

# Notice of Transfer

PO Box 1411  
Sunderland  
SR5 9RB

0800 022 3131  
www.metlife.co.uk

**Capitalised terms not defined in this Notice shall have the meaning given to such terms in the Terms of Business. When you have completed this form, please email a scanned copy to [aagency@metlife.com](mailto:aagency@metlife.com) (preferable) or post the original to the above address**

**All fields require completion in order to validate the transfer.**

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## Section 1

Name of Transferring Firm (the Transferring Authorised Entity)

FCA No:

Name of Recipient Firm (the Recipient Authorised Entity)

FCA No:

Which business line(s) are you registering to do business with MetLife?

Wealth Management      Employee Benefits      Individual Protection

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## Section 2

Depending on the business lines selected in Section 1:

### Employee Benefits

The Transferring Authorised Entity requests that MetLife transfer to the Recipient Authorised Entity the following interests in those Products placed with MetLife by the Transferring Authorised Entity or through any of the Transferring Advisers:

- Future servicing rights
- Future commission

By signing this Notice, the Recipient Authorised Entity confirms to MetLife that it has contacted the Clients and it has been appointed as the new financial adviser firm for those Clients and, as a result, it has the ongoing servicing relationship with the Clients.

Any changes to the relevant accounts will be processed within 5 working days upon receipt of all correct information.

### Individual Protection

The Transferring Authorised Entity requests that MetLife transfer to the Recipient Authorised Entity the following interests in those Products placed with MetLife by the Transferring Authorised Entity or through any of the Transferring Advisers:

- Future servicing rights
- Renewal commission

By signing this Notice, the Recipient Authorised Entity confirms to MetLife that:

- It has contacted the Clients and it has been appointed as the new financial adviser firm for those Clients and, as a result, it has the ongoing servicing relationship with the Clients; and
- it accepts full liability in respect of claw back of any unearned commission and accepts that any such liability shall be governed by the Terms of Business it has in place with MetLife and that the rate of claw back applied will be calculated based on the selling firm's commission contract.

Any changes to the relevant accounts will be processed within 5 working days upon receipt of all correct information.





## Scope and Definitions

This Notice of Transfer forms part of the Terms of Business in place between the Transferring Authorised Entity and MetLife. All Transfers will be subject to the Terms of Business and in particular to Section 13 of the Terms of Business which sets out MetLife's requirements in respect of the Recipient Authorised Entity. Following any Transfer effected pursuant to this Notice, this Notice shall form part of the Terms of Business in place between MetLife and the Recipient Authorised Entity.

For the purposes of this Notice, the following terms shall have the following meanings:

**Appointed Representative** - has the meaning given in the FCA Handbook.

**Clients** - policyholders of Products in which interests are being transferred under the terms of this Notice.

**Recipient Authorised Entity** - the FCA authorised intermediary identified in this Notice as the recipient authorised entity receiving from the Transferring Authorised Entity any Business (whether in whole or in part) conducted with MetLife pursuant to Terms of Business in place between the Transferring Authorised Entity and MetLife.

**Recipient Adviser** - Any Appointed Representative or Registered Individual who will have an ongoing servicing relationship with the Clients following the Transfer.

**Registered Individual** - An individual who has been authorised to perform certain tasks within an authorised intermediary.

**Transferring Adviser** - any Appointed Representative or Registered Individual of the Transferring Authorised Entity who is transferring under this Notice to the Recipient Authorised Entity.

**Transferring Authorised Entity** - the FCA authorised intermediary identified in this Notice as the transferring authorised entity who wishes to transfer to the Recipient Authorised Entity any Business (whether in whole or in part) conducted with MetLife pursuant to Terms of Business in place between the transferring authorised entity and MetLife.

0800 917 2006

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