

# Operational procedures for clients dealing in Threadneedle Pooled Pension Funds

These procedures are designed to enable us to process your instructions promptly. Please also refer to your Policy Terms which govern the allocation and redemption of units.

## Requests to Deal

- Please use the Dealing Form on the reverse of this document for all transactions.
- Please advise us, by **11 a.m.** on the dealing date, the details and amounts for investment, disinvestment and switches, including the share class name(s).
- All instructions must be signed by the appropriate number of authorised signatories.
- Please select Switch on the Dealing Form on page 4 of this document if you intend to move between funds and indicate clearly the direction of Switch +/- on the form. NB a Switch\* into the Sterling Fund (from a fund/share class other than the Sterling Fund) will result in the subscription of the Sterling Fund being instructed on T+3. This is to ensure settlement of the Switch Out (of a fund where settlement is T+4) and Switch In (Sterling Fund settlement is T+1) match on the same day and there is no mismatch. For example a Switch instruction (on 'T') of GBP100.00 from Global Select Fund into Sterling Fund:

T	T+1	T+2	T+3	T+4
'Switch -' (Out/Redemption): Global Select Fund GBP100.00				Settlement Out: GBP100.00
			'Switch +' (In/Subscription): Sterling Fund GBP100.00	Settlement In: GBP100.00

\* this transaction will be a 'redemption' and a 'subscription' and not a 'switch out' and 'switch in'

## Payments

### Investments – Electronic Bank Transfers

- Monies must reach our account by close of business four business days following the dealing day (T+4) for all Funds other than the Sterling Fund for which monies must reach our account by close of business the following dealing day (T+1).
- Late receipt of monies may be subject to an interest charge and may result in the cancellation of units. Non-receipt of monies will result in the cancellation of units and a possible charge being made.

- Account details for bank transfers for schemes investing:

**Account Name:** Threadneedle Pensions Dealing Acc

**BIC:** BOFAGB22

**IBAN:** GB51BOFA16505088846012

**Sort Code:** 16-50-50

**Account number:** 88846012

**BACs Payments:** Sort Code: 30-16-35

**Reference:** < client account number >

**Cheque payments are not accepted**

## Disinvestments

- Payments will be made on a T+4 basis, except the Sterling Fund where payments will be made on a T+1 basis, to the account specified by the Trustees on their original application or as subsequently advised.

## Dilution adjustment

- The price of units may include a dilution adjustment where a fund experiences large inflows or outflows of funds. Further details of the costs of buying and selling units are available in the key features document and policy conditions.

## Correspondence

- Please quote the client account number and the scheme name on all instructions and correspondence, including bank transfers. Investment delays will occur if correspondence and remittances cannot be identified.

## Email Instructions

- **email:** [TPENicsemaildealing@uk.sscinc.com](mailto:TPENicsemaildealing@uk.sscinc.com)  
You agree that each instruction will not be treated as received by us until you receive an e-mail from us confirming the same. If you do not receive an automated confirmation that your email instruction has been received, **you must contact us on UK: 0330 123 3779**
- Please address all dealing correspondence to:  
**Threadneedle Pensions Ltd**  
**ICS Department**  
**PO Box 12381**  
**Chelmsford**  
**CM99 2ET**
- **Fax instructions should be sent to Fax UK: 0330 123 3685.**  
Overseas: **+44 (0) 1268 457 713**

## Statement of Demands and Needs

The information below is to help you understand how the products you have selected meet your demands and needs. As you have not received any advice or a personal recommendation from us as to the suitability of the products, you will need to make your own choice as to how to proceed.

Threadneedle Pooled Pension Funds are designed to meet the requirements and needs of pension schemes exempt, approved or equivalent by HM Revenue & Customs (or platform firms whose investments are referable to exempt, approved or equivalent pensions business only) who are looking for their assets to gain exposure to pooled unit-linked funds with the objectives of the relevant Threadneedle Pooled Pensions Fund. The objective for each Threadneedle Pooled Pensions Fund can be found on the Key Features Document, available at [columbiathreadneedle.co.uk](http://columbiathreadneedle.co.uk).

**For the products you have selected please check the relevant policy documents to see the terms.**

## APPROPRIATENESS ASSESSMENT

We are required by the Insurance Distribution Directive to determine whether a client has the necessary knowledge and experience in the investment field to understand the risks involved with an investment product.

As part of this assessment, we require confirmation that:

The Trustee has received a recommendation from an investment firm on the product being applied for, as required by Section 36 of the Pensions Act 1995 (as amended)

YES  NO

Investment Consultant Firm	
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If answering "no" to the above, we will send a questionnaire for completion in respect of insurance-based investment products that we consider to be complex.

## Client Dealing Instructions for Threadneedle Pooled Pension Funds (TPEN)

<b>To</b>	Threadneedle Pensions Ltd ICS Department PO Box 12381 Chelmsford CM99 2ET	<b>From</b>	
<b>Fax</b>	UK: 0330 123 3685		
<b>Tel</b>	0330 123 3779	<b>Tel</b>	(for queries relating to this form, please ensure availability)
<b>Email</b>	TPENicsemaildealing@uk.sscinc.com		
<b>No. Pages (inc. this page)</b>		<b>Date</b>	/ /

<b>Client Name</b>			
<b>Client Account Number</b>		<b>Dealing Date</b>	/ /
			<ul style="list-style-type: none"> <li>• Forward dated instructions are not accepted.</li> <li>• Instructions received post the deal cut off will be placed for the next available valuation point.</li> </ul>

### Buy or Sell Instruction Only (to instruct a Switch complete page 4)

Buy or Sell	Share class name	ISIN	Amount in £	Or Amount of Units	Written amount

#### Threadneedle Bank Details:

**Account Name:** Threadneedle Pensions Dealing Acc

**BIC:** BOFAGB22

**IBAN:** GB51BOFA16505088846012

**Sort Code:** 16-50-50

**Account number:** 88846012

**BACs Payments:** Sort Code: 30-16-35

**Cheque payments are not accepted.**

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## Switch Instruction

For a switch from one share class of a Fund to another share class of the same Fund or a different Fund you are required to capture the switch transaction(s) you want to be placed on a one for one basis and not a many to one or one to many basis. The switch in will be placed on a date to ensure we do not have a settlement mismatch between the switch out and switch in. Please refer to the example on page 1. If you instruct a unit amount switch out, we will wait for the price of those units before we know the cash value to switch in. The switch in will be placed at the earliest opportunity. This transaction will be a 'redemption' and a 'subscription' and not a 'switch out' and 'switch in.'

Switch Out	Share class name	ISIN	Amount in £	Or Amount of Units	Written amount
Switch In	Share class name	ISIN	Amount in £	Or Amount of Units	Written amount
Switch Out	Share class name	ISIN	Amount in £	Or Amount of Units	Written amount
Switch In	Share class name	ISIN	Amount in £	Or Amount of Units	Written amount
Switch Out	Share class name	ISIN	Amount in £	Or Amount of Units	Written amount
Switch In	Share class name	ISIN	Amount in £	Or Amount of Units	Written amount
Switch Out	Share class name	ISIN	Amount in £	Or Amount of Units	Written amount
Switch In	Share class name	ISIN	Amount in £	Or Amount of Units	Written amount

You agree that each instruction will not be treated as received by us until you receive an e-mail from us confirming the same. If you do not receive an automated confirmation that your email instruction has been received, you **must contact us on UK: 0330 123 3779**.

**Important information:** This is a written instruction for the purpose of the Threadneedle Pooled Pension Funds Policy Terms. Without limitation, we will not be responsible for failing to action an instruction in circumstances where an e-mail instruction is diverted through e-mail servers to a SPAM or JUNK folder. You agree that we do not accept responsibility for any loss caused to you due to any delayed receipt, non-receipt, loss, or corruption of any information contained in any electronic communication or for any breach of confidentiality resulting from email communication.

Signature		Name	
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Trustee/Director/Secretary (Please delete as applicable)

Signature		Name	
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Trustee/Director/Secretary (Please delete as applicable)

### For Office use only – To be completed by Columbia Threadneedle only

Instruction is an AMC Rebate Re-Investment	Yes/No
Trade to be settled from Dealing Account	Yes/No
Approved By	

**Important information:** For use by Professional and/or Qualified Investors only (not to be used with or passed on to retail clients). Threadneedle Pensions Limited provides insurance policies that entitle to holder to the value determined with reference to the underlying investment in a pooled pension fund. The holder of a policy does not own the units in the selected fund. The Threadneedle Pooled Pension Funds Key Features Document (KFD) is available on the institutional site of [www.columbiathreadneedle.co.uk](http://www.columbiathreadneedle.co.uk). The KFD gives a summary of information about Threadneedle Pension Limited's pooled pensions in order to help you decide if you want to invest in funds, as well as a full list of risk factors applying to the funds. Threadneedle Pensions Limited. Registered in England and Wales, No. 984167. Registered Office: Cannon Place, 78 Cannon Street, London EC4N 6AG, United Kingdom. Authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. [columbiathreadneedle.com](http://columbiathreadneedle.com).