

Carlton James  
 Carlton James Pension Administration  
 Lime Kiln House  
 Lime Kiln  
 Royal Wootton Bassett  
 SN4 7HF

20 June 2023

Our Ref: 132965/CT1/MFOSTER1

Dear Sir/Madam

**Pension Transfer To James Hay Partnership**

**Member Name:** Mr W Finlay  
**National Insurance Number:** WL 27 74 05 D  
**Date of Birth:** 18/04/1961  
**K2H Retirement Scheme policy number:** WL277405D  
**James Hay Partnership Member Number:** 132965

This is a partial transfer. £253,396.00 will be transferring over. The full policy value is £415,000.

Mr Finlay has elected to transfer the benefits held under K2H Retirement Scheme policy/plan number WL277405D to James Hay Partnership. The transfer is to be in cash and all assets held under your plan should be sold prior to transfer.

**James Hay Partnership Scheme Details**

Product Name	The James Hay Modular iSIPP
Scheme Name	The James Hay Personal Pension Plan
HM Revenue & Customs Tax Reference	This scheme is registered with HMRC under Chapter 2 of Part 4 of the Finance Act 2004
Pension Scheme Tax Reference Number	00616231RE
Address	James Hay Administration Company Ltd Dunns House St Pauls Road SALISBURY SP2 7BF

James Hay Partnership is not an annuity provider. All transfers where a Lump Sum has been paid must have been converted to Unsecured Pension (if prior to 6<sup>th</sup> April 2011), Capped Drawdown or Flexi-access Drawdown prior to transfer.

James Hay Partnership can only receive payments from an overseas scheme provided it is registered as a Qualifying Recognised Overseas Pension Scheme with HMRC.

James Hay Partnership, Dunn's House, St Paul's Road, Salisbury SP2 7BF DX: 333001 Salisbury 6

James Hay Partnership is the trading name of James Hay Services Limited (JHS) (registered in Jersey number 77310); IPS Pensions Limited (IPS) (registered in England number 2601833); James Hay Administration Company Limited (JHAC) (registered in England number 4068398); James Hay Pension Trustees Limited (JHPT) (registered in England number 1435887); James Hay Wrap Managers Limited (JHWM) (registered in England number 4773695); James Hay Wrap Nominee Company Limited (JHWNC) (registered in England number 7259308); PAL Trustees Limited (PAL) (registered in England number 1666419); Santhouse Pensioner Trustee Company Limited (SPTCL) (registered in England number 1670940); Sarum Trustees Limited (SarumTL) (registered in England number 1003681); Sealgrove Trustees Limited (STL) (registered in England number 1444964); The IPS Partnership Plc (IPS Plc) (registered in England number 1458445); Union Pension Trustees Limited (UPT) (registered in England number 2634371) and Union Pensions Trustees (London) Limited (UPTL) (registered in England number 1739546). JHS has its registered office at 2nd Floor, Gaspé House, 66-72 Esplanade, St Helier, Jersey, JE1 1GH. IPS, JHAC, JHPT, JHWM, JHWNC, SPTCL, SarumTL, IPS Plc, PAL, STL, UPT and UPTL have their registered office at Dunn's House, St Paul's Road, Salisbury, SP2 7BF. JHAC, JHWM, IPS and IPS Plc are authorised and regulated by the Financial Conduct Authority. The provision of Small Self Administered Schemes (SSAS) and trustee and/or administration services for SSAS are not regulated by the FCA. Therefore, IPS and IPS Plc are not regulated by the FCA in relation to these schemes or services. (04/19)

## What is required by James Hay Partnership from you:

### The Payment

Please send the monies to the bank details listed below:

Bank: Santander  
 Branch: Bridle Road  
 BOOTLE  
 L30 4UA

Sort Code: 090222  
 Bank account No: 10923188  
 Bank account name: James Hay Pension Trustees Limited re Pension Schemes  
 Ref to be quoted: C000132965 TVC

3m<sup>c</sup>

Please ensure that you quote the reference stated above to ensure timely allocation to the member. Incorrect references may lead to payments being returned.

Alternatively, should you wish to make the payment by cheque, it should be made payable to 'James Hay Pension Trustees Ltd. – ref: **W Finlay – 132965**.

### Information we need to know

- Confirmation that the scheme is a Registered Pension Scheme with HMRC
- Confirmation if the scheme is an occupational money purchase or an occupational final salary (if not already provided)
- Confirmation if the scheme contains any safeguarded benefits
- Details of any court orders against the policy i.e. divorce or bankruptcy
- If there are any restrictions on the PCLS available as a result of a pension credit from a policy already in payment.
- If the policy being transferred is already in drawdown, please provide the following income details:

Whether the policy is Unsecured Pension or Capped Drawdown  
 The date benefits were crystallised  
 The value of the arrangements at the date they were crystallised  
 Amount of PCLS paid  
 Percentage of Standard Lifetime Allowance used  
 Amount of Lifetime Allowance Charge (if applicable)  
 GAD rate used when benefits were crystallised  
 Gilt Yield used when benefits were crystallised  
 Current Maximum GAD income limit  
 Gross amount of income paid in this benefits year

\*If the member is receiving income from more than 1 tranche under your plan, please provide these details for each tranche.

\*\* If the member was originally in Alternatively Secured Pension or Unsecured Pension and has been converted to Capped Drawdown, the information provided should be as at the date the income was converted to Capped Drawdown.

### Other Requirements

Should you require any further information or documentation from the member, please contact them or their IFA in the first instance.

James Hay Partnership, Dunn's House, St Paul's Road, Salisbury SP2 7BF DX: 333001 Salisbury 6

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**What We Have Enclosed**

- Member authority to proceed with the transfer.
- Confirmation of HMRC approval
- Discharge Forms

**Declaration By James Hay Administration Company Limited (Scheme Administrator)**

We declare to the best of our knowledge and belief that the information given in this letter is true and complete.

The transfer payment will be applied to provide relevant pension benefits consistent with HMRC conditions of registration.

Should you have any questions about this transfer, please call us on 03455 212 414.

Yours faithfully



**Mary Foster**  
**Service Executive**  
**James Hay Administration Company Limited**

Enc.

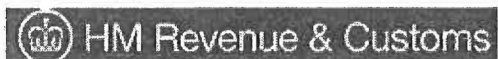
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JHPSALMAR19







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User Name: (A0009752)  
PSTR 00616231RE

## Pension Schemes

### Your HMRC Services

- Pension Schemes
  - > [Welcome](#)
  - > [View messages](#)
  - > [View all Pension Schemes](#)
  - > [Advanced Scheme Search](#)
  - > [Registered Pension Schemes Manual](#)
- Registration
  - > [View Certificate](#)
  - > [View Registration Details](#)
- Scheme Administration
  - > [View Current Scheme Details](#)
  - > [Amend Scheme Details](#)
  - > [Scheme Administrator Management](#)
  - > [Practitioner Management](#)
  - > [View Submission Receipts](#)
- Pension Service Notices for Scheme
  - > [View Notices](#)
- Reporting
  - > [Event Report](#)
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  - > [Pension Scheme Return](#)
- Quick Links
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  - > [Make a Payment](#)
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### Pension Scheme Summary

Pension Scheme Name **The James Hay Personal Pension Plan**  
Pension Scheme Tax Reference **00616231RE**  
(PSTR)

- > [View current scheme details](#)
- > [Amend scheme details](#)

## Registration ?

Registration for 05 Apr  
Tax 2006  
Relief at source

[View](#)[Register](#)

## Reporting ?

Please select the type of report below:

- > [Accounting for Tax](#)
- > [Registered Pension Scheme Return](#)
- > [Event Report](#)

## Scheme Administration

Please select an option below:

## Pension Service Notices for Scheme ?

You have 85 notices for this Pension Scheme

- > [Scheme Administrator management](#) ?
- > [Practitioner management](#) ?
- > [View submission receipts](#)
- > [View notices](#)

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**Current scheme details**


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Pension Scheme Name	The James Hay Personal Pension Plan
Deferred annuity contract / Retirement-annuity contract made after 5 April 2006	No
Date scheme registered	05 Apr 2006
Name of Scheme Administrator who registered the scheme	James Hay Administration Company Limited

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Scheme status	Open
Sub-scheme	No
Pension scheme structure	Single
The scheme is an investment regulated pension scheme 	Yes
Band of number of scheme members	

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Registered for Relief at source	No
Occupational pension scheme 	No

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Country or Territory scheme established	UNKNOWN
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**HM Revenue  
& Customs**

**Pension Schemes Services**  
FitzRoy House  
Castle Meadow Road  
Nottingham  
NG2 1BD

Andrew Weller  
James Hay Administration Company Ltd  
Dunn's House  
St Paul's Road  
Salisbury  
SP2 7BF

**Tel** 0845 600 2622  
*Monday to Friday 9.00 to 17.00*

**Fax** 0115 974 1480

[www.hmrc.gov.uk](http://www.hmrc.gov.uk)

**Date** 11 October 2011  
**Our Ref** JC/8543994  
**Your Ref**

Dear Sir

**James Hay Personal Pension Plan**

Thank you for your email dated 11 October 2011.

I can confirm that this pension scheme is registered under Schedule 36 Finance Act 2004 and the Pension Scheme Tax Reference is 00616231RE.

Yours faithfully

**John Curtis**  
Pension Schemes Services

**Helpline** 0845 600 2622

To help us improve customer service, please quote our reference number and provide a daytime telephone number in any correspondence.

Information is available in large print, audio tape and Braille formats.  
Text Relay service prefix number – 18001







CARLTON JAMES

## Receiving Scheme Declaration Form

### Section 1

Member Name

Mr William David Finlay

### Section 2

We undertake that the receiving Scheme is:

- A UK Registered Scheme:



*This is a scheme which is registered by HM Revenue & Customs under Part 4 of the Finance Act 2004 (including existing scheme that automatically acquire this new registered status on 6h April 2006). The Scheme PSTR/~~SF~~ Number is (Delete as Appropriate):*

00616231RE

- Type of scheme:

☐

A registered personal pension scheme

☐

A Small Self Administered Scheme (SSAS)

☒

Self invested personal pension (SIPP)

☐

Occupational defined contribution

- A Qualifying Recognised Overseas Scheme:

☐

*For a scheme to hold 'Qualifying' Status it must evidence that:*

*You have achieved a letter of acceptance from a HMRC Audit and the Pension Scheme Services to confirming your registered status as a Qualifying Recognised Overseas Scheme.*

**Carlton James may be unable to assist in a request for the transfer of benefits to another type of scheme.**





Please make sure this form is filled in, signed and dated. Once the receiving scheme declaration and supporting documentation have been evidenced and satisfies our due diligence, payment will be made via BACS. If you're unable to accept BACS please notify us at your earliest convenience.

### Section 3:

#### New Provider Details:

Scheme Name: The James Hay Personal Pension Plan

Reference Number: (If Known) C000132965 TVC

Bank Name: Santander

Account Holder Name: James Hay Pension trustees limited

Account Number: 10923188

Sort Code: 09-02-22

BACS Payment Reference: C000132965 TVC  
(If applicable)

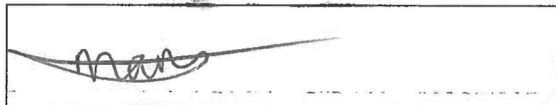
3m

#### Declaration

I/We confirm that the information given in this 'Receiving Scheme Declaration Form' is accurate to the best of my/our knowledge and belief.

Signed for and on behalf of the receiving  
scheme:

Dated:

	<u>20/06/2023</u>
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Print Name:

Position:

<u>Mary Foster</u>	<u>Service executive</u>
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**SIPP****JAMES HAY**  
PARTNERSHIP

## Cash Transfer In Form



JHAY0813

## Application guide

Please complete this form if you wish to transfer your pension from another provider to your James Hay SIPP or IPS SIPP as cash. Should you wish to transfer any holdings in your existing pension in-specie, please instead complete the relevant 'In-specie Transfer Form', available at [www.jameshay.co.uk](http://www.jameshay.co.uk).

**If you are transferring an occupational defined benefits (final salary) scheme, we will require written confirmation from your financial adviser that they have advised you in respect of this transfer and recommended that you proceed with the transfer. If applicable, your financial adviser will need to complete and sign Section 6.**

**If you wish to transfer an occupational money purchase (defined contribution) scheme, we may accept the transfer if you provide either written confirmation from your financial adviser that they have recommended that you proceed with the transfer, or written confirmation from the transferring scheme that the transfer contains no safeguarded benefits.**

Please complete this form in **BLOCK CAPITALS** and **black ink** and return it to James Hay Partnership, Dunn's House, St. Paul's Road, Salisbury, SP2 7BF. If you require any assistance please call your Service Executive Team or our general enquiry number **03455 212 414**.

The following are registered pension schemes for the purposes of Part 4 of the Finance Act 2004:

- The James Hay Personal Pension Plan (referred to below as James Hay SIPP): Pension Scheme Tax Reference 00616231RE
- IPS SIPP: Pension Scheme Tax Reference 00605813RN
- IPS (2008) SIPP: Pension Scheme Tax Reference 00605815RT
- IPS Pension Builder SIPP: Pension Scheme Tax Reference 00605666RJ

**Please note:** James Hay Partnership is not an annuity provider, and does not provide benefits in the form of a scheme pension - your financial adviser will be able to tell you more about how you can access funds from a SIPP in retirement.

## 1 Personal details

Applicant to complete

Title	<input type="text" value="Mr"/>		
Forename(s)	<input type="text" value="William"/>		
Surname	<input type="text" value="Finlay"/>		
Address	<input type="text" value="Beechleigh"/>		
	<input type="text" value="Ladock"/>		
	<input type="text" value="Truro"/>	Postcode <input type="text" value="TR2 4QD"/>	
Telephone	<input type="text" value="0 7940412615"/>	Email	<input type="text" value="Williamdfinlay@aol.com"/>
National Insurance number	<input type="text" value="WL 27 74 05 D"/>		
James Hay SIPP number	<input type="text" value="132965"/>	OR	IPS SIPP product number <input type="text"/>
<input type="checkbox"/>	IPS SIPP administered by The IPS Partnership PLC		<input type="checkbox"/> IPS Pension Builder SIPP administered by IPS Pensions Limited
<input type="checkbox"/>	IPS (2008) SIPP administered by IPS Pensions Limited		

## Please note:

- **Please ensure you fully complete this form for each transfer you would like to make.** Whether or not you have already requested the transfer from the transferring scheme, you will still need to provide us with all of the information relating to the transfer. For any transfers that you have not already requested, we will request them on your behalf.
- We can only accept a transfer where any benefits have already started to be paid if it is a drawdown to drawdown transfer.
- If you transfer in plans in both capped drawdown and flexi-access drawdown, they will all be converted to flexi-access drawdown upon receipt.
- As we are reliant on third parties for part of this process, we are unable to guarantee that any transfer will be completed by a specific deadline.
- If you are transferring beneficiary pension rights in addition to non-beneficiary pension rights, we will need to open a separate SIPP for the beneficiary pension rights. If you are transferring beneficiary pension rights which have different tax treatment, separate SIPPs will be opened for each type of beneficiary pension right. Please contact us for further information about this process before proceeding.



**2 Reason for transfer**

Applicant to complete

Are you requesting this transfer with the intention of making immediate withdrawals from your pension?

Yes ☐ No ☒

If **Yes**, and we do not have evidence that you are following the advice of your financial adviser, please read and complete Sections 2a and 3. Otherwise, please continue to Section 4.

**2a Important information and risks you must consider before proceeding**

Applicant to complete

**Please only complete this section if you are not following regulated financial advice and are transferring with the intention of immediately accessing pension benefits.**

Our regulator, the Financial Conduct Authority, requires us to ask you questions regarding matters you should have considered before accessing your SIPP through drawdown.

Depending on your answers, we will either:

- (1) write to you with tailored risk warnings, giving you 14 days to consider them before proceeding with processing your request to transfer; or
- (2) proceed with your transfer request where you appear to have considered the relevant risks.

**Please answer ALL of the following questions.**

1. Have you considered the state of your health and lifestyle when deciding the amount of money to take from your pension? For example if you are in good health, you need to consider that the income from your pension fund may need to support you for many years to come. Yes ☐ No ☐
2. If you have a spouse, civil partner or dependants, have you considered how your pension fund could be used to provide for them after your death? Yes ☐ No ☐
3. Over time, the effect of inflation means you can purchase less in the future than you can today with the same amount of money. Have you considered the effect of inflation on any money you take out of your pension? Yes ☐ No ☐
4. You should consider what other companies can offer you, to ensure you are happy with the options available from James Hay and the charges payable, before proceeding. Have you considered alternative pension companies to take money out of your pension with? Yes ☐ No ☐
5. Have you considered other ways of taking money from your pension other than income drawdown e.g. an annuity? If you are not sure what other options are available to you, you can find more information in the 'Your pension; your choices' leaflet available from [www.jameshay.co.uk](http://www.jameshay.co.uk). Yes ☐ No ☐
6. Do you have other income sources (outside of the money you intend to take from your pension) that are sufficient to currently provide you with your desired standard of living? Yes ☐ No ☐
7. Will the money you are taking from your pension fund be your sole or main source of wealth in retirement? Yes ☐ No ☐
8. Do you know that your drawdown income will be paid after deduction of income tax, and that it may affect your personal tax allowance? Yes ☐ No ☐
9. Are you aware that if you put the money you take out of your pension in a bank, or buy other investments with it, you may have to pay tax on any growth? Yes ☐ No ☐
10. Are you aware that once money has been taken out of your pension it becomes part of your estate for inheritance tax purposes? Yes ☐ No ☐
11. Do you receive any means tested benefits from the Government? Yes ☐ No ☐
12. Are you taking money out of your pension through flexi-access drawdown and intending to pay more money into your pension in the future? Yes ☐ No ☐
13. Do you know that if you owe money to a creditor (e.g. via a personal loan) they cannot force you to take money out of your pension to pay off any money you owe to them? Yes ☐ No ☐
14. Fraudsters increasingly target people to move their pension fund, and also once they have taken money out of their pension. You need to be careful when deciding where to invest your pension fund, and what you do with any money taken from it, as you could lose some or all of your money if you are the victim of a scam. Please read the FCA's **Pension Scams leaflet** and visit their website at [www.fca.org.uk/scamsmart](http://www.fca.org.uk/scamsmart) for further information.  
Are you aware that pension and investment scams exist and what to look out for? Yes ☐ No ☐
15. Are you aware that the amount of money you can take from your pension fund via income drawdown is not guaranteed and is based on a number of things? Yes ☐ No ☐





## 4 Transferring scheme details

Applicant to complete

I wish to transfer my entitlement to benefits from the following pension scheme to my SIPP named in Section 1.

Scheme name **K2H Retirement Scheme**

Scheme provider **Carlton James** Scheme contact number **+44 (0) 800 233 5626**

Scheme address **Carlton James Pension Administration - Lime Kiln House, Lime Kiln, Royal Wootton Bassett,**

Postcode **SN4 7HF**

Policy number(s) **WL277405D**

Scheme type ☐ Occupational money purchase (defined contribution) ☐ Occupational defined benefits (final salary)  
☒ Other registered pension scheme ☐ Qualifying recognised overseas pension scheme

Guaranteed transfer value expiry date (if applicable)

**Important: If we receive this form 10 working days or less before the guaranteed expiry date, we are unable to guarantee that we can process the transfer within this timescale and will not accept any liability for the expiry date being missed.**

Estimated value **£ 250655**

Do you wish to transfer the full value of this scheme? ☐ Yes ☒ No

If **No**, please state the amount you wish to transfer **£**

Is the transfer amount: ☒ Uncrystallised ☐ Crystallised ☐ Phased drawdown

Please detail any guarantees and/or protection attached to the transferring scheme

Does the transfer amount contain any safeguarded benefits? ☐ Yes ☒ No

Have you received financial advice in relation to this transfer? ☒ Yes ☐ No

If **Yes**, your financial adviser will need to complete and sign Section 6.

Is James Hay Partnership the administrator of this scheme? ☐ Yes ☒ No

Does James Hay need to complete the transferring scheme's transfer discharge form? ☒ Yes ☐ No

If **Yes**, please enclose the form with this document.

If **No**, we will request the transfer using the Origo Transfer Service.

Do you wish to immediately withdraw benefits from this plan once it has been transferred? ☐ Yes ☒ No

If **Yes**, please also complete the relevant James Hay 'Benefit Payment Form' to initiate benefits, or our 'Drawdown to Drawdown Transfer Form' if the plan being transferred in is already in drawdown.

Have you taken income through flexi-access drawdown, or an uncrystallised funds pension lump sum, from any pension you hold with other providers? ☐ Yes ☒ No

Is the transfer amount subject to an earmarking or pension sharing order or any other type of attachment order? ☐ Yes ☒ No

If **Yes**, please supply a certified copy of the order.

Is the transfer amount in respect of a pension credit (pension rights received as part of a divorce settlement)? ☐ Yes ☒ No

If **Yes**, please supply a certified copy of the court order, final order of divorce and pension sharing annex.

Is the transfer part of a block transfer? ☐ Yes ☒ No

Have you already instructed the transferring scheme that you wish to transfer? ☐ Yes ☒ No

Does the transfer amount include beneficiary pension rights? ☐ Yes ☒ No

If **Yes**, please complete the deceased's personal details below.

If **Yes**, is income from the beneficiary pension rights taxable? ☐ Yes ☐ No

#### Deceased's personal details (if applicable)

Full name

Date of birth  Date of death

National Insurance number







## 7 Member declaration

Applicant to complete

I authorise and instruct the provider of the transferring scheme named in Section 4 to transfer funds from the plan(s) listed directly to my James Hay SIPP. Where the provider of the transferring scheme listed in Section 4 has asked me to give them any original policy documents in return for the transfer of funds and I am unable to do so, I agree that I will be responsible for any losses and/or expenses which may result from me giving misleading or inaccurate information, deliberately or carelessly, or given on my behalf, either in this form or with respect to benefits from the plan.

I authorise the provider of the transferring scheme listed in Section 4 to release all necessary information to James Hay Partnership to enable the transfer of funds.

I authorise the provider of the transferring scheme listed in Section 4 to obtain from and release to my financial adviser any additional information that may be required to enable the transfer of funds.

If an employer is paying contributions to the transferring scheme listed in Section 4, I authorise the provider of the scheme to release to that employer any relevant information in connection with the transfer of funds from the relevant plan(s).

Until this application is accepted and complete, James Hay Partnership's responsibility is limited to the return of the total payment(s) to the provider of the transferring scheme listed in Section 4.

I accept responsibility in respect of any claims, losses and expenses that James Hay Partnership may incur as a result of any incorrect information provided by me in this application, or of any failure on my part to comply with any aspect of this application.

I accept that any enhanced or fixed protection will be lost if the transfer is not a permitted transfer as defined by HM Revenue & Customs legislation.

I agree that any entitlement to take lump sum rights in excess of 25% may only be retained on transfer if the transfer is part of a block transfer as defined by HM Revenue & Customs legislation. However, I accept that if this lump sum figure is over £375,000 and I have enhanced or primary protection, the lump sum on these certificates will take precedence.

I accept that certain guarantees and protections may only be retained if the transfer is part of a block transfer as defined by HM Revenue & Customs legislation.

I accept that James Hay Partnership will not pay any benefits or invest the funds that are transferred until all relevant transfer information has been received.

Signature

Date

DocuSigned by:  
  
 338A648287AC4FC...

05-06-2023 | 10:13 AM BST



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