



# Member Transfer Questionnaire

Scheme name

Member name

Member number

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National Insurance number

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This must be completed by you using the information gathered during the transfer process.

As a scheme administrator we have a duty to look for any warning signs that your pension is being transferred as part of a pension scam.

Pension scams may involve fraud and theft. A range of scams have been developed which claim to exploit tax and legal loopholes and can offer members cash payments if they transfer from legitimate pension schemes. Reported scams include promising unrealistic rates of return. These will not necessarily be unlawful, but members are often taking more risk than they realise, potentially risking their entire pension savings. You should protect yourself from scams and be aware of the consequences of falling victim to scams, whether by transferring to a liberation vehicle or by making poor investment choices with your pension fund. Please note the government has introduced a ban on cold calling. If you have received an unwanted call from an unknown caller about your pension, please report it to the Information Commissioner's Office on 0303 123 1113.

We don't know if this is the case here and so, as part of our standard due diligence checking process, we need to ask you to please provide the following additional information in relation to the proposed transfer:

QUESTION	YOUR RESPONSE
How did you become aware of the provider/adviser/receiving scheme?	
Did the receiving scheme/provider/adviser make the first contact (e.g. a cold call)?	
Please confirm any contact details including Financial Conduct Authority (FCA) reference numbers if relevant	
What was the method of communication?	
Were you offered a free pension review?	
Have you received any advice in connection with transferring your pension benefits? If so, please provide details of the organisation or company that provided you with that advice including relevant FCA reference number.	

QUESTION	YOUR RESPONSE
Have you been given a formal Advice or Suitability Report which is specific to you and your circumstances and covers your attitude to risk and the investments that will be made on your behalf?	
During the transfer process, has the receiving scheme (or its administrators) contacted you with official documentation or has all communication been by text, email and/or telephone?	
Has a courier been sent to your home to collect signed documentation?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Have you received any promotional material or information about the receiving scheme? Information like a Key Features or Terms and Conditions document.	
If so, please provide copies.	
Please indicate the nature of the intended receiving scheme e.g. either:	
a) an Occupational Pension Scheme (OPS), e.g. a pension scheme provided by your current employer.	OPS <input type="checkbox"/> SSAS <input type="checkbox"/>
b) a Personal Pension Scheme (PPS).	PPS <input type="checkbox"/> QROPS <input type="checkbox"/>
c) a Self-Invested Personal Pension scheme (SIPP).	
d) a Small Self-Administered Scheme (SSAS).	SIPP <input type="checkbox"/>
e) a Qualifying Recognised Overseas Pension Scheme (QROPS). If e) is chosen we will send you additional documentation.	
Please supply the name and address and FCA registration number of the scheme administrator/provider.	
If the receiving scheme is either a PPS or SIPP, please also supply the scheme provider's Financial Conduct Authority (FCA) registration number (which should be shown on their letterhead).	
Will you be receiving any cash payment, bonus, commission or loan from the receiving scheme or its administrators or anyone involved with the transfer, as a result of transferring your benefits?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Have you been told that you can access any part of your pension fund under the receiving scheme before age 55, other than on the grounds of ill health?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Have you been told that you will be able to draw a higher tax-free cash sum as a result of transferring?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Have you been promised a specific/guaranteed rate of return?	Yes <input type="checkbox"/> No <input type="checkbox"/>
If yes, what rate?	

QUESTION	YOUR RESPONSE	
Have you been informed of an overseas investment opportunity?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Do you understand the nature of the underlying investments that you are planning to transfer into and do you know the risk involved?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Do you know how the transfer payment will be invested?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Please provide any details you have that indicate where the money will be invested and its proportions.		
Are you transferring to a newly established scheme?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Do you know what fees will be charged and how these will affect the value of your investments over time?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Do you consider them low, medium or high fees?		
Are you aware of how the fees will be charged compare with fees that apply under your current pension arrangement?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Are any of your investments subject to an exit penalty if you wish to access or transfer the investments within an agreed period of time (e.g. within five to ten years)?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Can you explain your reasons for requesting the transfer? What will you be able to achieve by transferring that you will not be able to do in your existing plan?		
Are any of your investments of the type which are included on the FCA warning list? <a href="https://www.fca.org.uk/scamsmart/types-investment-and-pension-scams">https://www.fca.org.uk/scamsmart/types-investment-and-pension-scams</a>	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Have any transfer requests from other pension plans (which you may have with other providers or administrators) to this receiving scheme been refused?		
If yes, do you know which providers or administrators refused to make the transfer/s and the reason/s for their refusal/s?		
Has your adviser advised you not to transfer?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If yes, can you explain why you wish to proceed against that advice?		

QUESTION	YOUR RESPONSE
<b>Please complete for transfer to a SIPP only:</b>	
Is the transfer into the SIPP being advised by the same company or individual who are administering the SIPP?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Is the scheme provider FCA registered?	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Please complete for transfers to a SSAS only:</b>	
Have you recently been asked to set up your own company in order to make this transfer?	Yes <input type="checkbox"/> No <input type="checkbox"/>
If yes, please tell us about this company and your role in it.	<div></div>
Are you a Trustee of the SSAS?	Yes <input type="checkbox"/> No <input type="checkbox"/>
Please provide your ICO reference number as data controller of the SSAS'	<div></div>
<b>Please complete for transfers to Occupational Schemes including a SSAS:</b>	
Is the sponsoring/principal employer an active or dormant company?	Yes <input type="checkbox"/> No <input type="checkbox"/>
What is the name of the employer (in whose name the scheme has been established)?	<div></div>
What is the address of the employer?	<div></div>
<b>Please complete for transfers to Occupational Pension Schemes only:</b>	
What is the date of incorporation of the principal employer for the receiving scheme?	<div></div>
What is the Company registration number for the principal employer of the receiving scheme?	<div></div>
What is the business, service or trade provided by the principal employer for the receiving scheme?	<div></div>

Signature

Date

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I confirm I have completed the above and based the answers on the information I have gathered in the transfer process.

To help reduce any delays in any further communication, would you please provide the following contact information:

Telephone number

Email address