IFSL CAF Investment Fund Application Form

Important information

This application is for use by an organisation or individuals that wish to invest on behalf of a charity or where there is an intention to provide a long-term benefit to good causes.

Please refer to the attached 'guide' for information on how this application should be completed. Should you have any further questions in relation to the completion of this application form, feel free to contact ICS to discuss via telephone on 0370 043 4144, or via email to ifsl.ics@sscinc.com.

You should complete this application form in BLOCK CAPITALS and return to us via email at IFSLicsemaildealing@sscinc.com, or send via post to: IFSL, ICS Department, PO Box 12381, Chelmsford, CM99 2ET or to your financial adviser, along with the relevant governing documents as detailed in Appendix A.

Please tick the appropriate box below that best describes you:

☐ Incorporated or Limited Company with or without Trustees (account will be set up in the name of the company)

☐ Unincorporated Charity/Association/Trust (normally run by elected officers or trustees, account will be set up in nominated individual names)

☐ Other – please specify (refer to guide for more information on how the account will be set up)

Please refer to the supplementary user guide document for guidance on which segments of the application form you need to complete, depending on the account structure.

If you already have an account with us please tell us the reference number:

Existing holder ID/account number (if known)

Section A1: Incorporated or Limited Company – Registration details

If you are setting up the investment in the name of an incorporated or limited company please complete this section.

We wish to purchase shares on behalf of:

Charity/Charitable Organisation name

Charity number/HMRC exemption number Companies House Registration Number

If your charity is unable to supply your Charity Commission Registration Number, then further evidence of the charitable purpose of the organisation will also be required. This could be in the form of an HMRC exemption number (which must be accompanied by a copy of the documentation from HMRC which clearly states the charity's eligible status as tax-exempt).

If this is in relation to a Trust, a copy of the charity's Trust Deed will also be accepted.

Registered address

Postcode Country

Correspondence address (if different to registered address)

Postcode Country

Telephone number

Email address

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Section A2: Unincorporated Charity/Association/Trust – Registration details

If you are an unincorporated Charity/Association/Trust and setting up an account in the name of nominated individuals please complete this section.

Registered Charity Number (if applicable)

Shares are to be registered in the name of:

First Account Holder

Title Surname First name(s)

Permanent residential address

Postcode Date of birth D D M M Y Y Y Y

Telephone number

Email address Nationality

Tax residency location

Capacity in which you are signing

Second Account Holder

Title Surname First name(s)

Permanent residential address

Postcode Date of birth D D M M Y Y Y Y

Telephone number

Email address Nationality

Tax residency location

Capacity in which you are signing

Third Account Holder

Title Surname First name(s)

Permanent residential address

Postcode Date of birth D D M M Y Y Y Y

Telephone number

Email address Nationality

Tax residency location

Capacity in which you are signing

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Section A2: Unincorporated Charity/Association/Trust – Registration details (continued)

Fourth Account Holder

Title Surname First name(s)

Permanent residential address

Postcode Date of birth D D M M Y Y Y Y

Telephone number

Email address Nationality

Tax residency location

Capacity in which you are signing

Please tick if these individuals act as trustees and confirm the name of the Charitable Organisation ☐

Charitable Organisation name (if applicable)

Charity number/HMRC exception number (if applicable)

Please state where correspondence should be sent (if this is not completed correspondence will be sent to the First Account Holder's address).

Correspondence Addressee (for example The Trustees of ABC Trust)

Correspondence address

Postcode Country

Telephone number

Email address

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Section A3: Other – Registration details

If you are setting up an investment for an account which falls into the "Other" category, please complete this section.

We wish to purchase shares on behalf of:

Charity/Charitable Organisation name

Charity number/HMRC exemption number

If your charity is unable to supply your Charity Commission Registration Number, then further evidence of the charitable purpose of the organisation will also be required. This could be in the form of an HMRC exemption number (which must be accompanied by a copy of the documentation from HMRC which clearly states the charity's eligible status as tax-exempt).

If this is in relation to a Trust, a copy of the charity's Trust Deed will also be accepted.

Registered address

Postcode Country

Correspondence address (if different to registered address)

Postcode Country

Telephone number

Email address

Should you wish to question your account structure, or any aspect of this application form/the wider account opening procedure before submitting, you can contact the ICS department to discuss on 0370 043 4144, who will be happy to discuss any questions or concerns to assist you in completing your application.

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Section B – Trustees or equivalent

Please populate this section with relevant details of the Beneficial Owner, Controller (Persons of Significant Control), Director, or Trustees linked to your organisation.

A Beneficial Owner or Controller is an individual or entity which owns or controls more than 25% of the shares or voting rights.

If your organisation does not have Beneficial Owners or Controller, please provide details of the Directors of your organisation or other persons who control the account (E.G Trustees).

Please add details as appropriate for your organisation.

Title Surname First name(s)

Role Date of birth D D M M Y Y Y Y

☐ Beneficial Owner ☐ Controller ☐ Director ☐ Trustee

Permanent residential address

Postcode Country

Title Surname First name(s)

Role Date of birth D D M M Y Y Y Y

☐ Beneficial Owner ☐ Controller ☐ Director ☐ Trustee

Permanent residential address

Postcode Country

Title Surname First name(s)

Role Date of birth D D M M Y Y Y Y

☐ Beneficial Owner ☐ Controller ☐ Director ☐ Trustee

Permanent residential address

Postcode Country

Title Surname First name(s)

Role Date of birth D D M M Y Y Y Y

☐ Beneficial Owner ☐ Controller ☐ Director ☐ Trustee

Permanent residential address

Postcode Country

Title Surname First name(s)

Role Date of birth D D M M Y Y Y Y

☐ Beneficial Owner ☐ Controller ☐ Director ☐ Trustee

Permanent residential address

Postcode Country

Title Surname First name(s)

Role Date of birth D D M M Y Y Y Y

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Section C – Trust Information

Please complete if your organisation has a protector or controller of the trust. This is the person who oversees the trustees, if applicable. If this does not apply, please tick the N/A box.

PROTECTOR OR CONTROLLER OF THE TRUST N/A ☐

Title Surname First name(s)

Permanent residential address

Postcode Date of birth D D M M Y Y Y Y

SETTLOR OF TRUST N/A ☐

Title Surname First name(s)

Permanent residential address

Postcode Date of birth D D M M Y Y Y Y

Please populate the above section with details of the trusts settlor. Should you believe the trust not to have an active settlor, contact IFSL to discuss this further. Email IFSL.ics@sscinc.com or call 0370 043 4144 or +44 203 975 8214 (if calling from abroad).

Please note we will write out under a separate cover to request any further required details in relation to CRS/FATCA for the relevant entities/individuals linked to the account in question.

Section D – Financial Adviser's Details To be completed by your financial adviser if applicable

Adviser's name/firm

Adviser's email address

FCA number

Agency code (if known)

Adviser's firm stamp

Please tick all which apply

☐ Cancellation rights apply ☐ Discretionary business ☐ Advised business

☐ Execution only ☐ Portfolio management services

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Section E – Investment Details

Fund name	ISIN of Fund	Lump sum investment
1.		
2.		
3.		
4.		
5.		
	TOTAL	

Only complete the investment details section if you are ready to invest. If populated in full, this will serve as an official dealing instruction upon receipt, resulting in the deal being placed for the next available valuation point. Settlement of the deal will be due shortly afterwards, in line with the funds settlement cycle. If you wish to open the account without placing an initial deal, simply leave this section blank.

Investing a lump sum:

Payment via bank transfer.
Please use your account number or Event/Deal ID as the payment reference.

Full Name of Account	Account Number	Sort Code	Bank	Swift/BIC	IBAN Number
IFS Client Money Receipts Account GBP	83695859	40-05-30	HSBC	MIDLGB22	GB29MIDL40053083695859

Alternatively, you can **pay by cheque**, made payable to Investment Fund Services Limited. Post to IFS, ICS Department, PO Box 12381, Chelmsford, CM99 2ET.

Payment must come from a bank account in the name of the charity. We're unable to accept payment from a third party.

Section F – Future Income and Withdrawal Instruction This section is mandatory

Income options
Where you have chosen to invest in a fund with income units/shares, you can choose how any income paid from those investments should be dealt with. Please tick one option:

☐ **REINVEST IN FUND (ACC SHARES)**

☐ **PAY TO BANK ACCOUNT (INC SHARES)**

Withdrawals
When you choose to take out part, or all, of your investment, we can only pay electronically into your nominated UK bank account.

Nominated bank
Please provide your bank details that any future income and withdrawals are to be paid to.

Name of bank/building society

Name of account holder

Bank account number Sort code x x - x x - x x

Roll number/building society reference

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Section G – Privacy Notice

We're committed to processing the personal data that you provide to us in line with the latest data protection and data privacy legislation in force within the United Kingdom. We'll use your information in order to provide the service detailed in this Application Form and to administer your investments, communicate with you and provide information on our products and services when you request it, to meet our legal obligations and for the purposes of fraud prevention.

Our full Privacy Notice

It's important that you read our full Privacy Notice, which explains how the personal information you give us will be used. The Privacy Notice can be found on our website at **www.ifslfunds.com**, or you can ask us for a copy.

Section H – Declaration Please ensure that you read and sign this section as this is mandatory.

Please ensure at least two signatories sign from your latest signatory list, unless only one person is authorised to sign on your behalf.

- I/We declare that I/we have read and understood the relevant Key Investor Information Document (KIID), the Supplementary Information Document (SID) and the IFSL Terms & Conditions and agree to be bound to these. I/We understand that these documents form part of the terms and conditions of my/our investment in the fund(s) and are available at www.ifslfunds.com
- I am aware that the full prospectus, which includes the risk warnings relevant to the fund(s), is available from www.ifslfunds.com
- To the best of my/our knowledge and belief, all statements made in this application form are true and correct and I/we shall inform IFSL immediately of any changes herein
- I/We declare that I am/we are 18 years of age or over and I/we wish to buy shares as set out above at the buying price prevailing at the first valuation point following receipt of this completed application
- I/We declare that I am not/we are not US Person(s) (either a resident or citizen) and acknowledge that US Persons cannot hold shares in the fund(s)
- I/We understand that you may require additional information from me/us in accordance with the money laundering regulations and I/we acknowledge that electronic data sources may be used to check my/our identity under the money laundering regulations
- The shares will, at all times, be held on behalf of the organisation
- The income is for charitable purposes only
- I/We confirm that this application is being made on behalf of a charitable organisation and that I/we will inform IFSL if it ceases to be charitable
- I/We consent to my/our shares being compulsorily redeemed in accordance with the Prospectus in the event that these statements are not correct or become incorrect in the future
- I/We have read the IFSL Privacy Notice concerning the use of my/our personal data

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Section H – Declaration (continued)

Please populate this section with relevant signatory details for the organisation in question.

If these details remain consistent to those named in earlier sections of the application form, please copy down into this section.

If the individuals differ due to organisational structure, please advise accordingly.

First signatory name

Signature Date D D M M Y Y Y Y

Capacity in which you are signing

Second signatory name

Signature Date D D M M Y Y Y Y

Capacity in which you are signing

Third signatory name

Signature Date D D M M Y Y Y Y

Capacity in which you are signing

Fourth signatory name

Signature Date D D M M Y Y Y Y

Capacity in which you are signing

If you have additional signatories, please ensure you provide us with full details.

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Appendix A

Identity Verification Document requirements for charities are outlined in the supplementary user guide document.

In all cases IFSL wish to verify the Charity itself, regardless of how the investment is registered. We understand that charitable bodies may have been constituted by one of a number of methods. In all cases where a Scheme issued by the Charity Commission or Court has superseded the original governing document then this is also required.

Individual verification:

Where an investment is held in the name of the charitable organisation, individuals can also be registered with authority to provide us with instructions. These individuals may need to have their identity verified.

We will try to verify the identity of such individuals using an electronic verification system first. However, if this is not possible, we may then ask you to provide two pieces of documentation for the person concerned.

This will also apply if the investment is registered in the names of individuals and not the charitable organisation itself (e.g. if individual trustees hold the investment in their joint names).

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What happens next

Upon receipt of a completed application form, we will process within 5 working days. A written response will be issued to the registered correspondence address provided within the application form, confirming the account number and any associated deal reference for your initial trade, if you completed this section of the application form.

Please note we may then write out to you again under a separate cover to request additional verification documentation. This will depend on your account structure and the results of our initial electronic verification checks.

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