

# Application Form to invest into the M&G Charity Funds

M&G Equities Investment Fund for Charities (Charifund), M&G Charibond Charities Fixed Interest Fund (Charibond) and M&G Charity Multi Asset Fund (“The M&G Charity Funds”)

## Important Information:

- **Before investing**, you should read an up-to-date version of the Non-UCITs retail scheme Key Investor Information (NURS-KII) document, and Costs and charges illustration for the fund in which you wish to invest. There you will find more about your investment, including details about the fund’s different unit classes: be sure to choose the appropriate one for you. It also explains fund charges, including the ongoing charge, a deduction from your fund which M&G makes to cover the costs of investment management and administration. You should also read the Important Information for Investors in M&G Charity Funds document, which includes M&G’s Terms and Conditions.
- If you have any questions or would like a free up-to-date copy of the Non-UCITs Retail Scheme Key Investor Information documents, Costs and charges illustrations, Important Information for Investors in M&G Charity Funds document, Prospectus, the most recent annual or interim Managers’ Investment Reports and Financial Statements, please visit [www.mandg.co.uk/charities](http://www.mandg.co.uk/charities) or contact the **Charities Helpline on 0800 917 4472**. All literature provided will be in English.

**Please complete this application form in BLOCK CAPITALS in blue or black ink and return to: M&G Charity Department, FREEPOST RLTZ-JCHJ-THJB, PO Box 9038, Chelmsford CM99 2XF.**

**This application is for use by an organisation that has been accepted as a charity and which wishes to invest in units in The Charity Funds.**

Please refer to the attached ‘guide’ for information on how this application should be completed.

If you wish to set up a Direct Debit, please contact the **Charities Helpline on 0800 917 4472**.

## 1 Registration, declaration and signatories details

How the investment is to be registered

Existing Charity Account number (if applicable)

An investment in The M&G Charity Funds may be registered in one of three ways. Please confirm the way in which the investment is to be held by ticking the appropriate box:

- The name of the charity     Named individuals     Nominee company

### Name of charity

As this investment is being held on behalf of a charity, please state the name of the charity in the box below.

Name of charity	(the ‘charity’)
Sub-fund	(the ‘beneficial owner’)
Registered address of charity	

### Declaration

I/We hereby warrant that:

- The units to which this application relates are and will at all times be held on behalf of the charity
  - The income of which is applied for charitable purposes only;
  - The charity is registered with the Charity Commission for England and Wales or the Northern Ireland or Scottish Charity register under registered charity number

And/or it is recognised as a charity by HM Revenue & Customs (Charities) under reference number
- The charity is able to invest in The M&G Charity Funds under the Prospectus. The charity hereby indemnifies M&G Securities Limited against any liabilities and/or costs arising out of the charity ultimately being found to be ineligible;
- The persons signing are duly authorised to sign on behalf of the charity;
- I/We will inform M&G Securities Limited immediately should the charity cease to qualify for (1) or (2) above, at which time disinvestment from The M&G Charity Funds will be required;
- I/We authorise M&G Securities Limited to make payments arising from income by direct credit transfer to the charity’s bank or building society account as detailed in Section 5;
- I/We give permission to M&G Securities Limited for electronic identity checks to be performed on the controllers listed overleaf; and
- I/We have received an up-to-date version of the Non-UCITs retail scheme Key Investor Information (NURS-KII) and Important Information for Investors in M&G Charity Funds document.

This warranty shall be deemed to be repeated in respect of each additional contribution to The M&G Charity Funds to which it relates. We will also notify M&G Securities Limited in writing of any changes to the authorised signatories and shall supply details of the capacity of any new signatory along with a specimen signature.

## 1 Registration, declaration and signatories details (continued)

### Controller details

#### First named controller – personal details

Mr <input type="checkbox"/>	Mrs <input type="checkbox"/>	Miss <input type="checkbox"/>	Ms <input type="checkbox"/>	Other <input type="text"/>	Full name <input type="text"/>
Address <input type="text"/>					Postcode <input type="text"/>
Telephone number <input type="text"/>			Date of birth <input type="text"/>		
Signature <input type="text"/>			Date <input type="text"/>		
Capacity <input type="text"/>					

#### Second named controller – personal details

Mr <input type="checkbox"/>	Mrs <input type="checkbox"/>	Miss <input type="checkbox"/>	Ms <input type="checkbox"/>	Other <input type="text"/>	Full name <input type="text"/>
Address <input type="text"/>					Postcode <input type="text"/>
Telephone number <input type="text"/>			Date of birth <input type="text"/>		
Signature <input type="text"/>			Date <input type="text"/>		
Capacity <input type="text"/>					

#### Third named controller – personal details

Mr <input type="checkbox"/>	Mrs <input type="checkbox"/>	Miss <input type="checkbox"/>	Ms <input type="checkbox"/>	Other <input type="text"/>	Full name <input type="text"/>
Address <input type="text"/>					Postcode <input type="text"/>
Telephone number <input type="text"/>			Date of birth <input type="text"/>		
Signature <input type="text"/>			Date <input type="text"/>		
Capacity <input type="text"/>					

#### Fourth named controller – personal details

Mr <input type="checkbox"/>	Mrs <input type="checkbox"/>	Miss <input type="checkbox"/>	Ms <input type="checkbox"/>	Other <input type="text"/>	Full name <input type="text"/>
Address <input type="text"/>					Postcode <input type="text"/>
Telephone number <input type="text"/>			Date of birth <input type="text"/>		
Signature <input type="text"/>			Date <input type="text"/>		
Capacity <input type="text"/>					
Designation (if required) <input type="text"/>					

## 2 Constitution of the charity

Please tick the appropriate box below to indicate how the charity is set up:

- By Trust Deed with individual Trustees
- Limited Company
- Unincorporated Association (normally run by elected officers)
- Other (eg Act of Parliament) – please specify

### 3 Charity address

Please provide the charity's registered address in the box below. If you would like correspondence sent to a different address, please complete the 'Correspondence address box'.

Registered address

Address	
	Postcode

Correspondence address

Mr  Mrs  Miss  Ms  Other

Full forenames	Surname	
Address		
	Postcode	
Phone number with area code (in case of query)	Daytime	Evening

### 4 Investment details

The charity wishes to invest as follows:

Fund	Unit type	Unit type required Delete as appropriate	Lump sum amount
Charibond		Income/Accumulation	£
Charifund		Income/Accumulation	£
M&G Charity Multi Asset Fund		Income/Accumulation	£

\* If no unit type is selected 'Income' units will be allocated.

Units will be issued at the price next calculated following receipt of this application.

Please enclose a cheque for the full amount, made payable to M&G Securities Limited, with this application. We do not accept cheques from third parties; please see the guide for further details.

### 5 Income and payment details

This section should be completed should you wish income payments to be paid directly to the charity's bank or building society account. M&G do not accept responsibility for the quotation of bank/building society account numbers; please ensure that you check the details of this section before you submit the application.

If you do not complete this section all payments will be made by cheque drawn in the charity's name and sent to the address that we hold for correspondence.

We do not make payments to third parties; please see the guide for further details.

Name and full postal address of the charity's bank or building society

Bank or building society name
Address
Postcode

Bank or building society account number

--

Branch sort code

--

Building society reference/roll number (if applicable)

--

Bank or building society account name

--

If you are investing in more than one Fund and require different income details by Fund; please contact M&G.

### 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 Data Protection and Privacy

For further information on how we collect and process personal data, see attached the Data Privacy Notice.

## 8 Anti-money laundering

We may need to ask you for documentation to assist us in verifying your identity. We must verify your identity to ensure we meet certain regulations. We normally do this using electronic means but occasionally we have to ask for extra documents from you to complete this process. This will not normally result in any delay in carrying out instructions but sometimes a delay may occur. In particular, this may happen if we have to ask you for further information when you have sold Shares as we will need the information from you before we can send you the money. In these circumstances M&G may refuse to issue or redeem shares, release the proceeds of redemption or carry out such instructions.

## Guide for the completion of the Application Form

If you wish to discuss any of the details within this guide, please contact the **Charities Helpline** on **0800 917 4472**.

### 1 Registration, declaration and signatories details

#### How the investment is to be registered

A charity may choose to have their investment registered in one of three ways.

1. **The name of the charity** – where this option is chosen, the charity itself will be the registered holder and documents should be executed in accordance with its constitution.
2. **Named individuals** – where this option is chosen, the charity may choose from between two to four individuals to be recorded as the registered holders for the charity. These named individuals will hold the investment on behalf of the charity.
3. **Nominee company** – where this option is chosen, the nominee company is the registered holder and holds the investment on behalf of the charity.

#### Name of charity

This section must be completed.

1. Where the investment is registered in **The name of the charity** – the details provided within this section will be used as the registration details. The sub-fund section should only be used where, for example, the 'ABC Charitable Trust Limited' holds investments on behalf of a number of charities, including the 'DEF Memorial Fund'. In this example, insert 'ABC Charitable Trust Limited' as the name of the charity and 'DEF Memorial Fund' in the sub fund box.
2. Where the investment is registered in **Named individuals** – the name of the charity itself must be provided here.
3. Where the investment is registered in the name of a **Nominee company** – the name of the charity itself must be provided here.

#### Declaration

In signing this application you are agreeing to all of the declarations and you should note the following:

- Any purported investment by an organisation that has not been accepted as a charity will be void.
- If the charity ceases to be accepted as a charity by the Charity Commission, Charity Commission for Northern Ireland or the Scottish Charity Regulator it will have to redeem its units or transfer its units to another participating charity.
- This application is subject to audit by HM Revenue & Customs (Charities).

Please supply either your Charity Commission registration number or HM Revenue & Customs (Charities) claims reference number.

Charities in England and Wales that are unable to trace their Charity Commission number should check the register of charities

at [www.charity-commission.gov.uk/registeredcharities/first.asp](http://www.charity-commission.gov.uk/registeredcharities/first.asp)

Charities in Scotland that are unable to trace their Scottish Charity number should check the Scottish Charity register at [www.oscr.org.uk/TheRegister](http://www.oscr.org.uk/TheRegister)

Charities in Northern Ireland that are unable to trace their Northern Ireland Charity register number should check the Northern Ireland Charity register at [www.charitycommissionni.org.uk](http://www.charitycommissionni.org.uk)

Charities not on the Charity Commission, Northern Ireland or Scottish Charity register should contact HM Revenue & Customs (Charities), St Johns House, Merton Road, Bootle, Merseyside L69 9BB. Telephone 0300 123 1073.

In respect of personal data that you have provided, or may in the future provide, to us relating to any of your controlling persons, trustees, directors, officers, employees, other personnel, underlying beneficial owners, agents, and any other third parties in connection with your application and the services that we subsequently provide to you, you represent and warrant that:

- i. Before signing this application, form and disclosing any personal data to us, you have read the attached data privacy notice and, in respect of personal data relating to a person or persons (other than the individual signing and completing it), you have provided that person or those persons with a copy of our data privacy notice;
- ii. The disclosure of any personal data by you to us will be made in accordance with applicable data protection and privacy laws and regulations, which include Regulation (EU) 2016/679 and any consequential data protection and privacy laws applicable in the UK;
- iii. All personal data you provide to us will be accurate, up to date and complete, and you will inform us promptly of any updates or corrections to these.

#### Controller details

The 'controllers' are the individuals who will be giving instructions to M&G to deal with the holding. We would normally expect there to be at least two controllers and no more than four controllers. Please notify M&G of any subsequent changes of controllers. Where possible, please include personal details rather than business details to ensure timely processing.

Where the investment is to be held in the name of the charity or by named individuals, each controller must give their details in the boxes provided. Their capacity must be stated – this might be, for example, 'Treasurer', 'Trustee', 'Director' etc.

If the holding is to be in the name of a nominee company, please state the nominee company name in the 'first name controller' box and an authorised signatory of that company should sign in the box, stating their capacity eg, 'Director'.

Where the investment is to be held in the name of a nominee company a designation must be provided. Under an agreement that M&G have with HM Revenue & Customs (Charities), M&G are not permitted to 'pool' different charity investments that are held by the same nominee company.

## 2 Constitution of the charity

This section should only be completed where the investment is to be registered in the name of the charity.

Money laundering regulations require M&G to see documentary evidence of how the charity is constituted. If set up by a Trust Deed, this should be the Trust Deed, together with any subsequent Deeds dealing with changes of Trustees. If the charity is a Limited Company, M&G will need to see its Memorandum and Articles of Association. If the charity is an unincorporated association, it will normally have a written constitution. If the charity is set up in any other way or you have any queries as to what documents you should provide, please contact the **Charities Helpline** on **0800 917 4472** to discuss.

## 3 Charity address

This section should be completed with the charity's registered address. If correspondence should be sent to an alternative address, please complete the correspondence address box.

## 4 Investment details

M&G do not accept payments from third parties.

The cheque should be drawn on a UK bank or building society account in the charity's name. A cheque from another financial institution will also be acceptable if accompanied by written confirmation from that institution that the money comes from an account held with it by the charity.

## 5 Income and payment details


M&G does not make third party payments.

However a payment can be made to another UK financial institution.

Payment can be made electronically to a bank or building society account held in the charity's name and M&G will need to see documentary evidence of this before any such payment can be made. A recent bank or building society statement, or a blank cheque marked as void confirming the account details will normally be acceptable. If we are unable to confirm these details in time to make payment electronically, a cheque will be sent to the address we hold for the charity.

## How to contact us

Call us

 **0800 917 4472**

Lines are open Monday to Friday from 09:00 to 17:00. For your security and to improve the quality of our service, we may record and randomly monitor telephone calls.

Visit our website

 **[www.mandg.co.uk/charities](http://www.mandg.co.uk/charities)**

Email us

 **[charities@mandg.co.uk](mailto:charities@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 Charity Department,  
PO Box 9038,  
Chelmsford  
CM99 2XF**

## Data Privacy Notice

### M&G Equities Investment Fund for Charities (Charifund), M&G Charibond Charities Fixed Interest Fund (Charibond) and M&G Charity Multi Asset Fund (“The M&G Charity Funds”)

This Data Privacy Notice explains how and why the fund, M&G Securities Ltd (the “**Management Company**”) and M&G Investment Manager MAGIM, the fund’s appointed alternative investment fund manager (the “**AIFM**”), collect and use (‘process’) personal data in the course of conducting the fund’s activities, and managing and administering Unit/ Shareholders’ investments in the fund.

Please read it carefully as it contains important information, and provides details about your rights in relation to your personal data, including your right to object to some of our processing in certain circumstances.

Capitalised terms used but not otherwise defined have the meanings attributed to them in the fund Prospectus.

#### M&G and how to contact us

The fund, the Management Company and the AIFM (together “**M&G**”) are controllers of the personal data of persons with whom we come into contact, and that we receive from current and prospective Unit/ Shareholders, and other parties in the course of our business activities and interactions with others.

“We”, “us” and “our” means M&G.

You can contact us at any time at the following address: The Data Protection Officer, M&G Charity Department, PO Box 9038, Chelmsford CM99 2XF, or by telephone on 0800 390 4472.

#### How and where we collect personal data about you

We collect personal data about you from a number of sources.

We collect personal data:

- From the Application Form and any associated documentation that is completed or supplied to us when applying to subscribe for Units/ Shares of the fund; and
- From your interactions with us whether over the telephone, in person, in writing, or by email.

Also, we collect personal data about you **from others**:

- The entity with which you have a relationship or association and which is, or is a prospective, Unit/Shareholders in the fund (“**Connected Unit/Shareholder**”);
- Publicly available databases and data sources;
- Bankruptcy registers and sanctions lists;
- Tax authorities;
- Agents working on your behalf;
- Government and/or regulatory authorities; and
- Fraud prevention and/or law enforcement agencies.

**Where we collect information from you directly**, we will indicate whether it is a legal requirement for you to provide this. In some instances, we will require certain personal data in order to perform our contract with you or the Unit/Shareholder. But where we request personal data, this is generally and unless indicated otherwise, because it is necessary for us to have this information for our business and compliance purposes.

If you do not want to provide this information, it may not be possible for us to provide our products or services to you or to the Connected Unit/Shareholder.

#### What personal data we collect about you

We process the following personal data about you obtained from the sources set out in the **How and where we collect your personal data** section above:

From you or from the Connected Unit/ Shareholder, where you are a controlling person, trustee, director, officer, employee, other personnel, underlying beneficial owner, or agent of it	<ul style="list-style-type: none"> <li>• Name and prefix</li> <li>• Contact details: email address, telephone number, postal address, business address, business telephone and fax numbers</li> <li>• Date and place of birth</li> <li>• Passport number or other similar national identifier</li> <li>• Nationality</li> <li>• Residency status</li> <li>• Tax identifier</li> <li>• National insurance number or similar identifier</li> <li>• Driving licence details</li> <li>• Professional details, title and job description</li> <li>• Employment information, history and status</li> <li>• Signature</li> </ul>
From others, where you are a controlling person, trustee, director, officer, employee, other personnel, underlying beneficial owner, or agent of the Connected Unit/Shareholder	<ul style="list-style-type: none"> <li>• Financial status</li> <li>• Tax information and tax status</li> <li>• Politically exposed persons (PEP) and sanctions status</li> </ul>

#### How we use your personal data

We process your personal data for the following reasons:

##### Where it is necessary to perform our contract, or take requested pre-contract steps:

- To create, administer and maintain the Unit/Shareholding(s) of the Unit/Shareholder, administer and manage such Unit/Shareholding(s), and provide our services where we are contracted to do so;
- To meet our contractual obligations where you are a party to a contract with us; and
- To provide servicing communications to you and/or the Unit/Shareholder.
- We may also provide your details to the fund’s Advisory Committee in order for them to obtain your view on proposed changes to the fund.

##### Where it is necessary for our compliance with a UK, EU, or EU member state, law:

- To funds Advisory Committee in order for them to obtain your view on proposed changes to the fund where required;
- To undertake our ‘know your client’ and investor checks, due diligence, and on-boarding checks;
- To conduct identity checks and address verification;
- To carry out our anti-money laundering (AML) checks and undertake compliance activities involving PEP, sanctions and anti-terrorism financing screening checks;
- For tax reporting purposes;
- To comply with our legal and certain regulatory obligations;
- To provide legal and regulatory communications to you and/or the Unitholder;
- For audit and accounting purposes;
- To record our communications and telephone conversations with you; and
- To prevent fraud and other financial crimes.

## Data Privacy Notice (continued)

### Where it is in our legitimate interests (or those of a third party), and your interests do not override these:

- To create, administer and maintain the Unit/Shareholding(s) of the Unit/Shareholder, administer and manage such Unit/Shareholding(s), and provide our services where we are contracted to do so;
- To provide the Unit/Shareholder with our investment products and services;
- To tailor our investment services to the Unit/Shareholder;
- To communicate with and inform you and/or the Unit/Shareholder about investment products and services;
- To manage and administer our business, and for client management and business development purposes;
- To comply with foreign legal obligations applicable to us;
- To comply with our regulatory obligations, including applicable foreign regulatory obligations;
- To manage our risk, and ensure compliance with our internal policies and procedures;
- To prevent, detect and investigate fraud and/or other financial crimes (where this is not required of us by law);
- To establish, exercise and/or defend legal claims, to protect our business against fraud, theft, other financial or business crimes and/or other criminal activity (where this is not required of us by law);
- To monitor and manage communications to and from us using our communications systems; and
- To protect the integrity and security of our systems.

### To whom we disclose your personal data

For the reasons set out in the **How we use your personal data** section above, we share your personal data with:

- Other companies within the wider M&G plc Group\* for the purposes of managing our investment relationship with the Unit/Shareholder;
- The fund's Administrator and Transfer Agent, SS&C Technologies, the Depositary NatWest Trustee and Depositary Services Limited and Fund Accountant State Street Bank & Trust Company;
- Third party service providers that support the M&G plc Group with providing products and services to the Unit/Shareholder, these being technology services providers, IT and hosting services, business process outsourcing providers, and payment systems and services providers;
- Our, and the fund's, legal, tax and other professional advisors;
- Our, and the fund's, auditors;
- Tax, government and/or regulatory authorities;
- Prosecuting authorities and courts, and/or other relevant third parties connected with legal proceedings or claims;
- Fraud prevention and/or law enforcement agencies; and
- Third parties where we are required to do so by law.

The recipients set out above may be based in the European Economic Area (EEA) or in countries outside the EEA.

### Transfers of your personal data outside the UK and EEA

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, trusted service providers and other third parties. These other countries have different, and sometimes lower, standards of data protection than those in the UK and EEA.

We require third parties to keep your personal data confidential and secure. We will ensure that suitable protection is maintained at all times by ensuring that appropriate safeguards are in place.

Where we are required by law to disclose, we may not always have control over the terms under which we are required to share your personal data.

We will make sure that any disclosure is lawful.

\*M&G plc Group: a list of entities forming the Group can be requested via the contact details below or reached by visiting: [www.mandg.com/plc-entities](http://www.mandg.com/plc-entities)

### Retaining your personal data

We keep personal data for as long as it is required by us to perform our contractual obligations, such longer limitation period as is permitted by law or, where longer, such longer period as is required by law or applicable regulatory obligation.

### Profiling and automated decision making

To help us make fair, efficient and accurate decisions, we 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, which will 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 – to help us to detect possible fraudulent or money laundering activity or register that an account is being used in an unusual way.

### Your rights in respect of personal data

You have certain rights to:

- Access your personal data and request a copy;
- Require us to correct your personal data;
- Restrict processing of your personal data;
- Request deletion of your personal data (in limited circumstances);
- **Object to our processing of your personal data** to opt out of direct marketing and to object to profiling (including to the extent relating to direct marketing) and automated decision making; and
- Request transfer of your personal data to you or another organisation where possible.

We do not generally rely on consent to process personal data. But if we do, you have the right to withdraw this consent at any time. If you withdraw your consent, this will not affect the lawfulness of any processing we have undertaken already based on the previous consent.

You can exercise these rights at any time by contacting us – see the **M&G and how to contact us** section above.

### 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, please let us know – see the **M&G and how to contact us** section above.

You can also complain to the UK Information Commissioner's Office: [www.ico.org](http://www.ico.org), or to the data protection authority in the EU member state where you live or work or where the alleged data protection breach occurred.

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