

M&G Wealth Platform

Client Information Form

Welcome to the M&G Wealth Platform. This form can be used to collect information for an online application, but please note we cannot accept an application if it hasn't been processed online. If you have any questions please call our Client Services Team on 0345 076 6140. Our lines are open 8:30am to 5:30pm Monday to Friday.

Section 1 Personal Details

Are you a US Person?

Yes

☐

No

☐

We will be unable to accept your application if you are a US Person.

Please note that there are restrictions on certain products if you are not a UK resident.

Are you a UK resident?

Yes

☐

No

☐

Only UK residents can apply online. If you are an eligible non-UK resident, please complete a:

- Client Application to apply for a GIA, ISA and/or Third Party Product Account
- Pension Client Application to apply for a SIPP

Existing client number (if applicable)

Title

Surname

Forename(s)

Date of Birth

You must be 18 or over to apply for a SIPP.

Legal gender

Male

☐

Female

☐

National Insurance number

If you do NOT have a National Insurance number, please mark X here

☐

Nationality

If you have dual nationality or are not a UK National, please complete the following:

Non-UK nationality

National Identifier

If you do not have your National Identifier, please mark X here

☐

Failure to provide us with a National Insurance number or other National Identifier will usually mean you will be unable to trade in Exchange Traded Instruments on our Platform.

Marital status

Civil Partnership

☐

Co-habiting

☐

Divorced

☐

Married

☐

Separated

☐

Single

☐

Widowed

☐

Section 2 Address Details

Line 1

Line 2

City/Town

County

Country

Postcode

Section 3 Contact Details

Mobile phone number

Preferred phone number

☐

Home phone number

☐

Work phone number

☐

Preferred contact method

Online

☐

Post

☐

We'll apply these preferences where possible. Sometimes we may have to use another method to contact you. If you need an alternative format (Braille, Audio or Large Print), please contact our customer services team.

Email

Section 4 Employment Details

Employment status

Carer – for persons over 16

☐

Carer – one or more children under 16

☐

Child under 16 years

☐

Employed

☐

Retired

☐

Self-Employed

☐

Full Time Education

☐

Unemployed

☐

Other (please specify)

Occupation

Occupation sector

Approximate Annual Earnings

£

Approximate liquid wealth. Please mark x in one box only:

£0-5 million

☐

£5-30 million

☐

Over £30 million

☐

Section 5 Bank Account Details

Account type

Bank account

☐

Building society

☐

Name on account

Bank/Building Society account number

Branch sort code

Bank details are required to verify your identity. We will complete identity verify checks as part of the application process.

Wherever possible we complete these checks online, but occasionally we may need to request additional information, such as:

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

Section 6 Client Access

What online access rights do you require?

Enquiry only

☐

Enquiry and Trading Access*

☐

Note: The access rights you choose as an individual will also apply to any account that you may be linked to.

*Enquiry and Trading access is not allowed if you have a Discretionary Fund Manager appointed.

Section 7 Data Protection

As described in our Terms, 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 Regulations, including, where applicable, any other relevant privacy laws (together, "Applicable Data Protection Law").

Our Client 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 Client Privacy Policy (which we will update from time to time) for more information. This is available from your Financial Adviser or at ifdl.info/privacypolicy. If you provide us with information about other investors, 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 8 Investment Details

Transfers In

Product GIA, ISA, SIPP or TPP	Scheme name	Transferring scheme Address	Scheme ref.	Amount	Transfer type		Adviser Charges		Auto Investment Model or (ISIN & %)	DFM model	Cash amount to be excluded (if applicable)
					Cash	Re- registration	Initial % or £	Ongoing % or £			
				£							£
				£							£
				£							£

To capture any additional information (for example SIPP transfers in with safeguarded rights, protected TFLS, ill health etc), please use Section 11 'Notes'.

Payments In

Product GIA, ISA, SIPP or TPP	Payee	Amount	Frequency	Adviser Charges		Auto Investment Model or (ISIN & %)	DFM model	Cash amount to be excluded (if applicable)
				Initial % or £	Ongoing % or £			
		£						£
		£						£
		£						£

Section 9 Income Details

Product GIA, ISA, SIPP or TPP	Amount	Frequency	Start Date	Other information
	£			
	£			
	£			

Section 10 Pension Benefit Details

Section 11 Notes

Section 12 Next Steps

Thank you for supplying your information to your Financial Adviser, they will now submit an application on your behalf. When this is complete we'll email you a copy to review and sign online through our digital signature portal, DocuSign.

Please look out for our email which will come from: **wealthplatform.newbusiness@mandg.com**

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.