

# CAF INVESTMENT ACCOUNT

## Application form

### Data Protection and Privacy

CAF Financial Solutions Ltd (CFSL) takes data protection and privacy very seriously. Our Privacy Notice at [www.cafonline.org/privacy](http://www.cafonline.org/privacy) governs the way in which we collect, retain and use personal data. We shall ensure that we only hold personal data for as long as it is needed and that it is held securely.

Guidance notes have been included to answer some of the questions you may have. However, if there is anything that you do not fully understand, please feel free to contact a member of the Saving and Investment team on **03000 123 333**. Telephone calls may be monitored or recorded for security/training purposes.

Please note we cannot accept applications from charities outside the UK.

## Before you start

This Application form is for charitable organisations that are (a) registered with the Charity Commission for England and Wales (Charity Commission), the Office of the Scottish Charity Regulator (OSCR) and the Charity Commission for Northern Ireland (CCNI) or (b) recognised by HMRC to have charitable status in the UK.

To avoid any delay in opening a CAF Investment Account, please ensure that you complete each relevant section clearly, in full using BLOCK CAPITALS. If you make a mistake, please cross out the incorrect entry, write in the correct details above the box and initial the changes. Application forms will be rejected if correction fluid has been used. Please retain a copy of this completed Application form for your records.

Additionally, for your own protection, you should carefully read both the CAF Financial Solutions Limited and Winterflood Business Services sections of the CAF Investment Account Terms and Conditions of Business, the associated information on our website [www.cafonline.org/investments](http://www.cafonline.org/investments) and the applicable fees and charges. For details of our latest fees and charges, please visit [www.cafonline.org/pricing](http://www.cafonline.org/pricing).

In order to comply with UK anti-money laundering legislation, it is necessary to complete checks on your organisation and the individuals that are involved before your CAF Investment Account can be opened. Wherever possible, checks are performed electronically, minimising the time it takes to process your application. In certain circumstances, however, it may be necessary for us to request additional identification documentation from you.

The CAF Investment Account is offered to you on an Execution Only basis by CAF Financial Solutions Limited (CFSL) and operated and supplied by Winterflood Business Services.

We will share information about you with the CAF Group (CAF and the companies in which it has a majority stake, and their subsidiaries are known as the CAF Group) and with Winterflood Business Services to provide you with the CAF Investment Account.

## Section 1

### Your organisation

Office use only
CAF unique ID
<input type="text"/>
CRM number
<input type="text"/>

### Legal Entity Identifier (LEI) number

Please provide your LEI number. An LEI is a unique identifier for persons that are legal entities or structures including companies, charities and trusts. Further information on LEIs, including answers to frequently asked questions, can be found on the Legal Entity Identifier Regulatory

<b>Organisation type</b>
<input type="checkbox"/> We are a company, limited liability partnership (LLP), community interest company (CIC), or Friendly Society, and our Companies House registration number is <input type="text"/> OR
<input type="checkbox"/> We are an educational establishment OR
<input type="checkbox"/> We are a religious establishment and our diocese/denomination (if applicable) is <input type="text"/> OR
<input type="checkbox"/> We are an armed forces organisation and we enclose a letter from the Ministry of Defence/Army/Navy/Royal Air Force confirming our identity and exemption from registration with the Charity Commission or OSCR or CCNI OR
<input type="checkbox"/> We are a trust, partnership, association, club or other charitable organisation.
LEI number <input type="text"/>

Oversight Committee (LEIROC)  
<http://www.leiroc.org/faq/index.htm> and Global Legal Entity Identifier Foundation (GLEIF)  
<https://www.gleif.org/en/about-lei/questions-and-answers-websites>.

When an LEI code is allocated to you, the code is included in a global data system. This enables every legal entity or structure that is a party to a relevant financial transaction to be identified in any jurisdiction.

WBS need to have your LEI in order to be able to execute transactions on your behalf. We will not be able to process your application without it.

### 1.1 Organisation name

This will be the full name of your organisation. In order for your charitable status to be verified, please ensure that this name is identical to your registered name at Companies House or with your regulatory body, eg Charity Commission, or on your governing documentation.

### 1.3 Working or preferred organisation name (if applicable)

If you are a registered charity, this name must be listed under "other working names" on the Charity Commission website. If you are an unregistered charity, this name should be stated in supporting documentation. Please note that if you complete this section, this is the name that will appear on statements and other documentation relating to the CAF Investment Account.

### 1.4 Registered office address

This is the formal address of your organisation and must be identical to that registered at Companies House or with your regulatory body, eg Charity Commission, or on your governing documentation. If your organisation is not incorporated, this will be your principal place of business.

Are you regulated by the Financial Conduct Authority?  Yes  No

If yes, what is your Firm Reference Number (FRN)

Our organisation is a:

**Registered charity** (Charity Commission or OSCR or CCNI)

registration number  OR

**Not for profit/exempt organisation**

HMRC exemption number (where applicable)

and a copy of HMRC notification is enclosed.

OR

Registration number for your relevant regulatory body (where applicable)

Exempt charity

Community Amateur Sports Clubs

Industrial and Provident Society

Other (please state)

## Organisation details

1.1 Organisation name (legal name)

1.2 Financial year end date

1.3 Working or preferred organisation name (if applicable)

1.4 Registered office address

Postcode

1.5 Countries of operation

1.6 Organisation telephone number

1.7 Organisation email address

1.8 Website

## Section 2

### Key people

#### Key people in your organisation

Please complete full details for **all** your Trustees, Directors or equivalent such as:

- your governors or equivalent if you are a state supported school, college, university or an independent school or college;
- the committee members responsible for running your organisation or group, eg Parent Teacher Association or Parochial Church Council.

Please ensure the details of the Trustees/Directors (or equivalent) are those stated on the Charity Commission website or Companies House.

Where your beneficial owners are not your Trustees/Director (or equivalent), please complete section 3.

#### Previous address

If the person has moved within the last three years, please supply previous address details. Please continue on a separate sheet if necessary.

#### Nationality(ies)

If you have dual nationality, please detail both nationalities.

#### Key people in your organisation

##### Trustee / Director (or equivalent) 1

This individual is a (please tick all that apply):

- Trustee/Director   
  Governor or equivalent   
  Committee member   
  Other  
 Mr   
  Mrs   
  Miss   
  Other

Full Forename(s) \_\_\_\_\_

Surname \_\_\_\_\_

Country of birth \_\_\_\_\_

Date of birth       /       /            

##### Permanent UK residential address

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_ Postcode

##### Previous address (if applicable)

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_ Postcode

##### Nationality(ies)

\_\_\_\_\_  
 \_\_\_\_\_

Country code       Home telephone \_\_\_\_\_

Country code       Mobile \_\_\_\_\_

##### Email address (optional)

\_\_\_\_\_  
 \_\_\_\_\_

#### Keeping you informed

As well as contacting you about this product or service, we would like to send you information about other related products and services from the CAF Group that we believe will be of interest to you.

I **DO NOT** want to receive this information by (tick all that apply):

- Email  
 Phone  
 Post

Please note: if you tick a box, we will not be able to tell you about these products and services in this way.

For information about how CAF handles your information, see our Privacy Notice which you can find at [www.cafonline.org/privacy](http://www.cafonline.org/privacy)

CAF and the companies in which it has a majority stake, or their subsidiaries (defined here as the CAF Group) will not share your information with any outside organisation except as part of providing a product/service or when legally obliged to do so.

**Trustee / Director (or equivalent) 2**

This individual is a (please tick all that apply):

- Trustee/Director     Governor or equivalent     Committee member     Other
- Mr     Mrs     Miss     Other

Full Forename(s)

Surname

Country of birth

Date of birth

Permanent UK residential address

Postcode

Previous address (if applicable)

Postcode

Nationality(ies)

Country code   Home telephone

Country code   Mobile

Email address (optional)

**Keeping you informed**

As well as contacting you about this product or service, we would like to send you information about other related products and services from the CAF Group that we believe will be of interest to you.

I **DO NOT** want to receive this information by (tick all that apply):

- Email
- Phone
- Post

Please note: if you tick a box, we will not be able to tell you about these products and services in this way.

For information about how CAF handles your information, see our Privacy Notice which you can find at [www.cafonline.org/privacy](http://www.cafonline.org/privacy)

CAF and the companies in which it has a majority stake, or their subsidiaries (defined here as the CAF Group) will not share your information with any outside organisation except as part of providing a product/service or when legally obliged to do so.

**Previous address**

If the person has moved within the last three years, please supply previous address details. Please continue on a separate sheet if necessary.

**Nationality(ies)**

If you have dual nationality, please detail both nationalities.

**Trustee / Director (or equivalent) 3**

This individual is a (please tick all that apply):

- Trustee/Director     Governor or equivalent     Committee member     Other
- Mr     Mrs     Miss     Other

Full Forename(s)

Surname

Country of birth

Date of birth

Permanent UK residential address

Postcode

Previous address (if applicable)

Postcode

Nationality(ies)

Country code   Home telephone

Country code   Mobile

Email address (optional)

**Keeping you informed**

As well as contacting you about this product or service, we would like to send you information about other related products and services from the CAF Group that we believe will be of interest to you.

I **DO NOT** want to receive this information by (tick all that apply):

- Email
- Phone
- Post

Please note: if you tick a box, we will not be able to tell you about these products and services in this way.

For information about how CAF handles your information, see our Privacy Notice which you can find at [www.cafonline.org/privacy](http://www.cafonline.org/privacy)

CAF and the companies in which it has a majority stake, or their subsidiaries (defined here as the CAF Group) will not share your information with any outside organisation except as part of providing a product/service or when legally obliged to do so.

**Previous address**

If the person has moved within the last three years, please supply previous address details. Please continue on a separate sheet if necessary.

**Nationality(ies)**

If you have dual nationality, please detail both nationalities.

**Trustee / Director (or equivalent) 4**

This individual is a (please tick all that apply):

- Trustee/Director     Governor or equivalent     Committee member     Other  
 Mr     Mrs     Miss     Other

Full Forename(s)

Surname

Country of birth

Date of birth    d d m m y y y y

Permanent UK residential address

Postcode

Previous address (if applicable)

Postcode

Nationality(ies)

Country code    Home telephone

Country code    Mobile

Email address (optional)

**Keeping you informed**

As well as contacting you about this product or service, we would like to send you information about other related products and services from the CAF Group that we believe will be of interest to you.

I **DO NOT** want to receive this information by (tick all that apply):

- Email  
 Phone  
 Post

Please note: if you tick a box, we will not be able to tell you about these products and services in this way.

For information about how CAF handles your information, see our Privacy Notice which you can find at [www.cafonline.org/privacy](http://www.cafonline.org/privacy)

CAF and the companies in which it has a majority stake, or their subsidiaries (defined here as the CAF Group) will not share your information with any outside organisation except as part of providing a product/service or when legally obliged to do so.

**Previous address**

If the person has moved within the last three years, please supply previous address details. Please continue on a separate sheet if necessary.

**Nationality(ies)**

If you have dual nationality, please detail both nationalities.

**Trustee / Director (or equivalent) 5**

This individual is a (please tick all that apply):

- Trustee/Director     Governor or equivalent     Committee member     Other  
 Mr     Mrs     Miss     Other

Full Forename(s)

Surname

Country of birth

Date of birth

Permanent UK residential address

Postcode

Previous address (if applicable)

Postcode

Nationality(ies)

Country code    Home telephone

Country code    Mobile

Email address (optional)

**Keeping you informed**

As well as contacting you about this product or service, we would like to send you information about other related products and services from the CAF Group that we believe will be of interest to you.

I **DO NOT** want to receive this information by (tick all that apply):

- Email  
 Phone  
 Post

Please note: if you tick a box, we will not be able to tell you about these products and services in this way.

For information about how CAF handles your information, see our Privacy Notice which you can find at [www.cafonline.org/privacy](http://www.cafonline.org/privacy)

CAF and the companies in which it has a majority stake, or their subsidiaries (defined here as the CAF Group) will not share your information with any outside organisation except as part of providing a product/service or when legally obliged to do so.

**Previous address**

If the person has moved within the last three years, please supply previous address details. Please continue on a separate sheet if necessary.

**Nationality(ies)**

If you have dual nationality, please detail both nationalities.

**Trustee / Director (or equivalent) 6**

This individual is a (please tick all that apply):

Trustee/Director    Governor or equivalent    Committee member    Other

Mr    Mrs    Miss    Other \_\_\_\_\_

Full Forename(s) \_\_\_\_\_

Surname \_\_\_\_\_

Country of birth \_\_\_\_\_

Date of birth       /       /                  

Permanent UK residential address

\_\_\_\_\_

\_\_\_\_\_

Postcode

Previous address (if applicable)

\_\_\_\_\_

\_\_\_\_\_

Postcode

Nationality(ies)

\_\_\_\_\_

\_\_\_\_\_

Country code       Home telephone \_\_\_\_\_

Country code       Mobile \_\_\_\_\_

Email address (optional)

\_\_\_\_\_

\_\_\_\_\_

**Keeping you informed**

As well as contacting you about this product or service, we would like to send you information about other related products and services from the CAF Group that we believe will be of interest to you.

I **DO NOT** want to receive this information by (tick all that apply):

Email

Phone

Post

Please note: if you tick a box, we will not be able to tell you about these products and services in this way.

For information about how CAF handles your information, see our Privacy Notice which you can find at [www.cafonline.org/privacy](http://www.cafonline.org/privacy)

CAF and the companies in which it has a majority stake, or their subsidiaries (defined here as the CAF Group) will not share your information with any outside organisation except as part of providing a product/service or when legally obliged to do so.

**Previous address**

If the person has moved within the last three years, please supply previous address details. Please continue on a separate sheet if necessary.

**Nationality(ies)**

If you have dual nationality, please detail both nationalities.



**Trustee / Director (or equivalent) 7**

This individual is a (please tick all that apply):

- Trustee/Director     Governor or equivalent     Committee member     Other  
 Mr     Mrs     Miss     Other

Full Forename(s)

Surname

Country of birth

Date of birth

Permanent UK residential address

Postcode

**Previous address**

If the person has moved within the last three years, please supply previous address details. Please continue on a separate sheet if necessary.

Previous address (if applicable)

Postcode

Nationality(ies)

**Nationality(ies)**

If you have dual nationality, please detail both nationalities.

Country code   Home telephone

Country code   Mobile

Email address (optional)

**Keeping you informed**

As well as contacting you about this product or service, we would like to send you information about other related products and services from the CAF Group that we believe will be of interest to you.

I **DO NOT** want to receive this information by (tick all that apply):

- Email  
 Phone  
 Post

Please note: if you tick a box, we will not be able to tell you about these products and services in this way.

For information about how CAF handles your information, see our Privacy Notice which you can find at [www.cafonline.org/privacy](http://www.cafonline.org/privacy)

CAF and the companies in which it has a majority stake, or their subsidiaries (defined here as the CAF Group) will not share your information with any outside organisation except as part of providing a product/service or when legally obliged to do so.

**Trustee / Director (or equivalent) 8**

This individual is a (please tick all that apply):

- Trustee/Director
- Governor or equivalent
- Committee member
- Other
- Mr
- Mrs
- Miss
- Other

Full Forename(s)

Surname

Country of birth

Date of birth                     

Permanent UK residential address

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Postcode

Previous address (if applicable)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Postcode

Nationality(ies)

\_\_\_\_\_  
\_\_\_\_\_

Country code      Home telephone                     

Country code      Mobile                     

Email address (optional)

\_\_\_\_\_  
\_\_\_\_\_

**Keeping you informed**

As well as contacting you about this product or service, we would like to send you information about other related products and services from the CAF Group that we believe will be of interest to you.

I **DO NOT** want to receive this information by (tick all that apply):

- Email
- Phone
- Post

Please note: if you tick a box, we will not be able to tell you about these products and services in this way.

For information about how CAF handles your information, see our Privacy Notice which you can find at [www.cafonline.org/privacy](http://www.cafonline.org/privacy)

CAF and the companies in which it has a majority stake, or their subsidiaries (defined here as the CAF Group) will not share your information with any outside organisation except as part of providing a product/service or when legally obliged to do so.

**Previous address**

If the person has moved within the last three years, please supply previous address details. Please continue on a separate sheet if necessary.

**Nationality(ies)**

If you have dual nationality, please detail both nationalities.

Please continue on a separate sheet if necessary.

## Section 3

### Beneficial owners

#### Beneficial owners

Where your beneficial owners are not your Trustees, Directors (or equivalent) listed in section 2, please complete their details in this section.

A beneficial owner is an individual who ultimately owns or controls a percentage of your organisation in relation to share of the capital, profits, voting rights, capital of the trust property or who operates or has control over a trust, meaning having the power to:

- dispose of, advance, lend, invest, pay or apply trust property;
- vary the trust;
- add or remove persons as a beneficiary or to or from a class of beneficiaries;
- appoint or remove Trustees/Directors (or equivalent); or
- direct, withhold consent to or veto the exercise of any of the above powers.

#### Previous address

If the person has moved within the last three years, please supply previous address details. Please continue on a separate sheet if necessary.

#### Nationality(ies)

If you have dual nationality, please detail both nationalities.

#### Beneficial owner 1

Mr  Mrs  Miss  Other

Full Forename(s)

Surname

Date of birth

Permanent UK residential address

Postcode

Previous address (if applicable)

Postcode

Country code   Home telephone

Nationality(ies)

Percentage held

%

#### Keeping you informed

As well as contacting you about this product or service, we would like to send you information about other related products and services from the CAF Group that we believe will be of interest to you.

I **DO NOT** want to receive this information by (tick all that apply):

Email

Phone

Post

Please note: if you tick a box, we will not be able to tell you about these products and services in this way.

For information about how CAF handles your information, see our Privacy Notice which you can find at [www.cafonline.org/privacy](http://www.cafonline.org/privacy)

CAF and the companies in which it has a majority stake, or their subsidiaries (defined here as the CAF Group) will not share your information with any outside organisation except as part of providing a product/service or when legally obliged to do so.

#### Beneficial owner 2

Mr  Mrs  Miss  Other

Full Forename(s)

Surname

Date of birth

Permanent UK residential address

Postcode

**Previous address**

If the person has moved within the last three years, please supply previous address details. Please continue on a separate sheet if necessary.

**Nationality(ies)**

If you have dual nationality, please detail both nationalities.

Previous address (if applicable)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Postcode

Country code \_\_\_\_\_ Home telephone \_\_\_\_\_

Nationality(ies)

\_\_\_\_\_  
\_\_\_\_\_

Percentage held

\_\_\_\_\_ %

**Keeping you informed**

As well as contacting you about this product or service, we would like to send you information about other related products and services from the CAF Group that we believe will be of interest to you.

I **DO NOT** want to receive this information by (tick all that apply):

Email

Phone

Post

Please note: if you tick a box, we will not be able to tell you about these products and services in this way.

For information about how CAF handles your information, see our Privacy Notice which you can find at [www.cafonline.org/privacy](http://www.cafonline.org/privacy)

CAF and the companies in which it has a majority stake, or their subsidiaries (defined here as the CAF Group) will not share your information with any outside organisation except as part of providing a product/service or when legally obliged to do so.

**Beneficial owner 3**

Mr  Mrs  Miss  Other \_\_\_\_\_

Full Forename(s) \_\_\_\_\_

Surname \_\_\_\_\_

Date of birth

Permanent UK residential address

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Postcode

Previous address (if applicable)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Postcode

Country code \_\_\_\_\_ Home telephone \_\_\_\_\_

Nationality(ies)

\_\_\_\_\_  
\_\_\_\_\_

Percentage held

\_\_\_\_\_ %

**Previous address**

If the person has moved within the last three years, please supply previous address details. Please continue on a separate sheet if necessary.

**Nationality(ies)**

If you have dual nationality, please detail both nationalities.

**Beneficial owner 4**

Mr  Mrs  Miss  Other

Full Forename(s)

Surname

Date of birth

**Permanent UK residential address**

Postcode

**Previous address (if applicable)**

Postcode

Country code   Home telephone

**Nationality(ies)**

**Percentage held**

%

**Keeping you informed**

As well as contacting you about this product or service, we would like to send you information about other related products and services from the CAF Group that we believe will be of interest to you.

I **DO NOT** want to receive this information by (tick all that apply):

- Email
- Phone
- Post

Please note: if you tick a box, we will not be able to tell you about these products and services in this way.

For information about how CAF handles your information, see our Privacy Notice which you can find at [www.cafonline.org/privacy](http://www.cafonline.org/privacy)

CAF and the companies in which it has a majority stake, or their subsidiaries (defined here as the CAF Group) will not share your information with any outside organisation except as part of providing a product/service or when legally obliged to do so.

**Previous address**

If the person has moved within the last three years, please supply previous address details. Please continue on a separate sheet if necessary.

**Nationality(ies)**

If you have dual nationality, please detail both nationalities.

## Section 4

# Transferring cash and investments

### Transferring cash and investments

As soon as you transfer cash or investments, you will start to incur fees. For current fees and charges, please visit [www.cafonline.org/pricing](http://www.cafonline.org/pricing)

### Income receipts

We will arrange for any distributions from your holdings to be collected on the Income account in your CAF Investment Account. You can request that the accumulated balance is paid to your nominated bank account at any time.

As an alternative to the above, you can opt for any distributions received to be swept directly into the Deposit account for you to reinvest when you wish.

### Cash transfer into CAF Investment Account

You must nominate a UK bank or building society account in the name of your organisation, from which all receipts and withdrawals will be transacted. To validate your bank or building society account, your Application form must be accompanied by three months bank statements in section 8.

Provided we can accept your investment into the CAF Investment Account, you will be able to transfer it into your CAF Investment Account, using the transfer form, available at [www.cafonline.org/investmenttransfer](http://www.cafonline.org/investmenttransfer)

Cash amount to be invested £

Assets to be transferred

Approximate value

<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"/>
<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"/>

### Income receipts

Income receipts from the investments you buy will be credited to your CAF Investment Account. Please indicate if you would like that income automatically transferred from this Account into your Deposit Account, for you to reinvest at your discretion:

Yes

Please provide full details and evidence of source of investment eg, retained profit, sale of property, legacy, how and where funds are raised.

### Your nominated account:

Account name

Bank/building society name

Address including postcode

Sort code

Account number

## Section 5

# CAF Investment Account operating mandate

### CAF Investment Account operating mandate

**Primary Contact** – means the user, as nominated by your organisation from time-to-time who will receive notifications and messages from us in relation to the management of your CAF Investment Account or the investments held within it.

If the Primary Contact or online user is also a Trustee / Director (or equivalent) whose details are recorded in section 2, then there is no need to replicate the information here. Instead, users who are Trustees / Directors (or equivalent) should tick the box provided.

### National Insurance number (NINO)

The information is used to ensure the security of your online access and in turn the assets and information held on your organisation's CAF Investment Account. We would like to assure you that your NINO is only used to identify you and is not held for any other purpose.

### Description of access levels

A full description of the access levels can be found in Appendix A

### Online User for another CAF Investment Account

You must have the same access level and email address for all the CAF Investment Accounts you operate. If your desired access level or email address for this Account is different to any other Account to which you are connected then please contact us.

Please list all users you wish to appoint to operate your CAF Investment Account and indicate the level of access they may have by ticking the relevant box. **Please note that you will need to nominate at least two users at 'Authoriser' level.**

#### Online user details

##### Primary Contact (Online user 1)

Mr  Mrs  Miss  Other

Full forename(s)

Surname

At registered office address

OR

Preferred correspondence address

Postcode

Country code   Home telephone

Country code   Mobile (Mandatory)

Email address (Mandatory)

National Insurance number (Mandatory)

Please select access level

Viewer  Deal Administrator  Authoriser

Please tick to indicate whether you are an Online User for another CAF Investment Account:

No  Yes

If you answered yes to the above, please confirm that the selected access level is the same as that of the other CAF Investment Account(s) to which you are appointed and that you are able to use the same email address.

Please also confirm that the charities for which you are the Authorised User are aware of the fact that you are an Authorised User for more than one charity and that they consent to it, in light of the multiple access as described above.

No  Yes

If you have answered No, we will need to contact you before your access can be granted.

Example signature for mandate

Signature  Date

If you are a Trustee / Director (or equivalent) whose details are already provided in section 2, please tick here.

If not, then please complete the information required below.

Date of birth

Country of birth

**Previous address**

If the person has moved within the last three years, please supply previous address details. Please continue on a separate sheet if necessary.

**Nationality(ies)**

If you have dual nationality, please detail both nationalities.

**Keeping you informed**

If you have already entered your details and indicated your marketing preferences, you do not need to select your preferences again.

**National Insurance number (NINO)**

The information is used to ensure the security of your online access and in turn the assets and information held on your organisation's CAF Investment Account. We would like to assure you that your NINO is only used to identify you and is not held for any other purpose.

Permanent UK residential address

Form fields for permanent UK residential address, including a Postcode field.

Previous address (if applicable)

Form fields for previous address (if applicable), including a Postcode field.

Nationality(ies)

Form fields for Nationality(ies).

**Keeping you informed**

As well as contacting you about this product or service, we would like to send you information about other related products and services from the CAF Group that we believe will be of interest to you.

I **DO NOT** want to receive this information by (tick all that apply):

- Email
- Phone
- Post

Please note: if you tick a box, we will not be able to tell you about these products and services in this way.

For information about how CAF handles your information, see our Privacy Notice which you can find at [www.cafonline.org/privacy](http://www.cafonline.org/privacy)

CAF and the companies in which it has a majority stake, or their subsidiaries (defined here as the CAF Group) will not share your information with any outside organisation except as part of providing a product/service or when legally obliged to do so.

**Online user 2**

Form fields for Online user 2, including title selection (Mr, Mrs, Miss, Other).

Form field for Full forename(s).

Form field for Surname.

Form fields for Country code and Home telephone.

Form fields for Country code and Mobile (Mandatory).

Form field for Email address (Mandatory).

Form field for National Insurance number (Mandatory).

Please select access level

- Viewer
- Deal Administrator
- Authoriser

Please tick to indicate whether you are an Online User for another CAF Investment Account:

- No
- Yes

If you answered yes to the above, please confirm that the selected access level is the same as that of the other CAF Investment Account(s) to which you are appointed and that you are able to use the same email address.



### Online User for another CAF Investment Account

You must have the same access level and email address for all the CAF Investment Accounts you operate. If your desired access level or email address for this Account is different to any other Account to which you are connected then please contact us.

### Previous address

If the person has moved within the last three years, please supply previous address details. Please continue on a separate sheet if necessary.

### Nationality(ies)

If you have dual nationality, please detail both nationalities.

### Keeping you informed

If you have already entered your details and indicated your marketing preferences, you do not need to select your preferences again.

Please also confirm that the charities for which you are the Authorised User are aware of the fact that you are an Authorised User for more than one charity and that they consent to it, in light of the multiple access as described above.

No  Yes

If you have answered No, we will need to contact you before your access can be granted.

Example signature for mandate

Signature	Date
	d d m m y y y y

If you are a Trustee / Director (or equivalent) whose details are already provided in section 2, please tick here.

If not, then please complete the information required below.

Date of birth d d m m y y y y

Country of birth

Permanent UK residential address

Postcode

Previous address (if applicable)

Postcode

Nationality(ies)

### Keeping you informed

As well as contacting you about this product or service, we would like to send you information about other related products and services from the CAF Group that we believe will be of interest to you.

I **DO NOT** want to receive this information by (tick all that apply):

Email

Phone

Post

Please note: if you tick a box, we will not be able to tell you about these products and services in this way.

For information about how CAF handles your information, see our Privacy Notice which you can find at [www.cafonline.org/privacy](http://www.cafonline.org/privacy)

CAF and the companies in which it has a majority stake, or their subsidiaries (defined here as the CAF Group) will not share your information with any outside organisation except as part of providing a product/service or when legally obliged to do so.

Online user 3

Mr  Mrs  Miss  Other

Full forename(s)

Surname

**Online User for another CAF Investment Account**  
 You must have the same access level and email address for all the CAF Investment Accounts you operate. If your desired access level or email address for this Account is different to any other Account to which you are connected then please contact us.

**Previous address**  
 If the person has moved within the last three years, please supply previous address details. Please continue on a separate sheet if necessary.

**Nationality(ies)**  
 If you have dual nationality, please detail both nationalities.

**Keeping you informed**  
 If you have already entered your details and indicated your marketing preferences, you do not need to select your preferences again.

Country code   Home telephone

Country code   Mobile (Mandatory)

Email address (Mandatory)

National Insurance number (Mandatory)

Please select access level  
 Viewer  Deal Administrator  Authoriser

Please tick to indicate whether you are an Online User for another CAF Investment Account:  
 No  Yes

If you answered yes to the above, please confirm that the selected access level is the same as that of the other CAF Investment Account(s) to which you are appointed and that you are able to use the same email address.

Please also confirm that the charities for which you are the Authorised User are aware of the fact that you are an Authorised User for more than one charity and that they consent to it, in light of the multiple access as described above.  
 No  Yes

If you have answered No, we will need to contact you before your access can be granted.

Example signature for mandate

Signature Date

If you are a Trustee / Director (or equivalent) whose details are already provided in section 2, please tick here.

If not, then please complete the information required below.

Date of birth

Country of birth

Permanent UK residential address

Postcode

Previous address (if applicable)

Postcode

Nationality(ies)

**Keeping you informed**

As well as contacting you about this product or service, we would like to send you information about other related products and services from the CAF Group that we believe will be of interest to you.

I **DO NOT** want to receive this information by (tick all that apply):  
 Email  
 Phone  
 Post

Please note: if you tick a box, we will not be able to tell you about these products and services in this way.

For information about how CAF handles your information, see our Privacy Notice which you can find at [www.cafonline.org/privacy](http://www.cafonline.org/privacy)

CAF and the companies in which it has a majority stake, or their subsidiaries (defined here as the CAF Group) will not share your information with any outside organisation except as part of providing a product/service or when legally obliged to do so.

**Online user 4**

Mr  Mrs  Miss  Other

Full forename(s)

Surname

Country code   Home telephone

Country code   Mobile (Mandatory)

Email address (Mandatory)

National Insurance number (Mandatory)

Please select access level

Viewer  Deal Administrator  Authoriser

Please tick to indicate whether you are an Online User for another CAF Investment Account:

No  Yes

If you answered yes to the above, please confirm that the selected access level is the same as that of the other CAF Investment Account(s) to which you are appointed and that you are able to use the same email address.

Please also confirm that the charities for which you are the Authorised User are aware of the fact that you are an Authorised User for more than one charity and that they consent to it, in light of the multiple access as described above.

No  Yes

If you have answered No, we will need to contact you before your access can be granted.

Example signature for mandate

Signature  Date

If you are a Trustee / Director (or equivalent) whose details are already provided in section 2, please tick here.

If not, then please complete the information required below.

Date of birth

Country of birth

Permanent UK residential address

Postcode

**Online User for another CAF Investment Account**  
You must have the same access level and email address for all the CAF Investment Accounts you operate. If your desired access level or email address for this Account is different to any other Account to which you are connected then please contact us.

**Previous address**

If the person has moved within the last three years, please supply previous address details. Please continue on a separate sheet if necessary.

**Nationality(ies)**

If you have dual nationality, please detail both nationalities. Keeping you informed  
If you have already entered your details and indicated your marketing preferences, you do not need to select your preferences again.

Previous address (if applicable)

Form fields for previous address, including a Postcode label.

Nationality(ies)

Form field for nationality(ies).

**Keeping you informed**

As well as contacting you about this product or service, we would like to send you information about other related products and services from the CAF Group that we believe will be of interest to you.

I **DO NOT** want to receive this information by (tick all that apply):

- Email
- Phone
- Post

Please note: if you tick a box, we will not be able to tell you about these products and services in this way.

For information about how CAF handles your information, see our Privacy Notice which you can find at [www.cafonline.org/privacy](http://www.cafonline.org/privacy)

CAF and the companies in which it has a majority stake, or their subsidiaries (defined here as the CAF Group) will not share your information with any outside organisation except as part of providing a product/service or when legally obliged to do so.

## Section 6

# Your investment experience and future plans

**Your investment experience**  
CFSL and Winterflood Business Services would like to ensure the CAF Investment Account is appropriate for your charity based on the investment knowledge and experience of the Trustees. However, this is not the same as giving the Trustees financial or investment advice.

If Trustees need help or guidance to select the right investment strategy, they will need to take advice from a suitably qualified financial advisor who is authorised to give investment advice. CFSL and Winterflood Business Services will not provide you with any investment advice, any tax advice, or personal recommendations in respect of your investments or in relation to your decision to invest.

Do the Trustees/Directors (or equivalent) have prior experience of investing in funds and/or the stock market?

Yes  No

How would you describe the Trustees/Directors (or equivalent) investment knowledge?

Good  Average  Poor

Are the Trustees/Directors (or equivalent) aware of the risks involved in investing?

Yes  No

Please let us know below how many trades you would expect to make in a year and what type of investments you are anticipating to make, eg, funds, equities etc.

This will help us to provide you with an illustration of the potential costs of your CAF Investment Account in its first year. Actual costs will be dependent on your future activity and will be reported to you via the statements you will receive.

## Section 7

# Declaration

### Declaration

Please ensure you have read and understood the Declaration. If you have any questions, please speak to the Saving and Investment team on 03000 123 333. If further clarification is needed, you should seek independent professional advice before signing and submitting your Application form. Please note that we cannot accept your application if you are unable to make all of the Declarations set out here.

Please take a copy of your signed Application form for your reference and return your completed Application form to:

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

For trusts, associations, clubs, societies, religious establishments, Friendly Societies and other charitable organisations, please ensure this Application form is signed by the number of people required by your trust deed, rules of association or similar.

For educational establishments, armed forces organisations, scout and girl guide groups and community amateur sports clubs, please ensure at least two people from section 2 have signed this Application form.

For companies, LLPs and CICs, please ensure at least two directors, or one director and the company secretary (as registered with Companies House) have signed this Application form.

### Common Reporting Standard

To help protect the integrity of tax systems, governments around the world are introducing new information gathering and reporting requirements for financial institutions. This is known as the Common Reporting Standard (CRS).

Under United Kingdom legislation implementing the CRS and other inter-governmental agreements, CFSL and Winterflood Business Services may be required to pass on to HMRC information on your organisation, as well as other information relating to your organisation's CAF Investment Account. HMRC may then share this information with tax authorities of another country or countries.

#### Before signing the Application form, please declare by ticking the boxes below that:

- I/we (and all online users) have read and agree to be bound by both the CAF Financial Solutions Limited and Winterflood Business Services sections of the CAF Investment Account Terms and Conditions of Business and the relevant terms as set out on our website ([www.cafonline.org/investments](http://www.cafonline.org/investments)) including the applicable fees and charges;
- where I/we have not understood any section of the CAF Investment Account Terms and Conditions of Business and the relevant terms as set out on our website ([www.cafonline.org/investments](http://www.cafonline.org/investments)) including the applicable fees and charges and eligibility requirements, I/we have sought professional advice in order to clarify my/our understanding before submitting this Application form;
- I/we understand that, as with all investments, there are risks associated with investing via the CAF Investment Account as set out in the Winterflood Business Services section of the CAF Investment Account Terms and Conditions of Business;
- I/we have considered the need for appropriate financial and tax (including tax residency) advice;
- the information enclosed is true and accurate; and I/we confirm that I/we can make the investments that we choose to and comply with all necessary eligibility requirements for each fund or funds as appropriate. I/we acknowledge and agree that where I/we make any false declaration and/or give any false or inaccurate information and CFSL suffers any loss as a result, I/we will reimburse CFSL the amount lost.
- I / we acknowledge that the information contained in this Application form, other information about our organisation as well as information regarding our organisation's CAF Investment Account may be reported to HMRC and shared with tax authorities of another country or countries. I / We consent to and authorise CFSL and Winterflood Business Services to make such reports and expressly waive any protection or right under data protection, confidentiality or any other applicable law, to the extent necessary for such reports;
- I/we acknowledge that Winterflood Business Services will provide the safe custody function as described in the CAF Investment Account Terms and Conditions of Business on my/our behalf and I/we understand that they will execute any transactions in line with the execution policy as displayed on our website ([www.cafonline.org/investments](http://www.cafonline.org/investments)).

Authorised signatory 1	
Full name	
Job title/position	
Signature	Date d d m m y y y y
Authorised signatory 2	
Full name	
Job title/position	
Signature	Date d d m m y y y y
Authorised signatory 3	
Full name	
Job title/position	
Signature	Date d d m m y y y y
Authorised signatory 4	
Full name	
Job title/position	
Signature	Date d d m m y y y y

**Keeping you informed – data protection**  
 We will share information about you with the CAF Group and with Winterflood Business Services to provide you with the CAF Investment Account.  
 Winterflood Business Services operates and supplies the CAF Investment Account and will not market any additional products or benefits to you or pass your details onto any third party.

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](http://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).

## Section 8 Checklist

Registered charities	UK registered charity:
<p>Scottish registered charities: Where the trust deed or constitutional equivalent does not detail who the current Trustees/ Directors are, then we would need evidence in the form of meeting minutes or latest audited/ unaudited accounts, demonstrating who is in control.</p> <p>Please ensure that the documented minutes or audited/unaudited accounts includes all current Trustees.</p>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure all sections of the application form have been completed.</li> <li><input type="checkbox"/> Please provide a copy of the trust deed or constitutional equivalent.</li> <li><input type="checkbox"/> Provide three month's bank statements for the bank account detailed in section 4. If the bank account in section 4 is not your charity's primary account (ie your charity's main account for paying bills and making transactions), please also provide three month's bank statements for your primary bank account. The bank statements must be dated within the past three months and addressed in your charity's name. Please provide paper originals or certified copies only. Photocopies or scans will not be accepted.</li> <li><input type="checkbox"/> Send your completed application form to: Saving and Investment team, CAF Financial Solutions Limited, 25 Kings Hill Avenue, Kings Hill, West Malling, Kent ME19 4TA</li> </ul>
Unregistered charities	UK unregistered charity
<p>Please ensure that the documented minutes or audited/unaudited accounts includes all current Trustees.</p>	<p>Enclose all of the following:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Ensure all sections of the application form have been completed.</li> <li><input type="checkbox"/> Deed of constitution, Trust Deed, Rules of Association or equivalent (mandatory).</li> <li><input type="checkbox"/> Documented minutes of most recent meeting (must be dated in the last six months). <b>OR</b> latest audited/unaudited accounts.</li> <li><input type="checkbox"/> HMRC certificate (for unregistered charities with an HMRC certificate).</li> <li><input type="checkbox"/> Provide three months' statements for the bank account detailed in section 4. If the bank account in section 4 is not your charity's primary account (ie your charity's main account for paying bills and making transactions), please also provide three months' statements for your primary bank account. The bank statements must be dated within the past three months and addressed in your organisation's name. Please provide paper originals or certified copies* only. Photocopies or scans will not be accepted.</li> <li><input type="checkbox"/> Send your completed application form to: Saving and Investment team, CAF Financial Solutions Limited, 25 Kings Hill Avenue, Kings Hill, West Malling, Kent ME19 4TA</li> </ul> <p>*Certified Copies</p> <p>By "certified copy" we mean a clear photocopy of the document which has been seen by an Authorised Certifier unrelated to you and certified accordingly. The Authorised Certifier cannot be employees of the organisation and must be in their current post and not retired.</p> <p>The Authorised Certifier certifying the document must declare that the original has been seen.</p> <p>The Authorised Certifier person must also write the below on the document to prove valid.</p>



- They must write 'Certified to be a true copy of the original seen by me' on the document and sign and date it
- They must print their full name under their signature
- They must print their registration number for the board they are a member of (if applicable)
- They must add their occupation, business address and telephone number

Any persons named on the application or linked to the account or your charity cannot certify documents.

#### **Authorised Certifier**

By "Authorised Certifier" we mean:

- (a) A notary public, solicitor or barrister. If the solicitor or barrister is not authorised to practice in the UK, the document must also be notarised.
- (b) An approved person regulated in the UK under section 31 of the Financial Services and Markets Act 2000 (the individual must be registered on the FCA register, and provide their full name and individual FCA number).
- (c) An authorised representative of an embassy or consulate of the country that issued the identification documentation.
- (d) Post Office Certification Service – Form and certification of documentation required.

#### **Original documents**

All original documents provided will be returned to you.

## Appendix A

CAF Investment Account – description of online user permissions	Roles		
	Viewer	Deal Administrator	Authoriser
Request to change password/PIN	✓	✓	✓
Request to reset password/PIN (locked out)	✓	✓	✓
Instruct trade		✓	✓
Authorise trade			✓
Download contract notes	✓	✓	✓
Download statements	✓	✓	✓

Viewer – can view the CAF Investment Account but has no ability to create or authorise trades or cash movements. This can include ‘employees’ of your organisation, or nominated third parties eg auditors, accountants or investment advisers.

Deal Administrator – same as Viewer plus the ability to input a trade or cash transfer for nominated Authorisers to approve.

Authoriser - same as Deal Administrator plus the ability to provide either the first or second authorisation for a trade or cash transfer under the dual authorisation procedure. Two separate authorisations from different Authorisers will be required before a trade or cash transfer is executed.

### Notes:

- (1) An Authoriser can create and authorise a trade. Under the dual signatory procedure, a second Authoriser will still be required.
- (2) Please note these permissions are set as standard and cannot be amended.