

Advice Confirmation Form

Confirmation that appropriate independent advice has been obtained from an authorised independent adviser or an appointed representative

Information: Before a transfer of safeguarded benefits from the Local Government Pension Scheme (LGPS) can take place a scheme member must provide proof that they have taken appropriate independent advice.

Instructions for completion: This form must be completed by the authorised independent adviser or an appointed representative from whom advice has been sought regarding a transfer to an arrangement offering flexible benefits¹. Once completed, the form should be given to the scheme member who, if they wish to proceed with the transfer², must also sign the form and return the completed form to pensions@dumgal.gov.uk

1. I **[INSERT ADVISER'S / APPOINTED REPRESENTATIVE'S NAME]** have provided advice which is specific to a transfer of safeguarded benefits from the LGPS to an arrangement offering flexible benefits¹ to the scheme member noted in section 5 below and the advice is specific to the type of transaction proposed by the scheme member.
2. I have authorisation from the Financial Conduct Authority and can act as an authorised independent adviser as permitted under Part 4A of the Financial Service and Markets Act 2000, or resulting from any other provisions of that Act, to carry on the regulated activity in Article 53E of the Financial Services and Markets Act 2000 (Regulated Activities) Order 2001 or I am acting as an appointed representative (within the meaning given by section 39(2) of that Act) in relation to a regulated activity so specified.
3. I am a pension transfer specialist or, if I am not, the advice I have provided has been checked by a pension transfer specialist.³
4. The FCA reference number of the company or business in which I work for the purposes of authorisation from the FCA to carry out the regulated activity in the aforementioned article 53E is **[INSERT FIRM REFERENCE NUMBER]**⁴.

¹ In this circumstance 'flexible benefit' means a transfer to any pension arrangement that offers a:

- money purchase benefit,
- cash balance benefit, or
- benefit, other than a [money purchase benefit](#) or [cash balance benefit](#), calculated by reference to an amount available for the provision of benefits to or in respect of the member (whether the amount so available is calculated by reference to payments made by the member or any other person in respect of the member or any other factor).

² The scheme member and the receiving scheme will also be required to sign transfer discharge forms which the LGPS Pension Fund will issue.

³ A pension transfer specialist is an individual appointed by a firm to check the suitability of a pension transfer who has passed the required examinations as specified in the FCA's Training and Competence sourcebook.

⁴ The LGPS Pension Fund will check the Financial Services Register maintained by the FCA to check whether the Firm's Reference Number includes permissions to advise on pension transfers and that there is no limitation excluding activity under article 53E.

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5. This advice has been provided to **[INSERT MEMBER'S NAME and NI NUMBER]** who is a member of the Local Government Pension Scheme in *England and Wales / Scotland/ Northern Ireland* **[DELETE AS APPROPRIATE]**.

SIGNED BY THE ADVISER / APPOINTED REPRESENTATIVE	
PRINT NAME	
DATE SIGNED	

6. I, the scheme member named in section 5, certify that I have received the advice as set out in section 1.

SIGNED BY THE MEMBER	
PRINT NAME	
DATE SIGNED	