M&G wealth

M&G Wealth Platform

Appointed Representative Application

Use this form to set up the Appointed Representative 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.

Appointed Representative Application

New Firm signing up to the Platform as part of a Network

	Section Heading	What you need to provide	Where your signature is required	Completed
Section 1	Appointed Representative Details	Your firm details and network principal firm details.	N/A	☐
Section 2	Individual User Application(s)	Your individual details and what level of Platform access you require	N/A	☐
Section 3	Appointed Representative Authorised Signatory	N/A	Page 5	☐
Section 4	Network Authorised Signatory	N/A	Page 5	☐

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	☐
Section 3	Appointed Representative Authorised Signatory	N/A	Page 5	☐

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 Appointed Representative Details

Section 1.1 Network Details

Network Principal Firm Name

Network Principal Firm FCA Reference Number

Section 1.2 Firm Details

Firm Name

FCA Firm Reference Number

Registered Company Number

Address

Postcode

Section 1.3 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 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

Section 3 Appointed Representative Authorised Signatory

- I/We accept the terms set out in the Terms of Business agreed by the Network Principal named above.
- I/We understand that once an authorised signatory has been acknowledged by the network, IFDL will act in good faith upon any instruction received from that signatory, and in doing so will rely on that instruction as being placed on behalf of the network.
- I/We understand that IFDL may alter or terminate, individually or collectively, the Appointed Representative's or its Individual Users' access rights without necessarily altering or terminating the Terms of Business with the Network Principal.

Signed for and on behalf of the Appointed Representative. 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

Is the Appointed Representative signatory an authorised signatory on behalf of the network? Yes ☐ No ☐

FCA Register or Directory number

Signature

Position

Date

D D / M M / Y Y Y Y

Section 4 Network Authorised Signatory

- I/We understand that authorisation of bank account details, network signatories and individual users can only be performed by a recognised network signatory.
- I/We understand that all business instructions placed by an Appointed Representative are the responsibility of the Network Principal under FCA rules.
- I/We understand that once an authorised signatory has been acknowledged by the network, IFDL will act in good faith upon any instruction received from that signatory, and in doing so will rely on that instruction as being placed on behalf of the network.
- I/We understand that IFDL may alter or terminate, individually or collectively, the Appointed Representative's or its Individual Users' access rights without necessarily altering or terminating the Terms of Business with the Network Principal.

Signed for and on behalf of The Network Principal:

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