



M&G OEIC funds

Application to invest a lump sum

This form can be used to:

- make a lump sum investment in M&G OEIC funds.

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 a financial adviser has arranged this deal, depending upon the share class chosen, commission may be payable where advice has not been given.
- 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.

Before you invest:

- If you are unsure about the suitability of your investment, speak to your financial adviser.
- If you are 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 note, the cheque must come from a bank account in the name of a registered holder, as we're unable to accept payment from a third party.

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

Adviser name

M&G adviser reference number

FCA number

If advice has been provided on the investment(s) detailed in Section 2, 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. The minimum age for a holder is 18. You can register up to four holders.

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

Designation (eg child's initials. Designation cannot be a proper name)

Tax Residency

Tax regulations require us to collect information about each investor's tax residency. Depending on the information provided we will be obliged to share information about your account(s) with HM Revenue & Customs (HMRC) who may in turn share this with any or all participating tax jurisdictions. Each investor must indicate all countries in which they are resident for tax purposes and the associated Tax Identification Number(s) in the tables below. If you are also a US citizen you must include United States in this table along with your US Tax Identification Number. If you have any questions about your tax residency, please contact your tax adviser.

Investor 1

Mr

Mrs

Miss

Ms

Other

Forename(s)

Surname

Address

Postcode

Country

Nationality

Tax Identification Number

(for the UK this is usually the National Insurance number)

Date of birth

D

D

M

M

Y

Y

Y

Y

Phone: Home

Work

Mobile

Email

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

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

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

Country/Countries of tax residency

1 Personal details (continued)

Investor 2 (if applicable)

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other

Forename(s)

Surname

Address

Postcode

Country

Nationality

Occupation sector (eg distribution, education, financial services, healthcare, transport and logistics, etc)
Please leave blank if you're retired / a house maker

Investor 3 (if applicable)

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other

Forename(s)

Surname

Address

Postcode

Country

Nationality

Occupation sector (eg distribution, education, financial services, healthcare, transport and logistics, etc)
Please leave blank if you're retired / a house maker

Investor 4 (if applicable)

Mr ☐ Mrs ☐ Miss ☐ Ms ☐ Other

Forename(s)

Surname

Address

Postcode

Country

Nationality

Occupation sector (eg distribution, education, financial services, healthcare, transport and logistics, etc)
Please leave blank if you're retired / a house maker

Date of birth

D

D

M

M

Y

Y

Y

Y

Phone: Home

Work

Mobile

Email

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

Tax Identification Number
(for the UK this is usually the National Insurance number)

Country/Countries of tax residency

Date of birth

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Y

Phone: Home

Work

Mobile

Email

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

Tax Identification Number
(for the UK this is usually the National Insurance number)

Country/Countries of tax residency

Date of birth

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Y

Phone: Home

Work

Mobile

Email

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

Tax Identification Number
(for the UK this is usually the National Insurance number)

Country/Countries of tax residency

2 Your investment details

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

You also need to specify which share type you require: Income or Accumulation. If you do not specify this information your application may be rejected. However, where there is only one share type available, and you do not specify the share type you require, the available share type will be issued.

See the Important Information for Investors document and/or the KIIDs for the funds you are investing in for details, including overall subscription limits and share type availability.

Full name(s) of fund(s) chosen	Share class (eg A, R*)	Share type required Delete as appropriate	Lump sum amount Minimum £500 per fund
M&G		Income/Accumulation	£
M&G		Income/Accumulation	£
M&G		Income/Accumulation	£
M&G		Income/Accumulation	£
M&G		Income/Accumulation	£

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

Please specify how the account will be funded? (eg earnings, inheritance, savings, sale of investments, etc)

3 Income instruction

3 a Your bank or building society details

☐ I/We wish to receive my/our income in cash.

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

Bank or building society
Address
Postcode

Bank or building society account number

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Branch sort code

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Building society reference/roll number (if applicable)

Name(s) of account holder(s)*

*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 later in this form.

3 b Reinvesting income

Tick the box below to reinvest income for any fund that doesn't offer Accumulation shares (see the KIID(s) for share type availability).

If you choose to reinvest income from any of these funds, the acquisition of further shares in the applicable fund(s) will be made at the first regular valuation point 14 days prior to the applicable payment date.

☐ I/We would like income to be reinvested in further shares.

! Verification required when providing bank or building society details

If the bank or building society details you have provided for income payments differ to those on the cheque enclosed for your investment, we will need to perform some additional checks in order to verify them before we can set up any new payments.

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.

4 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 ☐

v2.0 OCT 19

5 Declaration and authorisation

- I/We apply to make the investment(s) in the fund(s) specified in Section 2.
- I/We have received an up-to-date version of the Key Investor Information Document and Important Information for Investors document.
- I/We declare that the named holders are the beneficial owner(s) of this investment. If you are not the beneficial owner(s) of this investment ie this investment has been registered in your name(s) on behalf of someone else, please tick this box ☐ and complete the Beneficial Owner Supplementary Information Form and send this with your application form. M&G reserves the right to reject your request to purchase shares in the event of beneficial owner information not being provided or being incomplete.
- I am/We are not resident in the USA and agree to notify M&G immediately in the event that I/we become resident in the USA.
- I/We agree that my/our investment will be governed by the M&G Terms and Conditions.
- I/We declare that the information provided on this form is, to the best of my/our knowledge and belief, accurate and complete.
- I/We agree to notify M&G Securities Limited immediately if any of this information changes in the future.

Investor 1

Print name

Signature

Date

Investor 2 (if applicable)

Print name

Signature

Date

Investor 3 (if applicable)

Print name

Signature

Date

Investor 4 (if applicable)

Print name

Signature

Date

! Returning your form

Please send your completed form to: **M&G Group, PO Box 9039, Chelmsford CM99 2XG.**

Checklist

- ☐ Have you provided the date of birth of all holders in section 1?
- ☐ Have you read, signed and dated the Declaration and authorisation?
- ☐ Have you enclosed a cheque payable to M&G Securities Limited?
The cheque must come from a bank account in the name of a registered holder, as we're unable to accept payment from a third party.
- ☐ **Income options:** If you have chosen to do so, have you included the document to verify your bank or building society details and completed Section 3a to receive direct credit payments, or completed 3b to reinvest income?
- ☐ Have you detached and kept the 'Privacy Notice' for your reference? If you are one of the named investors or representatives of this investment, please ensure the Privacy Notice is passed to all relevant parties.

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 390390

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 Protections 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.

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.**

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

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.

v4.0 DEC 21