; please state: \_\_\_\_\_

### 3. ENTITLEMENT TO TAX RELIEF (Please tick one option)

- I have relevant UK earnings chargeable to Income Tax, or general earnings from overseas Crown employment subject to UK tax, in this tax year.  
 I am/or have been a resident in the UK at some time during this tax year.  
 My spouse has for this tax year general earnings from overseas Crown employment subject to UK tax.  
 I, or my spouse, are in overseas Crown employment but for this tax year do not have general earnings from overseas Crown employment subject to UK Tax.

#### GUIDANCE NOTES

Please delete as appropriate or indicate other title.

Relevant UK earnings means:

i) employment income

ii) income which is chargeable under Schedule D and is immediately derived from the carrying on or exercise of a trade or profession or vocation.

iii) income to which section 529 of Income and Corporation Taxes Act 1988 (ICTA) applies (patent income)

Relevant UK earnings are to be treated as not being chargeable to income tax, if in accordance with arrangements having effect by virtue of section 788 of ICTA, they are not taxable in the UK.

**4. CONTRIBUTIONS AND TRANSFERS**

(a) Please give details of any changes in the contributions to be paid to the Westerby Discretionary Pension Portfolio

Current regular contribution: Employer (Gross): £ \_\_\_\_\_ Applicant (Gross): £ \_\_\_\_\_

New regular contribution (total) Employer (Gross): £ \_\_\_\_\_ Applicant (Gross): £ \_\_\_\_\_

Frequency of regular contribution: Monthly  Annually

Single contribution: Employer £ \_\_\_\_\_ Applicant: £ \_\_\_\_\_

(b) Will your personal contributions be paid to the Westerby Discretionary Pension Portfolio by a third party, other than your employer? Yes / No

If 'YES' please provide name and address of the third party below:

Title \_\_\_\_\_ Surname \_\_\_\_\_ Forename \_\_\_\_\_

OR, Organisation Name \_\_\_\_\_

Address \_\_\_\_\_

Postcode \_\_\_\_\_

(c) Are contributions being paid to any other Registered Pension Schemes by you, or your employer on your behalf? Yes / No

(d) Do you wish to transfer any existing pension arrangements into to this contract? Yes / No

If Yes, approximate value to be transferred £ \_\_\_\_\_, coming from \_\_\_\_\_  
£ \_\_\_\_\_, coming from \_\_\_\_\_  
£ \_\_\_\_\_, coming from \_\_\_\_\_

(e) Evidence of Earnings - If you contribute in excess of the basic amount (£3,600 for the 07/08 tax year) please indicate your gross taxable earned income for the current tax year below:

**5. INDEPENDENT FINANCIAL ADVICE**

(i) Do you have an Independent Financial Adviser? Yes / No

If "Yes"

Person in firm responsible: \_\_\_\_\_

Name & Address of firm: \_\_\_\_\_

Post Code: \_\_\_\_\_

(ii) Is the adviser to receive remuneration by deduction from the fund? Yes / No

If "Yes"

Initial payment: \_\_\_\_\_ % of total transfers or £ \_\_\_\_\_  
\_\_\_\_\_ % of total contributions or £ \_\_\_\_\_

Renewal \_\_\_\_\_ % of Fund value or £ \_\_\_\_\_ per annum

There is no minimum contribution. Details of the maximum contributions payable are contained in the brochure. If in any doubt you should consult your financial adviser

Please inform us if you have already applied for or are intending to apply for enhanced protection.

A completed standing order mandate will be required to set up any annual or monthly contributions. Please contact us if a mandate is required for completion.

Cheques should be made payable to 'Trustees of the WDPP for (your name)'.

Please note that you will need to supply separate documentary evidence of identity and address of the third party.

Your financial adviser will need to submit an invoice addressed to your SIPP before we will release payment to them.

**6 - DECLARATION**

I hereby apply to Westerby Trustee Services Ltd to make the contributions and pension transfer payments detailed in Section 4 of this application. These are to be applied to my existing plan under the Westerby Discretionary Pension Portfolio and I agree to be bound by the governing Deed and Rules thereof and the Supplemental Deed.

I agree to the deduction from my plan of the Adviser remuneration shown in section 5 (ii) of this application form.

I agree that the amount of any unauthorised payment charge, scheme sanction charge or any other tax charge payable by the Scheme Administrator to HMRC in respect of my pension fund will be deducted from the funds held for my benefit. If there are insufficient funds held then I agree to pay the Scheme Administrator the amount by which the tax charges exceed the value of my fund.

**I declare that:-**

- (i) To the best of my knowledge the information contained in this application is true and complete.
- (ii) If contributions are to be paid I declare that I am under the age of 75 and a UK relevant individual as described in the notes in Section 6 of this application form.
- (iii) Any contributions made towards this scheme are not as a result of any pension commencement lump sum payment I have received from this or any other registered pension scheme.
- (iv) The total contributions to be paid by me or on my behalf to this scheme, together with any contributions to any other registered pension scheme, and in respect of which I am entitled to tax relief, do not exceed the greater of the basic amount or the amount of my relevant UK earnings for that tax year.
- (v) I agree to inform Westerby Trustee Services Ltd in writing if any event occurs as a result of which I will cease to be a UK relevant individual. Notice must be given by 5th April in the year of assessment in which the event occurs or 30 days after the event occurs if later.

**Transfer payments:-**

- (i) I request that the administrator of the transferring plan applies the whole of my available transfer value from that arrangement, except any part relating to Protected Rights benefits. I note and agree that the scheme cannot accept any Protected Rights, Guaranteed Minimum Pensions or Section 9 (2B) Rights.
- (ii) I understand that following the application of the transfer value neither I nor my spouse or dependants will have any further entitlement under the transferring plan.
- (iii) I authorise the trustees, administrators or insurers of the transferring plan to provide Westerby Trustee Services Ltd with any information it may request in relation to any benefits provided for me.

**Data Protection:-**

I understand that Westerby Trustee Services Ltd and Bank of Scotland will process and hold on computer or otherwise information obtained about me as a result of this Application.

- (i) I hereby give my consent to them obtaining, recording and holding this information and other such personal data as may be required in the future to administer my scheme.
- (ii) I also give consent to them disclosing to a third party such basic information about me as may be required by that third party to enable them to trace my whereabouts in the future should they be unable to do so and require their assistance.
- (iii) I understand that I have the right to ask for a copy of the personal data held in respect of me in return for the payment of a small fee and to require the correction of any inaccuracies in that data.
- (iv) Where I have disclosed the personal data relating to other living individuals, I am also deemed, as agent, on behalf of those individuals to have:-
  - a. Given consent on their behalf, and
  - b. Informed them of the identity of the data controllers, and the purposes for which their personal data will be processed.

**Adviser Remuneration:-**

I hereby authorise Westerby Trustee Services Ltd to deduct from my SIPP bank account any initial and renewal commission due to my Independent Financial Adviser as detailed in section 5 of this application form or as otherwise notified by me in writing should circumstances change.

**Signature** .....

**Print Name** .....

**Date** .....

Note: Please sign and date the application and declaration and return it to:

Westerby Trustee Services Limited  
1 & 2 St Matthews Business Centre  
Gower Street  
Leicester LE1 3LJ  
Tel: 0870 755 7590 Fax: 0116 253 9730 www.westerby.co.uk

Registered in England & Wales No. 02562924

Authorised and Regulated by the Financial Services Authority Reg. No. 463533