

M&G Wealth Platform

Firm Application

In order to process your Firm Application and/or Individual User Application(s) without delay, please ensure you complete ALL relevant sections of the form.

To help, we have created a small checklist below to ensure that your application is processed as quickly as possible.

Should you have any questions, please email us at PlatformInception@mandg.com or call our Service Desk on 0345 076 6140. Our lines are open 8:30am to 5:30pm Monday to Friday.

If you are making a Financial Adviser Firm Application, the following sections will need to be completed: (Please mark **x** in the box(es) as appropriate).

	Section Heading	What you need to provide	Where your signature is required	Completed
Section 1	Firm Details	Your firm details including registered company no., FCA firm reference no., Legal Entity Identifier (if applicable), address and bank account information	Page 2	<input type="checkbox"/>
Section 2	Individual User Application	Your individual contact details and platform access rights	Page 3	<input type="checkbox"/>
Section 3	Data Protection		Page 4	<input type="checkbox"/>

If you are making an Individual User Application only, the following section will need to be completed (please re-print this page for multiple applications):

	Section Heading	What you need to provide	Where your signature is required	Completed
Section 2	Individual User Application	Your individual contact details and Platform access rights	Page 3	<input type="checkbox"/>

Please note: we may require additional documents to verify your bank details

Where possible we will conduct our own verification checks. But to help avoid delays please provide one of the following documents and enclose with the completed form:

- certified copy of a recent bank statement (last 3 months)
- void cheque or paying-in slip
- letter from accountant on headed paper

Please return the completed application to us at the email address: PlatformInception@mandg.com

Section 1 Firm Details

Firm name

Registered Company Number

FCA Firm Reference Number

Legal Entity Identifier (LEI) – Required if your firm has discretionary permissions.

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Failure to provide us with a LEI will mean you will be unable to trade in Exchange Traded Instruments on our platform.

Section 1.1 Contact Details

Title

Surname

Forename(s)

Email*

*Please provide an email address so that we can send you service related emails as outlined in our Terms of Business.

Address

Postcode

Telephone

Mobile

Section 1.2 Bank Account Details

Please supply one of the following documents to verify the applicant's bank details:

- certified copy of a recent bank statement (last 3 months)
- void cheque or paying-in slip
- letter from accountant on headed paper

Please provide us with details of the Bank/Building Society account into which all payments should be made.

Names of account holder(s)

Bank/Building Society account number

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Branch sort code

		/			/		
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Full Name and Postal address of your Bank or Building Society

Name

Address

Postcode

Section 1.3 Authorised Signature

I/we have reviewed and accept the terms set out in the separate Terms of Business (please mark **x** to confirm)

☐

This form must be signed by an FCA Approved Person who has SMF1-4 or SMF16 functions and the authority to commit to contracts on behalf of the Firm.

Name

FCA Register or Directory number

Signature

Position

Date

D	D	/	M	M	/	Y	Y	Y	Y
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Section 2 Individual User Application

Please note a separate Application is required for each individual user. If you're a Financial Adviser, you must complete the Date of Birth and National Insurance number fields below.

Section 2.1 Firm Details

Firm Name

FCA Firm Reference Number

Section 2.2 Contact Details

Title

Surname

Forename(s)

Date of Birth

D

D

/

M

M

/

Y

Y

Y

Y

National Insurance number

If you do not have a National Insurance number, please mark **x** here

X

Email*

Address

Postcode

Telephone

Mobile

*Please provide an email address so that we can send you service related emails as outlined in our Terms of Business.

Section 2.3 Individual User Access Rights

Please confirm your position in the firm:

Firm Principal

X

Financial Adviser

X

Administrator/Support staff

X

NB. Financial Advisers will only have access to their assigned clients.

Please confirm your individual user access rights:

Model Portfolio owner with trading access

X

Model Portfolio owner without trading access

X

Trading access

X

Enquiry only access

X

Section 2.4 Authorised Signature

I have reviewed and accept the terms set out in the separate Terms of Business (please mark **x** to confirm)

X

This form must be signed by an FCA Approved Person who has SMF1-4 or SMF16 functions and the authority to commit to contracts on behalf of the Firm.

Name

FCA Register or Directory number

Signature

Position

Date

D

D

/

M

M

/

Y

Y

Y

Y

Section 3 Data Protection

As described in our Terms of Business, the personal data that you provide to Investment Funds Direct Limited under this form will be used by us in compliance with our obligations under the EU and/or UK General Data Protection Regulation including, where applicable, any other relevant privacy laws (together, "Applicable Data Protection Law").

Our Adviser Privacy Policy explains how personal data will be collected, used and stored by us and will set out further information required to be provided under Applicable Data Protection Law to the individual to whom the Personal Data relates. Please see our Adviser Privacy Policy (which we will update from time to time) for more information. This is available at ifdl.info/adviserprivacypolicy. If you provide us with information about Clients, you confirm that you will pass on a copy of our Client Privacy Policy to them so that they are aware of how their Personal Data will be collected, used and stored by us. This is available from your Financial Adviser or at ifdl.info/privacypolicy.

Signed for and on behalf of the Firm:

This form must be signed by an FCA Approved Person who has SMF1-4 or SMF16 functions and the authority to commit to contracts on behalf of the Firm.

Name

FCA Register or Directory number

Signature

Position

Date

D

D

/

M

M

/

Y

Y

Y

Y

The M&G Wealth Platform is provided by Investment Funds Direct Limited, registered in England and Wales No. 1610781. Registered office: 10 Fenchurch Avenue, London EC3M 5AG. Authorised and regulated by the Financial Conduct Authority No. 114432. Investment Funds Direct Limited is a subsidiary of M&G plc, incorporated and registered in England and Wales. Registered office: 10 Fenchurch Avenue, London EC3M 5AG. Registered number 11444019. M&G plc is a holding company, some of whose subsidiaries are authorised and regulated, as applicable, by the Prudential Regulation Authority and the Financial Conduct Authority.