



The M&G Additional Permitted Subscription (APS) ISA

APS Transfer Authority Form

This form:

- provides authority to the current ISA Manager of the deceased to transfer the APS ISA allowance to M&G on behalf of the surviving spouse or civil partner.

Important Information:

- If the deceased's ISA was with M&G, the surviving spouse only needs to complete an APS Application Form and not an APS Transfer Authority Form.
- An APS allowance can only be transferred to a new ISA Manager once, and only where no subscriptions have already been made under that APS allowance with another ISA Manager.

- It is not possible to cancel the transfer of an APS allowance once the deceased's ISA Manager has sent the APS allowance transfer declaration. We recommend you consult your financial adviser before requesting the transfer.
- 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.
- Only the APS allowance will be transferred and not the assets or cash.
- We will contact you once confirmation of the allowance has been received, at which point we can start accepting cash subscriptions against the allowance.

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

1 Personal details

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

Date of birth

Mr Mrs Miss Ms Other

Phone: Home

Forename(s)

Mobile

Surname

Work

Permanent residential address

Email

National Insurance Number

Postcode

If you do not have a National Insurance Number please tick

2 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

3 Details of the deceased

Mr Mrs Miss Ms Other

Forename(s)

Surname

Permanent residential address of the deceased at their date of death:

Postcode

Date of birth

Date of death

D D M M Y Y Y Y

National Insurance Number (if known)

| | | | | | | | | |

Date of marriage or civil partnership between investor and the deceased

D D M M Y Y Y Y

4 APS allowance transfer information

Please note that you will need to complete one form for each ISA Manager you wish to transfer an allowance from.

Name of deceased's ISA Manager

| | | | | | | | | | | | | | | | | | | | | |

Address of deceased's ISA Manager

| | | | | | | | | | | | | | | | | | | | | |

Postcode

Deceased's existing ISA account number(s) with this ISA Manager

| | | | | | | | | | | | | | | | | | | | | |

| | | | | | | | | | | | | | | | | | | | | |

| | | | | | | | | | | | | | | | | | | | | |

| | | | | | | | | | | | | | | | | | | | | |

Please note that if multiple ISAs were held by the deceased with the ISA Manager their value will be combined to form one APS allowance.

5 APS eligibility declaration

I (the investor) declare that:

- I am the surviving spouse/civil partner of the deceased
- I was living with the deceased within the meaning of Section 1011 of the Income Tax Act 2007 at the date of the deceased's death (we were not separated under a court order, under a deed of separation, or in circumstances where the marriage or civil partnership had broken down)
- I have not subscribed to and will not subscribe to the APS allowance with the existing ISA Managers of the deceased in respect of the deceased named on this application
- I intend to make an APS application to M&G Securities Limited.

I understand that once the ISA Manager of the deceased has sent the APS allowance transfer declaration it is not possible to cancel the transfer.

I authorise the existing ISA Manager of the deceased, as specified within this authority, to provide M&G Securities Limited with any information, written or non-written, concerning the APS allowance and former ISA in respect of myself (as the investor) and the deceased and to accept any instruction from them relating to the APS allowance being transferred.

I declare that this APS Transfer Authority Form has been completed to the best of my knowledge and belief.

Signature

Date

D D M M Y Y Y Y

We (M&G Securities Limited) confirm we are willing to accept this APS allowance transfer subscription, subject to relevant checks under regulation 5DDA from your client named above.

! Returning your form

Please send your completed APS Transfer Authority Form to: **M&G Securities Limited, PO Box 9039, Chelmsford CM99 2XG.**



How to contact 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.



www.mandg.co.uk



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.



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
- 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.

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 www.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: www.ico.org.uk.

v4.0 DEC 21