



The M&G ISA

Application to transfer your ISA(s) to M&G from another ISA manager

This form can be used to:

- transfer both previous and current tax year ISA contributions to M&G from another ISA manager.

Important Information:

- **Before investing:** you should read an up-to-date version of your chosen fund's 'Key Documents': Key Investor Information Document (KIID), Prospectus and, for funds with sustainability characteristics or with a sustainability label, the Consumer-Facing Disclosure (CFD). You should also read the Important Information for Investors document, which includes M&G's Terms and Conditions. These provide you with information about your investment, including details about the fund's different share classes: be sure to choose the appropriate one for you. They also explain fund charges, including the ongoing charge, a deduction from your fund which M&G makes to cover the costs of investment management and administration. Additional fund information can be obtained from the Costs and charges illustration, and Annual or Interim Fund Reports.

- If you have any questions or would like a free up-to-date copy of the Key Documents, additional fund information or additional application forms, please visit mandg.co.uk/literature or call our Customer Relations team on 0800 390 390. All literature provided will be in English.
- If a financial adviser has arranged this deal, depending upon the share class(es) chosen, commission may be payable where advice has not been given.

Before you invest:

- Please note: The M&G ISA is not a Flexible ISA, an Innovative Finance ISA or a Lifetime ISA.
- If you are unsure about the suitability of your investment, speak to your financial adviser.

If you are a resident in the USA, in order to comply with US law, we are unable to accept your investment. If you submit an application to us it will be rejected and returned to you.

Please complete this form in blue or black ink, using CAPITAL letters and ticking the appropriate boxes.

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Adviser details (only to be completed by a financial adviser)

For commission eligibility and FCA product sales data purposes: if you did not provide advice on this sale please tick this box ☐

Company name

M&G adviser reference number

Adviser name

FCA number

If advice has been provided on the investment(s) detailed in Section 3, please ensure you select a non-commissionable share class otherwise the application may be rejected.

1 Personal details

Please complete the personal details below. Please note, if you do not provide this information, your application may be rejected.

Your M&G client reference (current M&G investors)

Mr ☐

Mrs ☐

Miss ☐

Ms ☐

Other ☐

Forename(s)

Surname

Address

Postcode

Nationality

Occupation – we require this information due to anti-money laundering requirements
(eg retired, manager, professional, sales, self employed, etc)

Date of birth

D

D

M

M

Y

Y

Y

Y

Phone: Home

Mobile

Work

Email

☐ Tick here if you're not eligible for a National Insurance number

National Insurance number

Please visit gov.uk/find-national-insurance-number to find or apply for a National Insurance number.

Occupation sector (eg distribution, education, financial services, healthcare, transport and logistics, etc)

Please leave blank if you're retired / a house maker

2 Selecting your ISA

I apply to subscribe to a **Stocks and Shares ISA** for the tax year ending 5 April 20

Y

Y

 and each subsequent tax year and until further notice.

3 Your new investment details

Previous tax year contributions

You can transfer all or a percentage of your previous tax year contributions invested with another ISA manager.

If you are transferring previous tax year contributions, please indicate whether the transfer is partial ☐ or total ☐

Current tax year contributions

You can only transfer current tax year contributions in total and we are unable to accept further subscriptions until the transfer is complete.

Please specify your choice of fund(s), the share class and share type, and the proportion of the amount to be transferred that you wish to invest against the fund(s) of your choice. If you do not specify this information your application may be rejected.

See the Important Information for Investors document and/or the KIID(s) for the funds you are investing in for details, including minimum transfer amounts and share class availability.

Stocks and Shares ISA Full name(s) of fund(s) chosen	Share class (eg A, A-H, R*)	Share type required (Delete as appropriate)	Proportion of the amount transferred Must total 100%
		Income/Accumulation	%
		Income/Accumulation	%
		Income/Accumulation	%

*The R share class is only available to advised clients.

Note: Please use another sheet of paper if you need more space to list your choice of funds.

Please specify how the investment will be funded?

(eg earnings, inheritance, savings, sale of investments, etc.) We require this information due to anti-money laundering requirements.

4 Your bank or building society details

If you do not provide us with your bank/building society details, your application may be rejected. We will pay future withdrawals to the account below. Please note that M&G does not accept any responsibility for the bank/building society account details you give here; you give these details entirely at your own risk so please check that they are correct.

If you have chosen to invest in income shares, we will also pay income payments to this account until you instruct us otherwise. I authorise M&G Securities Limited to make payments of income arising from my holding by direct credit transfer to the bank or building society shown.

Name and full postal address of your bank or building society

Postcode

Name(s) of account holder(s)*

Bank or building society account number

Branch sort code

Building society reference/roll number (if applicable)

*payments can only be made to an M&G account holder.

Prior to making any payments to the bank/building society details provided above, we will need to verify your details. Further information on verification required can be found below.

! Verification required when providing bank or building society details

Before we can use this information to set up any payments or collections, we need to perform a couple of additional checks in order to verify the bank or building society details you have provided.

If these are unsuccessful we will contact you to request one of the following documents, however you may prefer to return the documentation with your completed application form:

- A voided cheque. This is simply a blank cheque that you have struck through with the word VOID.
- An original bank or building society statement or printed PDF copy of an online bank statement detailing your address and full name as the account holder (no older than three months).
- A giro or paying in slip for your bank or building society account.
- A letter from your bank or building society, original or certified copy on headed paper, and dated in the last three months. The letter should include your sort code, account number, name and address.

5 Fund Reports

You can find up-to-date Annual and Interim Fund Reports for our umbrella/single company OEICs at mandg.co.uk/funds, along with the latest fund prices, performance and commentary. You can also request a copy of the Reports to be emailed to you by contacting our Customer Relations team on **0800 390 390**.

If you wish to receive a printed copy of the Reports to be sent to you in addition to the investment updates sent with your regular ISA statement, please tick this box. ☐

6 Communicating with you including Direct Marketing

We would like to let you know about M&G Investment group products and services that we think would be of interest to you. However, we will only contact you if you **consent by ticking the boxes below** to indicate how you would like us to contact you about our investment products and services and promotional offers.

You can withdraw your consent at any time by **contacting us using the contact details in the Privacy Notice** or the 'Unsubscribe' option in any of our marketing electronic communications (although this will not affect the lawfulness of any past activities we have undertaken based on the previous consent). It can take a short time for any updates to be applied to our systems, so you may still receive marketing messages while this is happening. We will continue to use your contact details for non-marketing messages such as statements, changes to terms and conditions and as required by law.

Your marketing preferences

I am happy to be contacted in the following ways about investment products and services and promotional offers that may be of interest to me:

Email ☐ Phone ☐ Post ☐

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7 Declaration and authorisation

I declare that:

I wish to transfer my Individual Savings Account (ISA) to M&G Securities Limited. I have received an up-to-date version of the Key Investor Information Document and Important Information for Investors document. All subscriptions made, and to be made, belong to me. I am 18 years of age or over. I have not subscribed, and will not subscribe, to more than the overall ISA subscription limit total in the same tax year, nor to another Stocks and Shares ISA managed by M&G Securities Limited. I am a resident in the United Kingdom for tax purposes or, if not so resident, either perform duties which, by virtue of Section 28 of the Income Tax (Earnings & Pensions) Act 2003 (Crown employees serving overseas), are treated as being performed in the United Kingdom, or I am married to, or in a civil partnership with, a person who performs such duties. I will inform M&G Securities Limited if I cease to be so resident or to perform such duties or be married to, or in a civil partnership with, a person who performs such duties. I will inform M&G Securities Limited promptly of any change in my circumstances which affects any of this information.

I authorise M&G Securities Limited:

- to hold my cash subscription, ISA investments, interest, dividends and any other rights or proceeds in respect of those investments and any other cash
- to make on my behalf any claims to relief from tax in respect of ISA investments

Signature

Date

D	D	M	M	Y	Y	Y	Y
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The M&G ISA

Transfer authority

This form provides transfer authorisation to your current ISA manager.

Please complete this form in blue or black ink, using CAPITAL letters and ticking the appropriate boxes.

1 Your current ISA manager's details

Name
Address
Postcode

Reference number(s) of the ISA(s) from which you wish to transfer

2 Your investment details

A. **Cash ISA transfer** (please complete this section if you wish to transfer your existing cash ISA)

- ☐ Please transfer my current tax year contributions into an M&G Stocks and Shares ISA
(Current tax year contributions can only be transferred in full)
- ☐ Please transfer my previous tax year contributions into an M&G Stocks and Shares ISA
(You can transfer all or part of your previous tax year holdings)

If you wish to transfer part of your previous holdings, please indicate the proportion or amount you wish to transfer:

%	or	£
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B. **Stocks and Shares ISA transfer** (please complete this section if you wish to transfer your existing Stocks and Shares ISA)

- ☐ Please transfer my current tax year contributions into an M&G Stocks and Shares ISA
(Current tax year contributions can only be transferred in full)
- ☐ Please transfer my previous tax year contributions into an M&G Stocks and Shares ISA
(You can transfer all or part of your previous tax year holdings)

If you wish to transfer part of your previous holdings, please indicate the proportion or amount you wish to transfer:

%	or	£
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If you wish to transfer part of your previous holdings, please indicate the funds that you wish to sell.

Fund	Number of shares/units or amount (£)

Please indicate any funds that you would like to transfer in specie (Stock Transfer) – **M&G funds only**

Fund	Number of shares/units or amount (£)

Note: Please use another sheet of paper if you need more space to list your choice of funds.

Is the funding for the ISA coming from a maturing investment?

- ☐ Yes
- ☐ No

Please note that you will not be able to transfer existing ISA investments coming from a maturing investment until it has reached its maturity.

Maturity date (if applicable)

D	D	M	M	Y	Y	Y	Y
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3 Authorisation

I authorise you as the current ISA manager to:

- give M&G Securities Limited full details of my ISA(s)
- immediately sell my ISA investment(s) detailed above on receipt of this form and send any proceeds (including uninvested cash that applied to the ISA(s) I am transferring) to M&G Securities Limited by cheque
- transfer money or rights and entitlements subsequently received, in respect of the ISA(s) I am transferring, including dividends and tax credits to M&G Securities Limited as soon as possible

Date

D	D	M	M	Y	Y	Y	Y
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! Returning your form

Please send your completed application form and ISA transfer authority to: **M&G Securities Limited, PO Box 9039, Chelmsford CM99 2XG.**

Checklist

- ☐ Have you read, signed and dated the Declaration and authorisation?
- ☐ **Receiving income by direct credit:** If you have chosen to do so, have you included the document to verify your bank or building society details and have you completed Section 4?
- ☐ Have you completed the M&G ISA transfer authority form, to enclose and return with this application?
- ☐ Have you detached and kept the '**Privacy Notice**' for your reference?

How to contact us

Call us

 **0800 390 390**

We are open Monday to Friday from 08:00 to 18:00 and on Saturday from 09:00 to 13:00. For your security and to improve the quality of our service, we may record and monitor telephone calls.

+44 1268 448 031

If you are calling from outside of the UK.

Visit our website


 **mandg.co.uk**

Email us

 **info@mandg.co.uk**

Please note that information in an email cannot be guaranteed as secure. Do not include sensitive information in emails to M&G.

Write to us

 **M&G Customer Relations
PO Box 9039
Chelmsford
CM99 2XG**



Privacy Notice – Please detach this page and keep for future reference

Any personal data we collect from you is processed in line with applicable data protection laws including the UK and/or EU General Data Protection Regulation and this notice. When you use our website, our Privacy Policy located on our website applies.

M&G Securities Limited ('we', 'us' and 'our') is the 'controller' for the personal data you share with us.

If you have any specific concerns around the privacy of your personal data or require further information about how we manage your personal data, please get in touch with us directly:

By post: M&G Securities Limited, PO Box 9039,
Chelmsford CM99 2XG

By telephone: 0800 390 390

By email: info@mandg.co.uk

How we collect personal data

As an M&G customer, we collect personal data about you in connection with our products and services in the following ways:

- From your application for an M&G product or service. If you are one of many named investors or representatives of this investment, please ensure this notice is shared with all relevant parties
- From your interactions with us whether over the phone, in person, in writing, or through our website or emails
- Through analysis of your transactions and activities with us and other members of the M&G plc Group*
- From third parties, such as credit reference agencies, census, market research, comparison websites, surveys, social networks, fraud prevention agencies, loyalty schemes operators, agents working on your behalf, government and law enforcement agencies.

How the law protects you

Data Protection law says that we are allowed to use personal data only if we have a proper reason to do so. The law says we must have one of the following reasons:

- to fulfil a contract we have with you
- when it is our legal duty
- when it is in our legitimate interest
- when you consent to it.

A legitimate interest is when we have a business or commercial reason to use your personal data including but not limited to internal administrative purposes, product development and enhancement, preventing fraud, ensuring network and information security.

How we use your personal data

The main ways in which we may use your personal data are to:

- Create your account, administer your investments, analyse your investment needs and tailor our services to you
- Communicate with you, and provide information on specific investment products and/or services when you request it
- Help us prevent, detect and investigate fraud and other financial crimes
- Meet our legal obligations
- Maintain the security of our services, as well as to detect and investigate activities that may be illegal or prohibited.

Sharing your personal data

We may share your personal data with:

- other members or businesses within the M&G plc Group
- our service providers and third parties who provide services on our behalf, including but not limited to:
 - i. agents and administrators who we use to help run your accounts
 - ii. our mailing agents
 - iii. credit referencing agencies
 - iv. fraud prevention and law enforcement agencies
- regulators, governments, courts, dispute resolution bodies, auditors.

*A list of entities is available upon request or by visiting mandg.com/plc-entities

We will do this to:

- prevent fraud and other financial crimes
- respond to enquiries and complaints
- undertake transactional analysis
- evaluate the effectiveness of marketing and for market research and training
- create customer groups, statistical and trend analysis
- support the provisions of service
- perform automated decision making and profiling
- comply with legal obligations, court orders, laws or regulations.

Your personal data may be transferred outside of the UK and EEA from time to time to members or businesses within the M&G plc Group or to trusted service providers and third parties. Where this is the case, we will ensure that suitable protection is maintained at all times by ensuring that appropriate safeguards are in place. This may include safeguards based on appropriate standard contractual clauses, adequacy or, in more limited circumstances, a derogation.

In some countries the law may require us to share certain personal data, for example with tax authorities. In these cases, we will only share the personal data with people who have the right to see it.

Retaining your personal data

We will retain your personal data for as long as is necessary for the purposes described above. Typically, we will retain your personal data for a minimum of seven years to; fulfil our business purposes, to comply with legal and regulatory requirements, or for any legal claims.

We may keep your data for longer where this is necessary for statistical and historical research purposes. However, we will ensure all personal data is removed where technically feasible. We will maintain the security and protection of any data we hold.

Profiling and automated decision making

To help us make fair, efficient and accurate decisions, we may use automated processes. We also use profiling to enable us to personalise our service offerings and related communications. Automated processes or profiling may be used to:

- Open accounts – Checks to ensure you meet the conditions needed, this may include checking residency, nationality and/or financial details
- Tailor our services – We may place you in groups with similar customers. These are called customer segments. We use these to study and learn about our customers and make decisions on what we learn
- Help us detect fraud and prevent fraud and other financial crimes – help to detect possible fraudulent or money-laundering activity or register an account is being used in an unusual way.

See also 'Object to processing (Right to object)' regarding your rights for this type of use of your personal data.

Your data subject rights

As well as our obligations, and commitment, to respect the privacy of your personal data, you also have certain rights relating to the personal data we hold about you which are outlined below. None of these are absolute and are subject to various exceptions and limitations. You can exercise these rights at any time by **contacting us using the contact details above.**

Privacy Notice (continued)

You have rights to:

Request access to the personal data we hold about you (Data Access Request)	<ul style="list-style-type: none"> You may request access to a copy of the personal data we hold about you. We can refuse to provide personal data where to do so may reveal another person's personal data or would otherwise negatively impact another person's rights.
Object to processing (Right to object)	<ul style="list-style-type: none"> You may object to us using automated processes, or fully automating decision making, using your personal data except where used to detect, prevent and investigate fraud and other financial crimes. You may also object to us using your personal data for direct marketing analysis. This includes any profiling we perform as part of our direct marketing activities. Once we receive and have processed your objection, we will stop using your personal data for these purposes.
Request a copy of your personal data (Data Portability)	<ul style="list-style-type: none"> If you gave us the personal data directly, and it was processed electronically, you can request the personal data we hold on you in a commonly used machine-readable format.
Request that your personal data is deleted (Right to be forgotten)	<ul style="list-style-type: none"> You can ask us to delete the personal data we hold about you when it is no longer required for a legitimate business need, legal or regulatory obligations, where you have withdrawn your consent or is no longer required for the purposes it was collected.
Amend or correct your personal data (Right to rectification)	<ul style="list-style-type: none"> If you believe that the personal data we hold about you is inaccurate, incorrect or incomplete, please contact us as soon as possible so we can update it.
Restrict the processing of your personal data (Right to restrict)	<ul style="list-style-type: none"> You may ask us to restrict our processing of your personal data whilst we resolve any complaints you have about the way your personal data is used, require it for a legal claim, believe the personal data is not accurate, we no longer need the personal data, you have objected to the processing of your personal data or if you think our processing is unlawful but you do not want us to delete your personal data.
Rights in relation to consent (Right to withdraw)	<ul style="list-style-type: none"> At any time, you may withdraw the consent you granted for your personal data to be used for direct marketing. When you withdraw your consent, it will not affect the lawfulness of any past activities we have undertaken based on the previous consent.

How we respond to your rights

You can exercise these rights at any time by **contacting us using the contact details overleaf**.

- We may need to validate your identity before we can respond to your request.
- If we are unable to confirm your identity, or have strong reasons to believe that your request is unreasonably excessive or unfounded, we may deny it.
- Once we have validated your identity, we aim to respond to your requests within 30 days and no later than three months from receipt of complex requests. We will let you know if we need additional time to complete.
- We will let you know whether we accept, or refuse, your request.

Security

We take all reasonable precautions to keep your personal data secure, including safeguards against unauthorised access, use, or data loss. This includes ensuring our staff, partners and any third parties who perform work on our behalf comply with security standards as part of their contractual obligations.

Making a data protection complaint

If you have any concerns about the use of your personal data, or the way we handle your requests relating to your rights, you can **raise a complaint directly with us using the contact details overleaf**.

If you are not satisfied with the way we handle your complaint, you are entitled to raise a complaint directly with the UK Information Commissioner's Office via the details available on their website: ico.org.uk.

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