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 and the applicable fees and charges. For details of our latest fees and charges, please visit 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

Organisation type

☐ We are a company, limited liability partnership (LLP), community interest company (CIC), or Friendly Society, and our Companies House registration number is ______________ OR

☐ We are an educational establishment OR

☐ We are a religious establishment and our diocese/denomination (if applicable) is ______________ OR

☐ 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

☐ We are a trust, partnership, association, club or other charitable organisation.

LEI number __________________________
### Organisation details

<table>
<thead>
<tr>
<th>Section</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1 Organisaiton name</td>
<td>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.</td>
</tr>
<tr>
<td>1.2 Financial year end date</td>
<td></td>
</tr>
<tr>
<td>1.3 Working or preferred organisation name (if applicable)</td>
<td>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.</td>
</tr>
<tr>
<td>1.4 Registered office address</td>
<td>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.</td>
</tr>
<tr>
<td>1.5 Countries of operation</td>
<td></td>
</tr>
<tr>
<td>1.6 Organisation telephone number</td>
<td></td>
</tr>
<tr>
<td>1.7 Organisation email address</td>
<td></td>
</tr>
<tr>
<td>1.8 Website</td>
<td></td>
</tr>
</tbody>
</table>

**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
- [ ] Not for profit/exempt organisation
  - [ ] HMRC exemption number (where applicable) and a copy of HMRC notification is enclosed.

**Registration number for your relevant regulatory body (where applicable):**

- [ ] Exempt charity
- [ ] Community Amateur Sports Clubs
- [ ] Industrial and Provident Society
- [ ] Other (please state)


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.
### 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.

---

<table>
<thead>
<tr>
<th>Key people in your organisation</th>
<th>Trustee / Director (or equivalent) 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>This individual is a (please tick all that apply):</td>
<td></td>
</tr>
<tr>
<td>☐ Trustee/Director</td>
<td>☐ Governor or equivalent</td>
</tr>
<tr>
<td>☐ Committee member</td>
<td>☐ Other</td>
</tr>
<tr>
<td>Mr</td>
<td>Mrs</td>
</tr>
<tr>
<td>☐ Miss</td>
<td>☐ Other</td>
</tr>
<tr>
<td>Full Forename(s)</td>
<td></td>
</tr>
<tr>
<td>Surname</td>
<td></td>
</tr>
<tr>
<td>Country of birth</td>
<td></td>
</tr>
<tr>
<td>Date of birth</td>
<td></td>
</tr>
<tr>
<td>d d m m y y y y</td>
<td></td>
</tr>
<tr>
<td>Permanent UK residential address</td>
<td></td>
</tr>
<tr>
<td>Postcode</td>
<td></td>
</tr>
<tr>
<td>Previous address (if applicable)</td>
<td></td>
</tr>
<tr>
<td>Postcode</td>
<td></td>
</tr>
<tr>
<td>Nationality(ies)</td>
<td></td>
</tr>
<tr>
<td>Country code</td>
<td>Home telephone</td>
</tr>
<tr>
<td>Country code</td>
<td>Mobile</td>
</tr>
<tr>
<td>Email address (optional)</td>
<td></td>
</tr>
</tbody>
</table>

**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: 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) __________________________________________________

________________________________________________________________________

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

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

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) 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 dd mm yy

Permanent UK residential address ________________________________

Postcode ________________________________

Previous address (if applicable) ________________________________

Postcode ________________________________

Nationality(ies) ________________________________

Country code ________________________________

Home telephone ________________________________

Country code ________________________________

Mobile ________________________________

Email address (optional) ________________________________

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

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

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) 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

Previous address (if applicable)

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

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.
<table>
<thead>
<tr>
<th>Field</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Trustee / Director (or equivalent)</td>
<td>This individual is a (please tick all that apply):</td>
</tr>
<tr>
<td></td>
<td>[ ] Trustee/Director [ ] Governor or equivalent [ ] Committee member [ ] Other</td>
</tr>
<tr>
<td></td>
<td>[ ] Mr [ ] Mrs [ ] Miss [ ] Other</td>
</tr>
<tr>
<td>Full Forename(s)</td>
<td></td>
</tr>
<tr>
<td>Surname</td>
<td></td>
</tr>
<tr>
<td>Country of birth</td>
<td></td>
</tr>
<tr>
<td>Date of birth</td>
<td></td>
</tr>
<tr>
<td>Permanent UK residential address</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Previous address (if applicable)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Nationality(ies)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Country code</td>
<td></td>
</tr>
<tr>
<td>Home telephone</td>
<td></td>
</tr>
<tr>
<td>Country code</td>
<td></td>
</tr>
<tr>
<td>Mobile</td>
<td></td>
</tr>
<tr>
<td>Email address (optional)</td>
<td></td>
</tr>
</tbody>
</table>

**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) 6

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

- [ ] Trustee/Director
- [ ] Governor or equivalent
- [ ] Committee member
- [ ] 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

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) 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 d d m m y y y y 

Permanent UK residential address 

Previous address (if applicable) 

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

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
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

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**

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.

<table>
<thead>
<tr>
<th>Beneficial owner 1</th>
<th>Beneficial owner 2</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Mr</strong></td>
<td><strong>Mr</strong></td>
</tr>
<tr>
<td><strong>Mrs</strong></td>
<td><strong>Mrs</strong></td>
</tr>
<tr>
<td><strong>Miss</strong></td>
<td><strong>Miss</strong></td>
</tr>
<tr>
<td><strong>Other</strong></td>
<td><strong>Other</strong></td>
</tr>
<tr>
<td>Full Forename(s)</td>
<td>Full Forename(s)</td>
</tr>
<tr>
<td>Surname</td>
<td>Surname</td>
</tr>
<tr>
<td>Date of birth (dd mm yyyy)</td>
<td>Date of birth (dd mm yyyy)</td>
</tr>
<tr>
<td>Permanent UK residential address</td>
<td>Permanent UK residential address</td>
</tr>
<tr>
<td>Previous address (if applicable)</td>
<td>Previous address (if applicable)</td>
</tr>
<tr>
<td>Postcode</td>
<td>Postcode</td>
</tr>
<tr>
<td>Country code</td>
<td>Country code</td>
</tr>
<tr>
<td>Home telephone</td>
<td>Home telephone</td>
</tr>
<tr>
<td>Nationality(ies)</td>
<td>Nationality(ies)</td>
</tr>
<tr>
<td>Percentage held</td>
<td>Percentage held</td>
</tr>
<tr>
<td>%</td>
<td>%</td>
</tr>
</tbody>
</table>

**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.

Beneficial owner 3
☐ Mr  ☐ Mrs  ☐ Miss  ☐ Other  
Full Forename(s)  
Surname  
Date of birth  
Permanent UK residential address  

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
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 4

Mr  Mrs  Miss  Other

Full Forename(s) 

Surname

Date of birth

Permanent UK residential address

Previous address (if applicable)

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

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

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

Cash amount to be invested £

<table>
<thead>
<tr>
<th>Assets to be transferred</th>
<th>Approximate value</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>£</td>
</tr>
<tr>
<td></td>
<td>£</td>
</tr>
<tr>
<td></td>
<td>£</td>
</tr>
<tr>
<td></td>
<td>£</td>
</tr>
<tr>
<td></td>
<td>£</td>
</tr>
<tr>
<td></td>
<td>£</td>
</tr>
<tr>
<td></td>
<td>£</td>
</tr>
<tr>
<td></td>
<td>£</td>
</tr>
<tr>
<td></td>
<td>£</td>
</tr>
<tr>
<td></td>
<td>£</td>
</tr>
<tr>
<td></td>
<td>£</td>
</tr>
</tbody>
</table>

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.

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

Postcode

Sort code, Account number
Section 5
CAF Investment Account operating mandate

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

<table>
<thead>
<tr>
<th>Primary Contact (Online user 1)</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Mr</td>
<td>Mrs</td>
</tr>
</tbody>
</table>

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 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  
Country of birth
Permanent UK residential address

Previous address (if applicable)

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
- [ ] 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.

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.

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 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
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
- [ ] 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.
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 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

Previous address (if applicable)

Previous address (if applicable)

Nationality(ies)

If you have dual nationality, please detail both nationalities.

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

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

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.
<table>
<thead>
<tr>
<th>Country code</th>
<th>Home telephone</th>
<th>Mobile (Mandatory)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Email address (Mandatory)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>National Insurance number (Mandatory)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Please select access level</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Viewer</td>
<td>Deal Administrator</td>
<td>Authoriser</td>
</tr>
<tr>
<td>Please tick to indicate whether you are an Online User for another CAF Investment Account:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>No</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>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.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>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.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>No</td>
<td>Yes</td>
<td></td>
</tr>
<tr>
<td>If you have answered No, we will need to contact you before your access can be granted.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Example signature for mandate</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Signature</td>
<td>Date d d m m y y y y</td>
<td></td>
</tr>
<tr>
<td>If you are a Trustee / Director (or equivalent) whose details are already provided in section 2, please tick here.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If not, then please complete the information required below.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Date of birth d d m m y y y y</td>
<td>Country of birth</td>
<td></td>
</tr>
<tr>
<td>Permanent UK residential address</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Previous address (if applicable)</td>
<td>Postcode</td>
<td></td>
</tr>
<tr>
<td>Previous address</td>
<td>Postcode</td>
<td></td>
</tr>
<tr>
<td>Nationality(ies)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If you have dual nationality, please detail both nationalities.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Keeping you informed</td>
<td>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.</td>
<td></td>
</tr>
<tr>
<td>I DO NOT want to receive this information by (tick all that apply):</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Email</td>
<td>Phone</td>
<td>Post</td>
</tr>
</tbody>
</table>
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**
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)

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

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.

<table>
<thead>
<tr>
<th>Question</th>
<th>Options</th>
</tr>
</thead>
<tbody>
<tr>
<td>Do the Trustees/Directors (or equivalent) have prior experience of investing in funds and/or the stock market?</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>How would you describe the Trustees/Directors (or equivalent) investment knowledge?</td>
<td>Good ☐ Average ☐ Poor ☐</td>
</tr>
<tr>
<td>Are the Trustees/Directors (or equivalent) aware of the risks involved in investing?</td>
<td>Yes ☐ No ☐</td>
</tr>
<tr>
<td>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.</td>
<td></td>
</tr>
<tr>
<td>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.</td>
<td></td>
</tr>
</tbody>
</table>
Section 7
Declaration

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) 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) 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).
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.


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).
<table>
<thead>
<tr>
<th>Registered charities</th>
<th>UK registered charity:</th>
</tr>
</thead>
<tbody>
<tr>
<td>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.</td>
<td>Ensure all sections of the application form have been completed. Please provide a copy of the trust deed or constitutional equivalent. 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. 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</td>
</tr>
<tr>
<td>Please ensure that the documented minutes or audited/unaudited accounts includes all current Trustees.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Unregistered charities</th>
<th>UK unregistered charity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Please ensure that the documented minutes or audited/unaudited accounts includes all current Trustees.</td>
<td>Enclose all of the following: Ensure all sections of the application form have been completed. Deed of constitution, Trust Deed, Rules of Association or equivalent (mandatory). Documented minutes of most recent meeting (must be dated in the last six months). OR latest audited/unaudited accounts. HMRC certificate (for unregistered charities with an HMRC certificate). 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. 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</td>
</tr>
</tbody>
</table>

"Certified Copies" 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.

The Authorised Certifier certifying the document must declare that the original has been seen.

The Authorised Certifier person must also write the below on the document to prove valid.
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 of 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

<table>
<thead>
<tr>
<th>CAF Investment Account – description of online user permissions</th>
<th>Roles</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Viewer</td>
</tr>
<tr>
<td>Request to change password/PIN</td>
<td>✓</td>
</tr>
<tr>
<td>Request to reset password/PIN (locked out)</td>
<td>✓</td>
</tr>
<tr>
<td>Instruct trade</td>
<td></td>
</tr>
<tr>
<td>Authorise trade</td>
<td></td>
</tr>
<tr>
<td>Download contract notes</td>
<td>✓</td>
</tr>
<tr>
<td>Download statements</td>
<td>✓</td>
</tr>
</tbody>
</table>

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.