

CAF INVESTMENT ACCOUNT

Investment Funds Transfer Form

Please note that you need to have an existing CAF Investment Account to be able to transfer your investment funds. If you do not have one, then please download and complete an application form from www.cafonline.org/investresources.

To transfer your existing investment funds into your CAF Investment Account, please complete, sign and return this form, together with your Stock Transfer Form(s) by post to:

Saving and Investment team, CAF Financial Solutions Limited, 25 Kings Hill Avenue, Kings Hill, West Malling, Kent ME19 4TA.

Please complete this form in BLOCK CAPITALS. Transfers into the CAF Investment Account can only be made by the charitable organisation named on the account and who are also the beneficial owner of the investment funds. Please note that a completed Stock Transfer Form will be required for each investment fund and share class that you hold.

Organisation details

CAF Investment Account client reference

Organisation name

Registered address on the CAF Investment Account

Postcode

Primary contact
 Mr Mrs Miss Other

Full forename (s)

Surname

Contact number

Name of shareholder as registered with the fund manager (see note A)	Name of investment fund and share class (see note B)	Total number of shares to be transferred	Book cost (see note C)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Note A – Please write in the name of the shareholder exactly as it is registered with your fund manager.

Note B – Please write in the name of the investment funds in full (e.g XYZ Income Fund) followed by the share class.

Note C – Please enter the original total amount you paid for your investment funds (ie, not amount per share or unit). This would be the net contract value or ‘book cost’. This will assist us in preparing a valuation for you.

Important: Dealing instructions can only be accepted when the transfers have been completed and your investment funds have been re-registered into Winterflood Client Nominees Limited.

We authorise the transfer of the above named investment(s) out of the above name into the name of Winterflood Client Nominees Limited. A minimum of two signatures is required.

Authorised signature 1

Date | D | D | M | M | Y | Y | Y | Y

Full name

Authorised signature 2

Date | D | D | M | M | Y | Y | Y | Y

Full name

The CAF Investment Account is operated by Winterflood Business Services. Winterflood Business Services is a registered trading name of Winterflood Securities Limited, registered in England No. 02242204. Registered Office: The Atrium Building, Cannon Bridge House, 25 Dowgate Hill, London EC4R 2GA. Member of the London Stock Exchange and NEX Exchange. Authorised and regulated by the Financial Conduct Authority (FCA register number 141455).

CAF Financial Solutions Limited (CFSL) is authorised and regulated by the Financial Conduct Authority under registration number 189450. Authorisation can be checked on the financial services register at www.fca.org.uk

CFSL Registered office is 25 Kings Hill Avenue, Kings Hill, West Malling, Kent ME19 4TA. Registered under number 2771873. CFSL is a subsidiary of Charities Aid Foundation (registered charity number 268369).

Telephone calls may be monitored or recorded for security/training purposes. Lines are open Monday to Friday 9am - 5pm (excluding English bank holidays).

**STOCK
TRANSFER
FORM**

(Above this line for Registrars only)

J30

①

Consideration Money £ NIL

Certificate lodged with the Registrar

(For completion by the Registrar/Stock Exchange)

②

Full name of Undertaking.

F P CAF FIXED INTEREST FUND

③

Full description of Security.

B INCOME

④

Number or amount of Shares, Stock or other security and, in figures column only, number and denomination of units, if any.

Words

THREE THOUSAND, FIVE
HUNDRED

Figures

3,500

(units of)

⑤

Name(s) of registered holder(s) should be given in full, the address should be given where there is only one holder.

In the name(s) of

XYZ CHARITY
24 THE AVENUE
LONDON
E1 2AB

Account Designation (if any)

If the transfer is not made by the registered holder(s) insert also the name(s) and capacity (e.g., Executor(s)) of the person(s) making the transfer.

PLEASE SIGN HERE

⑥



I/We hereby transfer the above security out of the name(s) aforesaid to the person(s) named below or to the several persons named in Parts 2 of Brokers Transfer Forms relating to the above security:

Delete words in italics except for stock exchange transactions.
Signature(s) of

1. *John*
2. *Alger*
3.
4.

Stamp of Selling Broker(s) or, for transactions which are not stock exchange transactions, of Agent(s), if any, acting for the Transferor(s).

⑦

Date

A body corporate should execute this transfer under its common seal or otherwise in accordance with applicable statutory requirements

Full name(s) and full postal address(es) (including County or, if applicable, Postal District number) of the person(s) to whom the security is transferred.

Please state title, if any, or whether Mr., Mrs. or Miss.

Please complete in typewriting or in Block Capitals.

Account Designation (if any)

WINTERFLOOD CLIENT NOMINEES LIMITED
THE ATRIUM BUILDING
CANNON BRIDGE HOUSE
25 DOWGATE HILL
LONDON
EC4R 2GA

I/We request that such entries be made in the register as are necessary to give effect to this transfer.

Stamp of Buying Broker(s) (if any)

Stamp or name and address of person lodging this form (if other than the Buying Broker(s))

**FORM OF CERTIFICATE REQUIRED – TRANSFERS NOT CHARGEABLE WITH
AD VALOREM STAMP DUTY**

Complete Certificate 1 if:

- the consideration you give for the shares is £1,000 or less and the transfer is not part of a larger transaction or series of transactions (as referred to in Certificate 1).

Complete Certificate 2 if:

- the transfer is otherwise exempt from Stamp Duty and you are not claiming a relief, or
- the consideration given is not chargeable consideration.

Certificate 1

* Please delete as appropriate I/We* certify that the transaction effected by this instrument does not form part of a larger transaction or series of transactions in respect of which the amount or value, or aggregate amount or value, of the consideration exceeds £1,000.

** Delete second sentence if certificate is given by transferor I/We* confirm that I/we* have been authorised by the transferor to sign this certificate and that I/we* am/are* aware of all the facts of the transaction. **

<i>Signature(s)</i>	<i>Description ("Transferor", "Solicitor", etc)</i>
.....
.....
.....

Date _____

Certificate 2

* Please delete as appropriate I/We* certify that this instrument is otherwise exempt from *ad valorem* Stamp Duty without a claim for relief being made or that no chargeable consideration is given for the transfer for the purposes of Stamp Duty.

** Delete second sentence if certificate is given by transferor I/We* confirm that I/we* have been authorised by the transferor to sign this certificate and that I/we* am/are* aware of all the facts of the transaction. **

<i>Signature(s)</i>	<i>Description ("Transferor", "Solicitor", etc)</i>
..... <i>A. Logan</i> <i>Transferor</i>
..... <i>Transferor</i>
.....

Date 4/7/18

8

NOTES

- (1) You don't need to send this form to HM Revenue & Customs (HMRC) if you have completed either Certificate 1 or 2, or the consideration for the transfer is nil (in which case you must write 'nil' in the consideration box on the front of the form). In these situations send the form to the company or its registrar.
- (2) In all other cases - including where relief from Stamp Duty is claimed - send the transfer form to HMRC to be stamped.
- (3) Information on Stamp Duty reliefs and exemptions and how to claim them can be found on the HMRC website at hmrc.gov.uk/sd.

Guidance Notes for the completion of a Stock Transfer Form by shareholders

To be read in conjunction with the attached Stock Transfer Form.

The Stock Transfer Form must be completed in BLOCK CAPITALS and in black ink. If you are not providing information in any of the boxes, please leave them blank and do not cross them through. Please note that the instruction is specific to the holding shown on the Stock Transfer Form. You will need to complete a separate Stock Transfer Form for each type of unit or share that you wish to transfer.

Note 1 – Consideration Money

If no payment (Consideration Money) is given for the shares, units or stocks, you must enter 'Nil' as the Consideration Money and complete Certificate 2 on the second side of the Stock Transfer Form.

Note 2 – Full name of Undertaking

Name of the fund in which these shares, units or stocks are held, eg, FP CAF Fixed Interest Fund.

Note 3 – Full description of Security

The type of shares, units or stocks being transferred, eg, B Income.

Note 4 – Number or amount of Shares, Stocks or other security etc

Both boxes must be completed. The amount of shares, units or stocks to be transferred needs to be written in words (in the left hand box) and in figures (in the right hand box).

Note 5 – Name(s) of registered holder(s)

Please write the full name(s) of the registered shareholder(s) transferring these shares, units or stocks. Please include any "Account Designation" (a specific reference) in the small box to the right. The information should be written exactly as registered with your fund manager. If registered in the name of the charitable organisation, then the address must also be written on the Stock Transfer Form. If registered in the name of two or more trustees then no address is required.

Note 6 – Signature(s)

Signature(s) of person(s) transferring the shares, units or stock are required. This should be signed in accordance with the authorised signatory list held by your fund managers.

If you are registered with Companies House it can be signed by one of the following combinations of signatories with each signatory stating the capacity in which they sign:

- (i) two directors; or
- (ii) company secretary and one company director.

Note 7 – Stamping of Selling Broker(s) etc

Please leave blank.

Note 8 – Certificate 2

The date on which the transfer Stock Transfer Form is completed and signed must be shown within Certificate 2 on the second side of the Stock Transfer Form otherwise the transfer will be rejected.

**STOCK
TRANSFER
FORM**

J30

(Above this line for Registrars only)

Certificate lodged with the Registrar

Consideration Money £

(For completion by the Registrar/Stock Exchange)

Full name of Under-taking.

Full description of Security.

Number or amount of Shares, Stock or other security and, in figures column only, number and denomination of units, if any.

Words

Figures

(units of)

Name(s) of registered holder(s) should be given in full: the address should be given where there is only one holder.

In the name(s) of

Account Designation (if any)

If the transfer is not made by the registered holder(s) insert also the name(s) and capacity (e.g., Executor(s)) of the person(s) making the transfer.

I/We hereby transfer the above security out of the name(s) aforesaid to the person(s) named below *or to the several persons named in Parts 2 of Brokers Transfer Forms relating to the above security:*

Stamp of Selling Broker(s) or, for transactions which are not stock exchange transactions, of Agent(s), if any, acting for the Transferor(s).

Delete words in italics except for stock exchange transactions.
Signature(s) of

1.
2.
3.
4.

Date

A body corporate should execute this transfer under its common seal or otherwise in accordance with applicable statutory requirements

Account Designation (if any)

Full name(s) and full postal address(es) (including County or, if applicable, Postal District number) of the person(s) to whom the security is transferred.

Please state title, if any, or whether Mr., Mrs. or Miss.

Please complete in typewriting or in Block Capitals.

I/We request that such entries be made in the register as are necessary to give effect to this transfer.

Stamp of Buying Broker(s) (if any)

Stamp or name and address of person lodging this form (if other than the Buying Broker(s))

PLEASE SIGN HERE



**FORM OF CERTIFICATE REQUIRED – TRANSFERS NOT CHARGEABLE WITH
AD VALOREM STAMP DUTY**

Complete Certificate 1 if:

- the consideration you give for the shares is £1,000 or less and the transfer is not part of a larger transaction or series of transactions (as referred to in Certificate 1).

Complete Certificate 2 if:

- the transfer is otherwise exempt from Stamp Duty and you are not claiming a relief, or
- the consideration given is not chargeable consideration.

Certificate 1

* Please delete as appropriate I/We* certify that the transaction effected by this instrument does not form part of a larger transaction or series of transactions in respect of which the amount or value, or aggregate amount or value, of the consideration exceeds £1,000.

** Delete second sentence if certificate is given by transferor I/We* confirm that I/we* have been authorised by the transferor to sign this certificate and that I/we* am/are* aware of all the facts of the transaction. **

<i>Signature(s)</i>	<i>Description ("Transferor", "Solicitor", etc)</i>
.....
.....
.....

Date _____

Certificate 2

* Please delete as appropriate I/We* certify that this instrument is otherwise exempt from *ad valorem* Stamp Duty without a claim for relief being made or that no chargeable consideration is given for the transfer for the purposes of Stamp Duty.

** Delete second sentence if certificate is given by transferor I/We* confirm that I/we* have been authorised by the transferor to sign this certificate and that I/we* am/are* aware of all the facts of the transaction. **

<i>Signature(s)</i>	<i>Description ("Transferor", "Solicitor", etc)</i>
.....
.....
.....

Date _____

NOTES

- (1) You don't need to send this form to HM Revenue & Customs (HMRC) if you have completed either Certificate 1 or 2, or the consideration for the transfer is nil (in which case you must write 'nil' in the consideration box on the front of the form). In these situations send the form to the company or its registrar.
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