M&G wealth

M&G Wealth Platform

Firm Application

Use this form to set up your Directly Authorised Firm and/or Individual User access.

To reduce paper usage, when possible please complete and sign this form digitally.

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.

The completed form and any additional documentation should be sent to:

platforminception@mandg.com

Information

In order to process your Application(s) without delay, please follow the relevant checklist below and complete all relevant sections of the form.

Firm Application

New Directly Authorised Firm signing up to the Platform

	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	N/A	X
Section 2	Individual User Application(s)	Your individual details and what level of Platform access you require	N/A	X
Section 3	Firm Authorised Signatory		Page 5	X

Individual User Application(s)

Existing firm requesting Platform access for new users

	Section Heading	What you need to provide	Where your signature is required	Completed
Section 2	Individual User Application(s)	Your individual details and what level of Platform access you require	N/A	X
Section 3	Firm Authorised Signatory		Page 5	X

Online Access

In Section 2 you will first need to choose what level of online access your individual users require, and then confirm what level of model portfolio access they require. The levels are:

Online access:

- Enquiry only access
- Trading access (Buy, Sell or Switch)

Model Portfolio access:

- Model Portfolio Standard User

  A model portfolio standard user has access to use model portfolios if permissions have been granted to them by the model portfolio administrator within their firm, including DFM models that might have been shared with that firm by a DFM. Permissions that can be provided to these users by their model portfolio administrator include the ability to view a model, attach or detach accounts to a model, edit a model, rebalance a model and allocate new monies to a model.

- Model Portfolio Administrator

  A model portfolio administrator has the ability to create and edit models, including assets in the model and their allocations, and will be responsible for managing permissions for standard model portfolio users within their firm, including managing permissions to DFM models that might be shared with that firm by a DFM.

Terms of Business

Please ensure you have read and fully accept the terms set out in our Terms of Business document.

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. 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.

Section 1 Firm Details

Section 1.1 Registered Details

Firm Name

Registered Company Number

FCA Firm Reference Number

Address

Postcode

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

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

Section 1.2 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.

Office phone number

Section 1.3 Bank Account Details

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

Where possible we will run our own verification checks, but we may require additional documents to verify your bank details. To help avoid delays, please enclose one of the following documents:

- certified copy of a recent bank statement (last 3 months)
- void cheque or paying-in slip

Please note, we can only accept account details for either banks or building societies, not e-money institutes (e.g. Revolut or Wise).

Account type

Bank account X Building society X

Name on account

Bank/Building Society account number

Branch sort code

Section 2 Individual User Application(s)

Reminder: Please ensure we are informed if any listed staff or advisers no longer work at your firm, so we can update access accordingly.

Section 2.1 Administrator and support staff

Title	Forename(s)	Surname	Email	Online access required	Model Portfolio access required See Page 2 for descriptions of what these options allow

Section 2.2 Financial Adviser(s)

Title	Forename(s)	Surname	Email	FCA Individual Reference Number (IRN)	National Insurance number	Date of Birth DD / MM / YYYY	Online Access required	Model Portfolio access required See Page 2 for descriptions of what these options allow

*Failure to provide us with a National Insurance Number will mean you will be unable to trade in Exchange Traded Instruments (ETIs) on the M&G Wealth Platform. ETIs are any instruments that are listed and traded on regulated exchanges, including individual stocks and exchange traded funds.

Section 3 Firm Authorised Signatory

Signed for and on behalf of the Firm:

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

This 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

Position

Signature

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.