



Rexam Pension Plan
Declaration of Regulated appropriate Independent Advice in relation to a Transfer of Benefits

Member's name	Member Reference No.
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To be completed by the UK financial advisor providing (or authorising) the regulated advice in accordance with Financial Conduct Authority (FCA) rules.

- I have permission under Part 4A of the Financial Services and Markets Act 2000, or resulting from any other provision of that Act, to carry on the regulated activity (advising on conversion or transfer of pension benefits) in article 53E of the FCA Regulated Activities Order (the Financial Services and Markets Act 2000 (Regulated Activities) Order 2001) ("the relevant permission").
- The above member has received regulated appropriate independent advice provided and/or checked by me which is specific to the transfer of the enhanced value of their safeguarded benefits from the Rexam Pension Plan, to secure flexible benefits under the registered or recognised pension scheme named below. I have complied fully with the requirements of the FCA in relation to the delivery of regulated advice, as set out in the Conduct of Business sourcebook, in particular (but not limited to) section 19.1.
- I am aware of the FCA's requirements in relation to the delivery of this regulated advice. I confirm that I have maintained full and complete ownership of the advice process, and the advice I have provided has not been limited or simplified.
- I have carried out appropriate due diligence on the scheme named below, I understand the product, and I have considered and advised upon the risks associated with the investment(s) proposed. My financial analysis includes appropriate allowance for the likely expected returns of the investment(s) proposed, and the actual charges associated with the scheme named below.
- I have taken reasonable steps to ensure that my client understands the comparison and advice I have given.
- I understand that the Trustee is required by law to authenticate my FCA permission status before this transfer is able to proceed. I hereby authorise the Trustee to approach the regulatory authorities as may be required in order to complete the authentication process.

Date advice was provided to the member	
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Name of regulated company or business	
Registered Office	
Company or business FCA registration number	
Full name of authorised financial advisor	
Individual FCA Reference Number of advisor	
Start date of certification	

Signature	
Printed name	
Date	



If the financial adviser is listed on the FCA register as '**Regulatory approval no longer required**', we will require an FCA authorised person of the principal firm to complete the following:

Name of regulated principal firm	
Registered Office	
Principal firm FCA registration number	
Full name of authorised person	
Individual FCA Reference Number	

I can confirm that the adviser detailed on page 1 is acting on behalf of the principal firm detailed above and is subject to the FCA Certification Regime. As such, it is the principal firm's responsibility to assess the fitness and propriety of the adviser to perform their role and I can confirm that this assessment has been undertaken to the satisfaction of the principal firm.

Authorised signatory	
Date	

If the financial advisor is listed on the FCA register as an '**appointed representative**' of another firm, we will require the principal firm to complete the following:

Name of regulated principal firm	
Registered Office	
Principal firm FCA registration number	

I confirm that the advice provided by the appointed representative above has been permitted by the principal firm, which endorses and reaffirms the declarations and statements made by the appointed representative.

I further confirm that the scope of the activities of the appointed representative above (as set out in the contract between the authorised firm and the appointed representative) includes the activity of advising on Pension Transfers and Pension Opt Outs.

Authorised signatory	
Date	



Rexam Pension Plan

Declaration of Regulated Appropriate Independent Advice in relation to a Transfer of Benefits

To be completed by the member AFTER completion of the advisor's declaration

Member's name	National Insurance no.
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I confirm that I have been provided with the required regulated financial advice prepared by the stated authorised financial advisor in relation to the transfer of my defined (safeguarded) benefits to secure flexible benefits under another registered pension scheme, or a qualifying recognised scheme established in a country or territory overseas.

It has been fully explained to me how the advice meets my personal circumstances, and I understand how the benefits being given up compare to any potential future benefits and options available under another registered or recognised pension scheme after a transfer has been completed. The advice has been provided in full accordance with FCA rules. I further confirm that:

- The UK authorised financial advisor named overleaf has ascertained my personal financial situation, investment objectives and my attitude to risk.
- I have received a suitability report which includes a personal recommendation from the authorised financial advisor that is appropriate to my circumstances.
- The suitability report includes details of my personal financial situation, my financial objectives and attitude to risk.
- I am satisfied that the risks, which have been fully explained to me and which are contained in the suitability report, are consistent with my attitude to risk, and I understand the potential disadvantages in addition to the possible merits of the transaction

*Ensure you read the declarations above carefully and understand them fully. If any of the declarations are incorrect, please contact Origen before proceeding. **Your pension may be at risk.***

Signed	<input type="text"/>	Date	<input type="text"/>
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Please do not send us any details of the advice you have received. Neither the Trustee, Ball nor the Plan administrators will consider the merits or suitability of the advice you have been given and will not endorse the advice you have received (although in some circumstances the Trustee may ask for further information regarding the manner in which the advice has been delivered).