

CCLA Investment Funds ICVC Application Form Corporate Investors

Important information: Please read before completing this form.

Capitalised terms not defined within this Application Form shall have the meaning given to them in the current Prospectus as amended, modified, supplemented and/or replaced from time to time. As a reminder, 'ACD' stands for the Authorised Corporate Director which is CCLA Investment Management Limited and 'Company' is defined as CCLA Investment Funds ICVC.

This form should be completed in full in BLOCK CAPITALS and, if being completed by hand, using black ink.

All pages of this form together with the documents listed in section 1 should be returned to CCLA Investment Management Limited, PO Box 12892, Dunmow, CM6 9DL. Please ensure that all the required documents are enclosed as failure to do so may delay your application.

We do not accept investments from or on behalf of US Persons (a 'US Person' is a national, citizen or resident of the United States of America, including green card holders, or a corporation or partnership organised under the laws of the United States of America or having a principal place of business in the United States of America).

If you are unsure about this investment you should seek financial advice.

Please call our Client Services Team on 0800 022 3505 if you require any help with the form or would like to discuss any additional support needs. Please note that telephone lines are recorded.

Section 1: Investor Details

How we use your information

For the purposes of the General Data Protection Regulation 2016, the data controller in relation to any personal data you supply is the ACD. Information you supply may be processed for the purposes of investment administration by any company within the CCLA group, by third parties who provide services to the ACD, and such processing may include the transfer of data out of the European Economic Area.

We would like to send you information about our financial and investment products and services, or those of our selected third parties, that we think will be of interest to you. We will contact you by post, telephone and email for this purpose.

Please tick this box if you wish to receive this information

1.1 About the Investor

Understanding the legal form of your organisation will assist in ensuring that appropriate information to open your account is provided at the earliest opportunity, helping to prevent delays in the completion of your application.

Registered holders must have a legal personality. If your organisation is an unincorporated organisation, the account will be registered in the names of the trustees, partners or other representatives of the organisation.

Please indicate which organisation type is investing below:

Financial services firm

▶ Complete section 1a

- UK/EU/EEA regulated company
- Non UK/ EU/EEA regulated company
- Nominee (owned by regulated parent)
- Nominee (owned by an unregulated parent)
- UK/EU/EEA distributor
- Non UK/EU/EEA distributor

Other corporate customers and partnerships

▶ Complete section 1b

- Listed public company
- Lawyers/accountants
- Private company (including limited liability partnership)
- Partnership

Public sector bodies, governments, and supernationals

▶ Complete section 1c

- Public sector bodies/local authority

Other trusts

▶ Complete section 1d

- Trust

Charities and church bodies

▶ Complete section 1e

- Incorporated registered charity
- Unincorporated registered charity
- UK churches and place of worship
- Parochial church councils

Clubs and societies

▶ Complete section 1f

- Club/society

1a Financial Services Firm**1a.1 Investor information**

Name of firm

Company registration number

Registered address

Postcode

Correspondent name

Correspondence address (if different)

Postcode

Email address for correspondence

Telephone

Account designation if required (max 15 characters)

Name of regulatory body

Location of regulatory body

Regulatory body reference number

1a.2 Parent company information

Name of parent company

Name of parent company regulatory body

Location of parent company regulatory body

Parent company regulatory body reference number

1a.3 Shareholder information (individuals or entities who own or control over 25% of the shares or voting rights)

Name

Date of birth (If applicable)

Home address

Postcode

Name

Date of birth (If applicable)

Home address

Postcode

Name

Date of birth (If applicable)

Home address

Postcode

Name

Date of birth (If applicable)

Home address

Postcode

1a.4 Other persons of significant control (individuals or entities who otherwise exercise control of the company)

Name Date of birth (If applicable)

Home address

Postcode

Name Date of birth (If applicable)

Home address

Postcode

Name Date of birth (If applicable)

Home address

Postcode

Name Date of birth (If applicable)

Home address

Postcode

1a.5 Senior management information (directors)

| | |
|----------------------|-------------------------------|
| Name | Date of birth (If applicable) |
| <input type="text"/> | <input type="text"/> |

Position

| | |
|----------------------|-------------------------------|
| Name | Date of birth (If applicable) |
| <input type="text"/> | <input type="text"/> |

Position

| | |
|----------------------|-------------------------------|
| Name | Date of birth (If applicable) |
| <input type="text"/> | <input type="text"/> |

Position

| | |
|----------------------|-------------------------------|
| Name | Date of birth (If applicable) |
| <input type="text"/> | <input type="text"/> |

Position

Senior person responsible for operations (If not already named above)

Nature of the firm's business activities

Are you investing on behalf of yourselves or another individual/entity?

- We are investing our own funds
- We are investing on behalf of one beneficial owner
- We are investing on behalf of multiple beneficial owners

1a.6 Supporting documentation

You'll also need to provide the following information. Please tick to confirm that it has been included with your application. **These documents must be certified in accordance with the requirements stated on page 37.**

- Proof of company registration/excerpt of the register of the company
- Proof of regulated status
- Completed Wolfsberg Questionnaire or equivalent (dated within the last 12 months)
- Authorised signatory list
- Group structure chart (to evidence ultimate beneficial ownership)
- Latest audited financial statements (as evidence for source of wealth)

If the firm is not directly regulated in the UK/EU/EEA, but has a parent company that is, you will also need to supply:

- Copy of the regulated parent's completed Wolfsberg Questionnaire or equivalent (dated within the last 12 months)
- Regulated parent comfort letter/letter of assurance confirming that the firm adheres to the same policies & procedures as the regulated parent

1b Other Corporate Customers and Partnerships**1b.1 Investor information**

Name of firm

Company registration number and listing code (if applicable)

Registered address

Postcode

Correspondent name

Correspondence address (if different)

Postcode

Email address for correspondence

Telephone

Account designation if required (max 15 characters)

Is the firm publicly listed?

1b.2 Shareholder information (individuals or entities who own or control over 25% of the shares or voting rights)

Name Date of birth (If applicable)

Home address

Postcode

Name Date of birth (If applicable)

Home address

Postcode

Name Date of birth (If applicable)

Home address

Postcode

Name Date of birth (If applicable)

Home address

Postcode

1b.3 Other persons of significant control (individuals or entities who otherwise exercise control of the company)

Name Date of birth (If applicable)

Home address

Postcode

Name Date of birth (If applicable)

Home address

Postcode

Name Date of birth (If applicable)

Home address

Postcode

Name Date of birth (If applicable)

Home address

Postcode

1b.3 Senior management information (directors)

Name Date of birth (If applicable)

Position

Home address

Postcode

Name Date of birth (If applicable)

Position

Home address

Postcode

Name Date of birth (If applicable)

Position

Home address

Postcode

Name Date of birth (If applicable)

Position

Home address

Postcode

Senior person responsible for operations (If not already named above)

Nature of the firm's business activities

Are you investing on behalf of yourselves or another individual/entity?

We are investing our own funds

We are investing on behalf of one beneficial owner

If you are investing on behalf of another beneficial owner, please provide detail of who the beneficial owner is

1b.4 Supporting documentation

You'll also need to provide the following information. Please tick to confirm that it has been included with your application.

These documents must be certified in accordance with the requirements stated on page 37.

Certificate of incorporation or equivalent document

Constitutional document, e.g. memorandum and articles of association, partnership agreement, byelaws or equivalent

Authorised signatory list

Group structure chart (to evidence ultimate beneficial ownership)

Latest audited financial statements (as evidence for source of wealth)

Proof of company registration/excerpt of the register of the company

1 proof of name document and 1 proof of address document for any listed individual(s) that is not resident in the UK.

We will try to verify UK clients via an electronic search but if this is unsuccessful, we will require 1 proof of name document and 1 proof of address document

1c Public Sector bodies, governments, and supernationals**1c.1 Investor information**

Name of public sector, government, or supranational body

Registered address

Postcode

Correspondent name

Correspondence address (if different)

Postcode

Email address for correspondence

Telephone

Account designation if required (max 15 characters)

Location of the public sector, government, or supranational body

Nature and purpose of the public sector, government, or supranational body

1c.2 Senior management information (directors or equivalent)

Name

Date of birth (If applicable)

Position

Home address

Postcode

Name Date of birth (If applicable)

Position

Home address

Postcode

Name Date of birth (If applicable)

Position

Home address

Postcode

Name Date of birth (If applicable)

Position

Home address

Postcode

1c.3 Supporting documentation

You'll also need to provide the following information. Please tick to confirm that it has been included with your application. **These documents must be certified in accordance with the requirements stated on page 37.**

Authorised signatory list

1 proof of name document and 1 proof of address document for any listed individual(s) that is not resident in the UK.

We will try to verify UK clients via an electronic search but if this is unsuccessful, we will require 1 proof of name document and 1 proof of address document

1d Other Trusts**1d.1 Investor information**

Name of trust

Registered address

Postcode

Correspondent name

Correspondence address (if different)

Postcode

Email address for correspondence

Telephone

Account designation if required (max 15 characters)

1d.2 Investor information

Name of settlor

Country of establishment

The nature, purpose, and objectives of the trust

1d.3 Trustees (the account will be registered in the name of up to four trustees)**All trustees (individual and/or corporate)**

Name

Date of birth (If applicable)

Address

Postcode

Name

Date of birth (If applicable)

Address

Postcode

Name

Date of birth (If applicable)

Address

Postcode

Name

Date of birth (If applicable)

Address

Postcode

Name

Date of birth (If applicable)

Address

Postcode

Name Date of birth (If applicable)

Address

Postcode

1d.4 Name, address and date of birth of any protector/controller

Name Date of birth (If applicable)

Address

Postcode

Name Date of birth (If applicable)

Address

Postcode

1d.5 Name, address and date of birth of any nominated beneficiaries

Name Date of birth (If applicable)

Address

Postcode

Name

Date of birth (If applicable)

Address

Postcode

Class of beneficiaries (if applicable)

1d.6 If a corporate trustee has been appointed, please also include:

- Individuals or entities holding 25% or more of the corporate trustee's share capital or voting rights (directly or indirectly, e.g. via a holding company)
- Any other people exercising control over the corporate trustee (if applicable)

1d.7 Supporting documentation

You'll also need to provide the following information. Please tick to confirm that it has been included with your application.

These documents must be certified in accordance with the requirements stated on page 37.

- The constitutional document (e.g. extract of the trust deed evidencing the above information)
- Where the above doesn't confirm the current trustees, please provide supporting evidence
- Authorised signatory list (applicable to trustee companies only)
- Group organisation structure chart for any corporate trustees (if the trust company is a subsidiary of another company)
- 1 proof of name document and 1 proof of address document for any listed individual(s) that is not resident in the UK.

We will try to verify UK clients via an electronic search but if this is unsuccessful, we will require 1 proof of name document and 1 proof of address document

- Latest audited financial statements (as evidence for source of wealth)

1e Charities and church bodies**1e.1 Investor information**

Name of charity or church body

Registered address

Postcode

Correspondent name

Correspondence address (if different)

Postcode

Email address for correspondence

Telephone

Account designation if required (max 15 characters)

Is the charity registered?

If registered, name of charity's regulatory body

If registered, location of charity's regulatory body

If registered, charity's registration number

Nature of activities and objectives of the charity (including the beneficiaries of the charity, e.g. homeless people or children living in poverty?)

Does the charity operate/intend to operate outside of the United Kingdom?

Yes No

If yes, where?

Is the charity incorporated?

Yes No

1e.2 Trustees

All trustees (individual and/or corporate)

| | |
|----------------------|-------------------------------|
| Name | Date of birth (If applicable) |
| <input type="text"/> | <input type="text"/> |

Address

Postcode

| | |
|----------------------|-------------------------------|
| Name | Date of birth (If applicable) |
| <input type="text"/> | <input type="text"/> |

Address

Postcode

| | |
|----------------------|-------------------------------|
| Name | Date of birth (If applicable) |
| <input type="text"/> | <input type="text"/> |

Address

Postcode

Name Date of birth (If applicable)

Address

Postcode

Name Date of birth (If applicable)

Address

Postcode

Name Date of birth (If applicable)

Address

Postcode

If a corporate trustee has been appointed, please also include:

- Individuals or entities holding 25% or more of the corporate trustee's share capital or voting rights (directly or indirectly, e.g. via a holding company)
- Any other people exercising control over the corporate trustee (if applicable)

1e.3 For incorporated charities

Company registration number

Company name (if different from charity name provided above)

Company's registered address (if different from charity's office address provided above)

Postcode

Is the company limited by shares or by guarantee?

 Shares Guarantee

1e.4 Shareholder information (individuals or entities who own or control over 25% of the shares or voting rights)

Name

Date of birth (If applicable)

Home address

Postcode

Name

Date of birth (If applicable)

Home address

Postcode

Name

Date of birth (If applicable)

Home address

Postcode

Name Date of birth (If applicable)

Home address

Postcode

1e.5 Other persons of significant control (individuals or entities who otherwise exercise control of the company)

Name Date of birth (If applicable)

Home address

Postcode

Name Date of birth (If applicable)

Home address

Postcode

Name Date of birth (If applicable)

Home address

Postcode

Name Date of birth (If applicable)

Home address

Postcode

1e.6 Senior management information (directors)

Name Date of birth (If applicable)

Position

Home address

Postcode

Name Date of birth (If applicable)

Position

Home address

Postcode

Name Date of birth (If applicable)

Position

Home address

Postcode

Name Date of birth (If applicable)

Position

Home address

Postcode

Senior person responsible for operations (If not already named above)

1e.7 Supporting documentation for incorporated charities

You'll also need to provide the following information. Please tick to confirm that it has been included with your application.

These documents must be certified in accordance with the requirements stated on page 37.

- Proof of company registration/excerpt of the register of the company
- Certificate of incorporation or equivalent document
- Constitutional document, e.g. memorandum and articles of association, partnership agreement, byelaws or equivalent
- Authorised signatory list
- Group structure chart (to evidence ultimate beneficial ownership)
- Latest audited financial statements (as evidence of source of wealth)
- 1 proof of name document and 1 proof of address document for any listed individual(s) that is not resident in the UK.

We will try to verify UK clients via an electronic search but if this is unsuccessful, we will require 1 proof of name document and 1 proof of address document

1e.8 For unincorporated charities

Name of settlor

Country of establishment

The nature, purpose, and objectives of the trust

1e.9 Name, address and date of birth of any protector/controller

Name

Date of birth (If applicable)

Address

Postcode

Name

Date of birth (If applicable)

Address

Postcode

1e.11 Supporting documentation for unincorporated charities

You'll also need to provide the following information. Please tick to confirm that it has been included with your application.

These documents must be certified in accordance with the requirements stated on page 37.

- The organisation's constitutional document (e.g. extract of the trust deed evidencing the above information)
- Deeds of appointment and retirement of subsequent trustees (if applicable)
- Authorised signatory list (applicable to trust companies only)
- Group organisation structure chart for any corporate trustees (if the trust company is a subsidiary of another company)
- 1 proof of name document and 1 proof of address document for any listed individual(s) that is not resident in the UK.

We will try to verify UK clients via an electronic search but if this is unsuccessful, we will require 1 proof of name document and 1 proof of address document.

- Latest audited financial statements (as evidence of source of wealth)

1f Clubs and Societies**1f.1 Investor information**

Name of club/society

Registered address

Postcode

Correspondent name

Correspondence address (if different)

Postcode

Email address for correspondence

Telephone

Account designation if required (max 15 characters)

Legal status of the club or society

Purpose of the club or society

1f.2 Name, address and date of birth for all officers

Name

Date of birth (If applicable)

Address

Postcode

Name Date of birth (If applicable)

Address

Postcode

Name Date of birth (If applicable)

Address

Postcode

Name Date of birth (If applicable)

Address

Postcode

1f.3 Supporting documentation

You'll also need to provide the following information. Please tick to confirm that it has been included with your application.

These documents must be certified in accordance with the requirements stated on page 37.

- Extract of constitutional document evidencing the above information
- Authorised signatory list (if applicable)
- 1 proof of name document and 1 proof of address document for any listed individual(s) that is not resident in the UK.

We will try to verify UK clients via an electronic search but if this is unsuccessful, we will require 1 proof of name document and 1 proof of address document

- Latest audited financial statements (as evidence of source of wealth)

Please use this section to add further details pertaining to the application / investment which may assist.

Section 2: Investment information

To buy shares in a sub-fund of the CCLA Investment Funds ICVC, please complete the 'Form to buy shares in the CCLA Investment Funds ICVC' once your account has been set up. This form is available from our Client Services Team on 0800 022 3505 or clientservices@ccla.co.uk

2.1 Please tick which Sub-Fund and Share Class you wish to open an account in:

- CCLA Better World Global Equity Fund
- C Accumulation (minimum initial investment: £1,000)
- C Income (minimum initial investment: £1,000)
- I Accumulation (minimum initial investment: £20,000,000)
- I Income (minimum initial investment: £20,000,000)

2.2 Please indicate the approximate investment value

2.3 Please specify the reason for this investment (you may be required to provide further evidence of this upon request)

2.4 Please specify where the funds for this investment come from

2.5 Intended frequency of transactions

- Monthly
- Quarterly
- Annually
- Other (please state)

Section 3: Nominated Bank or Building Society Account Details for all redemptions and the payment of income on Income Shares only.

Account Name

Account Number

Sort/Swift code:

IBAN Number

Bank Name

Please note that income (where applicable) and redemption payments will only be sent to this bank account. No third party payments will be allowed. No dividends are paid on accumulation shares.

Section 4: Declaration

The ACD reserves the right to request additional identification verification or supporting documentation to the satisfaction of the ACD and will use proprietary database searches in support of that process.

The ACD would prefer to contact you electronically. Please tick this box if you want to be contacted in this way.

Warning: Your capital is at risk, you could lose some or all of your investment

Please tick here to confirm that:

You have NOT received advice from a Financial Adviser to make your proposed investment in the Sub-Fund.

All the information that you have provided in relation to this investment is accurate.

I/We consent to the ACD carrying out electronic verification of identity checks and that I/We will provide any further information to the ACD on request where it reasonably needs this to comply with its regulatory obligations.

I/We acknowledge that I/we may request the latest Managers' Report and Prospectus, and that these are available from the ACD's website and offices.

I/We understand that any monies held as client money on my/our behalf will be held in a client money account which is a non-interest bearing account.

I/We give permission for client money held on my/our behalf to be transferred to another provider, should the ACD become insolvent.

I am/We are not (a) US Person(s) nor am I/are we applying for shares on behalf of (a) US Person(s) nor am I/are we applying for shares in order to further offer, sell or transfer such shares directly or indirectly to (a) US Person(s), (a 'US Person' is a national, citizen or resident of the United States of America or a corporation or partnership organised under the laws of the United States of America or having a principal place of business in the United States of America).

If my/our underlying Investor status as a non-US person should change, I/we will immediately inform you. In such event, I/we agree that the ACD shall be entitled to (but shall not be obligated to) repurchase, or to require to us to sell our shares to a person designated by the ACD.

I/We confirm that I/we are the only beneficial owner(s) of this investment OR I/we confirm that all beneficial owners and are known to me/us and I/we undertake to make those named above aware that they may be subjected to the anti-money laundering verifications as required by the ACD.

I/We confirm that all beneficial owners are known to me/us and I/we confirm that those named above have agreed to their personal data being provided in this application, are aware that their personal data will be processed by the ACD, and have been provided with a copy of the CCLA privacy policy describing how and why my/our personal data will be processed by the ACD in connection with my/our investment.

I/We confirm that as Trustee(s) I/we have suitable investment powers to make investments.

Please sign that you agree to the declaration and important information.

Signature

Print name

Date

Date of Birth

Position*

Residential Address

Signature

Print name

Date

Date of Birth

Position*

Residential Address

Signature

Print name

Date

Date of Birth

Position*

Residential Address

Signature

Print name

Date

Date of Birth

Position*

Residential Address

* Must be on the authorised signatory list.

It may be necessary to do anti-money laundering checks on any other parties signing the application form.

Section 5: FATCA and CRS Provisions Notes

FATCA

The US Foreign Account Tax Compliance Act (FATCA) was implemented to enable the Internal Revenue Service to combat US tax evasion. It requires “foreign financial institutions” (such as the Company) to report on US investors. Failure to comply (or be deemed compliant) with these requirements may mean that foreign financial institutions are subject to US withholding taxes on certain US sourced income and gains. Under an intergovernmental agreement between the US and the United Kingdom, the Company may be deemed compliant if it identifies and reports US taxpayer information directly to Her Majesty’s Revenue and Customs (HMRC).

Similar reporting requirements may also apply to the Company in respect of any Shareholders who are not solely UK tax resident following laws enacted to implement the OECD Common Reporting Standard for Automatic Exchange of Financial Account Information (CRS).

Accordingly, Shareholders should note that:

- they may be asked to provide additional information (including information regarding their tax residence) to the ACD to enable the Company to satisfy these obligations;
- the ACD may be required to report these details to HMRC; and
- HMRC may subsequently exchange this information with other governments or tax authorities in other jurisdictions.

Institutional Shareholders may be required to provide a Global Intermediary Identification Number (GIIN). Failure to provide the requested information may subject a Shareholder to liability for any resulting US withholding taxes, US tax information reporting and/or mandatory redemption, transfer or other termination of the Shareholder’s interest in its Shares. The GIIN for the PSDF is available on request.

By signing the application form to subscribe for Shares, each Shareholder agrees and acknowledges that, in certain circumstances, the ACD will be obliged to share this information with UK tax authorities, who may pass it on to other tax authorities. Shareholders are encouraged to consult with their own tax advisors regarding the possible implications of FATCA or CRS on their interest in the Company.

Entity Self-Certification

Tax Regulations¹ require us to collect certain information about each investor’s tax residency and tax classifications. In certain circumstances (including if we do not receive a valid self-certification from you) we may be obliged to share information on your account with HMRC.

Please complete all sections below as directed. If you have any questions about your organisation’s classifications, please refer to the instructions overleaf for key definitions or contact your tax advisor. Should any information provided change in the future, please ensure that we are advised promptly.

Tax residency

If your organisation has more than one country of tax residency, please complete one self-certification form for each country.

5.1 Please state the country in which your organisation is resident for tax purposes

5.2 Please provide us with your organisation’s Tax Reference Number

5.3 Please tick this box if the organisation is not a Specified Person² in the country stated in 5.1 above.

Organisation's classification under applicable tax regulations¹

Please tick one box only in section 5.4, with reference to the tax residency stated in 5.1.

5.4 Classification

- UK Financial Institution or a Partner Jurisdiction Financial Institution 4
- Participating Foreign Financial Institution 4
- Non-Participating Foreign Financial Institution 4
- Financial Institution resident in the USA or in a US Territory 4
- Deemed Compliant Foreign Financial Institution (besides those listed above) 4
- Exempt Beneficial Owner 5
- Active Non-Financial Entity 6
- Passive Non-Financial Entity 8

5.5 A Passive Non-Financial Entity will be required to submit individual tax residence self-certifications for each of its Controlling Persons 9 if your organisation is a financial institution.

Please tick this box if it is an Investment Entity¹⁰

5.6 An Investment Entity will be required to submit individual tax residence self-certifications for each of its Controlling Persons.

5.7 Please provide your organisation's Global Intermediary Identification Number ('GIIN')

Declaration

I declare that the information provided on this form is to the best of my knowledge and belief, accurate and complete. I agree to notify the ACD immediately in the event the information in the self-certification changes.

Signed by (please print name)

On behalf of (organisation name)

Position (in organisation)

Signature

Date

Section 6: Email instructions authority

Instructions on a CCLA form, sent by email to us as a PDF, and signed in accordance by the required signatories, can be accepted if we have the relevant email instructions authority.

Please complete this section if you would like us to accept instructions by email.

Important information: A PDF version of a CCLA form attached to your email is your instruction to us and should be sent to investorqueries@fnzta.com. Do not send the original documentation in the post and do not resend the email and/or the attachment as your instruction may be processed again. This mailbox will automatically upload the PDF for processing so any additional information contained in the body of the email will not be seen. If you have any additional information about the instruction, please send your email and PDF to clientservices@ccla.co.uk.

Authority to accept email instructions

In consideration of the ACD agreeing to accept from us, notwithstanding the terms of the relevant mandate, from time to time instructions purporting to come from us in the form of email instructions in relation to our account(s), we confirm and accept that the ACD does not accept responsibility for, and we will not seek to hold the ACD liable for any actions, proceedings, claims, losses, damage, costs and expenses that may be suffered or incurred as a result of the ACD accepting, or acting upon, instructions that the ACD reasonably believes have come from us, or have been given on our behalf. We accept responsibility for any losses or costs that might be incurred as a result of the cancellation of any purchase or sale of units carried out as a result of the ACD accepting, or acting upon, instructions that the ACD reasonably believes have come from us or have been given on our behalf.

Authorisation

Signatory name

Signature

Date (dd/mm/yyyy)

Signatory name

Signature

Date (dd/mm/yyyy)

Important information:**Data Protection Regulation (UK GDPR)**

In accordance with our regulatory obligations, and as set out in our Privacy Notice, information will be retained for a minimum of seven years after the end of our relationship with you.

- As required under UK GDPR, consent must be given before any communication can be sent to your personal email address about services other than those already provided.
- At any time, you can ask for your personal data to be removed from the ACD's databases unless it is required to be retained for legal or regulatory reasons. Please email us at clientservices@ccla.co.uk or telephone us at 0800 022 3505.
- If you change your email address, or any of the other information we hold is inaccurate or out of date, please email us at clientservices@ccla.co.uk.
- You can contact the ACD's office to receive a copy of any of your personal data currently held by us once we have received proof of your identity.
- Any details you give us will be held in accordance with current data protection legislation.
- We will not share your personal data with third parties, unless we have your permission to do so in accordance with your contract with us, or we are required to do so by law.
- We do not sell any personal data held.
- When you give us personal data, we take steps to ensure that it is treated securely. Information you send to us electronically is transmitted over the internet, but this cannot be guaranteed to be 100% secure. As a result, while we strive to protect your personal data, the ACD cannot guarantee the security of any information you transmit to us, and you do so at your own risk. Once we receive your information, we make our best effort to ensure its security on our systems mainly in password accessed databases.
- We do not collect information automatically from our website.
- Personal data will be retained in the ACD's systems which are password protected.

Please see www.ccla.co.uk for details of the ACD's Privacy Notice and full details of the ACD's Data Protection Policy are available on request.

Conflicts of interest

The ACD operates a Conflicts of Interest Policy to ensure that our clients are treated fairly. Our policy seeks to avoid circumstances which we consider may give rise to potential conflicts of interest and material disadvantage to our clients. The ACD's Conflicts of Interest Policy can be found on its website at www.ccla.co.uk.

Anti-money laundering

You may be asked to provide documentation to assist the ACD in verifying your identity in accordance with regulatory requirements. This is normally done using electronic means but occasionally extra documents may be required from you to complete this process.

Client categorisation

In accordance with the FCA Rules, we are required to categorise each of our customers. We have categorised you and will treat you as a retail client unless we agree otherwise. If we have previously categorised you as a professional client or eligible counterparty, then we will continue to treat you in accordance with that previous categorisation, though you may request that we re-categorise you as a retail client.

Certification requirements

Certification of the documents must be carried out by **one** of the following:

- Representative of an FCA or EU equivalent regulated firm (e.g. bank manager)
- Solicitor / Accountant / Notary
- Church Minister
- Director of a VAT registered Charity
- Officer of the British Armed Forces
- Government Department Official

- Official of an overseas Embassy, Consulate or High Commission
- Any CCLA Investment Management Limited employee

The professional should be a different person to anyone named in the form, not be related, in a relationship or living at the same address. They should write 'Certified to be a true copy of the original seen by me' on the document, sign, and date it. They should then print their name under the signature, adding their occupation, address, and telephone number.

Certification requirement for applicants who reside outside of the United Kingdom

For the applicants who have authorised this application form and the authorised signatories appointed who reside outside of the United Kingdom, please attach the following evidence so we may verify your identity:

- Certified copy of passport photo page or certified copy of driving licence *and*
- Certified copy of utility bill (not more than three months old)

Certification must be carried out by one of the following: a representative of an FCA or EU equivalent regulated firm, a solicitor/lawyer, a chartered accountant, a notary, a minister of religion, a director of a VAT registered charity, an officer of the British Armed Forces, a government department official or an official of an overseas embassy, consulate or high commission or any CCLA Investment Management Limited employee.

The certification must include the words '**Certified to be a true copy of the original seen by me**'. The professional should be a different person, not be related, in a relationship or living at the same address to anyone named on the application form and should sign, date, print their name under the signature and add their occupation, address and telephone number, all in BLOCK CAPITALS and in English.

Senator House, 85 Queen Victoria Street, London EC4V 4ET
Freephone: 0800 022 3505 | www.ccla.co.uk

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Data Protection Legislation: CCLA is a data controller and will hold relevant personal details which have been supplied to the manager for the purposes of fulfilling its obligations to clients. Data will be stored by CCLA and treated as confidential. CCLA will not provide details to any other party except where necessary to fulfill the service obligations described, or where required by law. Full details of CCLA's Privacy Notice are available on CCLA's website. Full details of CCLA's Data Protection Policy are available on request.