

novia / SIPP Transfer Out Warranty

Transfer Out Warranty to be completed for investors wishing to transfer out of their Novia SIPP.

1 Investor Details

Investor number 141049
Title Mr
Surname Lockton
Forename(s) Andrew Michael
Date of Birth 30/03/1961

2 SIPP Details

SIPP number 536993
Valuation date 17/03/2016

Uncrystallised

Total Transfer Value* 146,940.92 Please transfer in full

*These values are not guaranteed. None of the benefits from this transfer are subject to an 'earmarking' order.

Drawdown Pension

Total Transfer Value* Please transfer in full

*Value as at the Valuation Date shown. These values are not guaranteed. None of the benefits from this transfer are subject to an 'earmarking' order.

3 Novia SIPP Scheme Details

PSTR number 00721624RT
ASCN number 7001449H

This payment comes from a Registered Pension Scheme approved under Part 4 of the Finance Act 2004.

4 Investor Declaration

I hereby request that Novia Financial plc pay the current value of the benefits in my Novia SIPP to the receiving arrangement indicated in Section 5 below.

I confirm that this payment represents a full discharge of all benefits as indicated and will have no further liability or obligation in respect of the transferred investments.

Investor signature

Andrew J. Lockton

Date

17.3.16.

5 Receiving Scheme Declaration

Member's name

NI number

Name of Scheme

Plan number (if known)

We undertake that the receiving Scheme is

A UK Registered Scheme*. This is a scheme which is registered by HM Revenue & Customs (HMRC) under Part 4 of the Finance Act 2004 (including schemes that automatically acquired this new registered status on 6 April 2006. The HMRC reference is

SF /PS

* A UK Registered Scheme could include

- A new employer's occupational/stakeholder pension scheme (if that Scheme is willing to accept the transfer)
- A personal/stakeholder pension plan
- An insurance policy known as a 'Section 32' or 'But-out' policy

A Qualifying Recognised Overseas Pension Scheme (QROPS). For a recognised overseas scheme to become a 'Qualifying' scheme and retain qualifying status, the scheme manager must provide information and evidence that:

- The scheme satisfies all of the requirements as described below for a Recognised Overseas Scheme
- Undertakes to notify HMRC if the scheme ceases to be a Recognised Overseas Scheme and supply them with information when making payments to certain scheme members.

We enclose a copy of the acceptance letters from HMRC Audit and Pension Scheme Services confirming the receiving scheme is a Qualifying Registered Overseas Pension Scheme.

I declare that the receiving scheme is prepared to accept the transfer payment and that it will be used to provide appropriate retirement benefits within the receiving arrangement.

Scheme particulars

Registered Pension Scheme number

6 Payment Details

Payments made to other insured schemes will only be made to the provider/insurer.

Name of pension provider

Address of pension provider
(including postcode)

Account name

novia / SIPP Transfer Out Warranty

Bank name and address

Sort code

Account number

Payment reference

Payments will be made by BACS. If alternate arrangements are required please speak to one of our Client Services Executives on 0845 680 8000.

7 Declaration

I/We confirm that the information given in Section 5 is accurate to the best of my/our knowledge and belief.

Signed for on behalf
of the receiving
scheme

Date

Print name

Position

Company stamp