

ENGINEERING YOUR FUTURE

THE CATERPILLAR DEFINED CONTRIBUTION PENSION PLAN

Investment Choices Change Form

Note: You are strongly advised to read “Your Investment Options” before completing this form. **Do not** complete or return this form if you do not wish to make any changes to your investment strategy. You can switch investments at any time.

Part A Member Details

Name (Forenames & Surname)

Payroll Number

NI Number

Part B Investments

You have a choice on how your DC Plan money is invested:-

- It can either be invested in one of the Lifestyle Options, in which case adjustments are made automatically on your behalf to your investment as you get closer to retirement. There are 3 lifestyle strategies to choose from, of which the default targets Income Drawdown – See **Part B1**.

OR

- You can manage your own investment strategy – See **Part B2**.

Important Note: If you choose the Lifestyle option it will apply to both your accumulated DC Plan fund and your future contributions i.e. you cannot choose to have your accumulated DC Plan fund invested in the Lifestyle option and your future contributions in one or more of the other funds, or vice versa.

Part B1 Lifestyle Options

Please tick this box if you wish your future DC Plan contributions and your accumulated DC Plan fund to be invested in the **Annuity Purchase Lifestyle** option.

☐

Please tick this box if you wish your future DC Plan contributions and your accumulated DC Plan fund to be invested in the **Cash Lump Sum Lifestyle** option (remember 75% of this will be taxable).

☐

Please tick this box if you wish your future DC Plan contributions and your accumulated DC Plan fund to be invested in the **default Income Drawdown Lifestyle** option.

☐

Expected Retirement Age

If you invest in the Lifestyle option, investment of your contributions is determined automatically according to the length of time before you expect to retire. Your contributions will be invested **automatically on the basis of a deemed expected retirement age of 65** unless you indicate an earlier expected retirement age.

Therefore, if you plan to retire BEFORE or AFTER age 65, please indicate your expected retirement age in this box. You should also complete this box if you are currently a Lifestyle member and wish to change your selected retirement age.

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Manage Your Own Investment Strategy

Important Note: - You should complete this section if

- a) you are currently invested in one of the Lifestyle options and now wish to manage your own investment strategy
OR
b) You already manage your own investment strategy and wish to alter your investment choices.

Future Contributions

Please indicate in the table below how you would like your future contributions to be invested.

Long Term Growth Fund	<input type="text"/>	%
Diversified Growth Fund	<input type="text"/>	%
Annuity Aware Fund	<input type="text"/>	%
Cash Fund	<input type="text"/>	%
UK Equity Fund	<input type="text"/>	%
North American Equity Fund	<input type="text"/>	%
Japanese Equity Fund	<input type="text"/>	%
European Equity Fund	<input type="text"/>	%
Pacific (ex Japan) Equity Fund	<input type="text"/>	%
Emerging Markets Equity Fund	<input type="text"/>	%
Fixed Interest Gilts Fund (over 15 years)	<input type="text"/>	%
Index Linked Gilts Fund (over 5 years)	<input type="text"/>	%
Corporate Bond Fund	<input type="text"/>	%
Retirement Income Multi Asset Fund	<input type="text"/>	%
Global Real Estate Equity Index	<input type="text"/>	%
UK Smaller Companies Index	<input type="text"/>	%
Future World Global Equity Index	<input type="text"/>	%
Islamic Global Equity Index Fund	<input type="text"/>	%
Total	100	%

Existing Accumulated Fund

Please indicate in the table below how you would like your accumulated fund to be invested.

Long Term Growth Fund	<input type="text"/>	%
Diversified Growth Fund	<input type="text"/>	%
Annuity Aware Fund	<input type="text"/>	%
Cash Fund	<input type="text"/>	%
UK Equity Fund	<input type="text"/>	%
North American Equity Fund	<input type="text"/>	%
Japanese Equity Fund	<input type="text"/>	%
European Equity Fund	<input type="text"/>	%
Pacific (ex Japan) Equity Fund	<input type="text"/>	%
Emerging Markets Equity Fund	<input type="text"/>	%
Fixed Interest Gilt Fund (over 15 years)	<input type="text"/>	%
Index Linked Gilt Fund (over 5 years)	<input type="text"/>	%
Corporate Bond Fund	<input type="text"/>	%
Retirement Income Multi Asset Fund	<input type="text"/>	%
Global Real Estate Equity Index	<input type="text"/>	%
UK Smaller Companies Index	<input type="text"/>	%
Future World Global Equity Index	<input type="text"/>	%
Islamic Global Equity Index Fund	<input type="text"/>	%
Total	100	%

Part C Declaration

I confirm that I wish to make the above changes, effective from the next available trading date after Mercer receive this form.

Signature: _____

Date: _____

Please complete and return form to:

**Mercer Limited
Maclaren House
Talbot Road
Stretford
Manchester
M32 0FP**

OR

Upload via – **www.contact.mercer.com**

The information provided will be processed by Mercer for purposes only associated with the Caterpillar Defined Contribution Pension Plan and will be used in accordance with its policies, Trust Deed and Rules, and the Data Protection Act 2018. "The Trustee of the Plan has a Data Protection Privacy Notice (the "Notice") which sets out how it obtains, uses and protects personal data relating to you as a member (and to individuals connected with you) in relation to your membership of, and the benefits provided for and in respect of you, under the Plan. The Notice explains what personal data the Trustee may collect about you, how it aims to keep your personal data safe, what it may use your personal data for, who it might share personal data with and your rights regarding your personal data. Please do take the time to read the Notice, which may be found at https://www.mycatpension.co.uk/Uploads/Documents/00/00/00/80/DocumentDocument_FILE/Caterpillar-GDPR-Privacy-Notice.pdf."