

Mandate Form - For amendments to account details

CCLA Charity Authorised Investment Fund

Important information: Please read before completing this form.

This document must be read and completed in conjunction with the relevant CCLA Charity Authorised Investment Fund Prospectus and Key Information Document. Copies are available by email request to clientservices@ccla.co.uk or call 0800 022 3505.

Please note that telephone lines are recorded.

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

Please provide all your CCLA Charity Authorised Investment Fund account numbers for which this mandate applies.

This mandate will supersede any other instructions we hold.

All pages of this form should be returned to CCLA, Senator House, 85 Queen Victoria Street, London EC4V 4ET. Please ensure that all the required documents are enclosed as failure to do so may delay any future transactions, see section 8 for checklist.

A separate form should be used if any of the Charity's accounts have different operating instructions.

The space provided in section 9 should be used to add more information on any section.

Please call our Client Services Team on free phone 0800 022 3505 if you require any help with the form.

Section 1: About your charity

Date (dd/mm/yyyy)

1.1 Charity name

1.1.1 Do you wish to change the name of your organisation?

Yes

No

1.2 CCLA Charity Authorised Investment Fund account numbers for which this mandate applies

1.3 Charity's registration number

▶ Please go to 1.5

1.4 HM Revenue & Customs reference number confirming charitable status

(You do not have to complete this section if you have provided a Charity Commission registration number in 1.3)

Note: correspondence from HMRC showing your charity's name or parish, address and HMRC reference number must be supplied in order to confirm charitable status.

1.5 Does your charity have an office address?

Yes

▶ **Please go to 1.6**

No

▶ **Please go to 1.7****1.6** Charity's office address

Postcode

General email address

I agree to CCLA retaining my email information until I request otherwise, on the understanding that my data will only be used according to terms stated on page 22 and will be held securely.

Daytime telephone number

1.7 Is your charity also registered as a limited company?

Yes

▶ **Please complete sections 1.8 to 1.11**

(If yes - please enclose a copy of the Certificate of Incorporation.)

No

▶ **Please go to 1.11****1.8** Company registration number**1.9** Company name (if different from charity name provided in 1.1)**1.10** Company's registered address (if different from charity's office address provided in 1.6)

Postcode

1.11 When does your charity's financial year end? (dd/mm)

Section 2: Authorising trustees/executive directors' authorisation

This section must be read, completed and signed by a minimum of two trustees/executive directors who have the authority to act on behalf of the charity. The trustees signing this section on behalf of a registered charity must be named on the Charity Commission register. Executive directors, such as CEOs, must be named as directors on the Companies House register. **Charity Commission guidance states that accounts should be operated by at least two authorised signatories.**

Anti-money laundering

We may need to ask you for documentation to assist us in verifying your identity and the identity of authorised signatories. We must verify 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.

We represent, warrant and undertake that:

- We have read and understood the contents of the CCLA Charity Authorised Investment Fund Prospectus for each fund we are invested in;
- We are authorised to act on behalf of the Charity;
- The correspondent and authorised signatories are known to us;
- We will notify CCLA of any subsequent changes to the authorising Trustees/Executive Directors', correspondent and/or authorised signatories
- If this mandate is being authorised by a sole trustee/executive director, it is understood that this is only permitted where there are no other trustees; and
- If the investing organisation ceases to be a charity we will inform CCLA immediately and disinvest

Note 'We represent, warrant and undertake that:' should be in bold as the new header.

Authorisation:

We authorise you to:

- Conduct the account(s) as instructed in this mandate form.
- Accept faxed instructions that purport to be properly issued in accordance with this application form. We indemnify you against any costs or loss arising from your acting on such instructions.

First trustee/executive director

Name

Signature

Date (dd/mm/yyyy)

► **First trustee/executive director to complete sections 2.1 to 2.5**

Second trustee/executive director

Name

Signature

Date (dd/mm/yyyy)

▶ Second trustee/executive director to complete sections 2.6 to 2.10**2.1 First trustee/executive director**

Title

Forename

Middle name

Surname

Date of birth (dd/mm/yyyy)

Position

Daytime telephone number

Email address

I agree to CCLA retaining my email information until I request otherwise, on the understanding that my data will only be used according to terms stated on page 16 and will be held securely.

Home address

Postcode

Date moved to this address (dd/mm/yyyy)

If you have lived at your home address for less than three years, please provide details of your previous address below.

Postcode

Date moved to this address (dd/mm/yyyy)

2.2 Will you be the correspondent for this account? Please note that all correspondence will be sent to you.

Yes ▶ **Please go to 2.3**

No ▶ **Please go to 2.4**

2.3 Please tick here if you are the correspondent and wish for correspondence to be sent to the charity's office address (see section 1.6).

2.4 Will you be an authorised signatory?

Yes

No

Signature

Date (dd/mm/yyyy)

I confirm that to the best of my knowledge all of the above information that I have provided is correct as at the date of signing.

2.5 Please tick here if you do not want to receive information on CCLA's other products and services by post.

2.6 Second trustee/executive director

Title

Forename

Middle name

Surname

Date of birth (dd/mm/yyyy)

Position

Daytime telephone number

Email address

I agree to CCLA retaining my email information until I request otherwise, on the understanding that my data will only be used according to terms stated on page 16 and will be held securely.

Home address

Postcode

Date moved to this address (dd/mm/yyyy)

If you have lived at your home address for less than three years, please provide details of your previous address below.

Postcode

Date moved to this address (dd/mm/yyyy)

2.7 Will you be the correspondent for this account? Please note that all correspondence will be sent to you.

Yes ▶ **Please go to 2.8**

No ▶ **Please go to 2.9**

2.8 Please tick here if you are the correspondent and wish for correspondence to be sent to the charity's office address (see section 1.6).

2.9 Will you be an authorised signatory?

Yes

No

Signature

Date (dd/mm/yyyy)

I confirm that to the best of my knowledge all of the above information that I have provided is correct as at the date of signing.

2.10 Please tick here if you do not want to receive information on CCLA's other products and services by post.

Section 3: Correspondent (to whom all correspondence will be sent)

3.1 Only complete this section if the correspondent has not completed section 2.

Title

Forename

Middle name

Surname

Date of birth (dd/mm/yyyy)

Position

Daytime telephone number

Email address

I agree to CCLA retaining my email information until I request otherwise, on the understanding that my data will only be used according to terms stated on page 16 and will be held securely.

Home address

Postcode

Signature

Date (dd/mm/yyyy)

I confirm that to the best of my knowledge all of the above information that I have provided is correct as at the date of signing.

3.2 Will you be an authorised signatory?

Yes

No

If yes, please complete the below fields. If no, **please go to 3.3**.

If you have lived at your home address for less than three years please provide details of your previous address below.

Postcode

Date moved to this address (dd/mm/yyyy)

3.3 Please tick here if you wish for correspondence to be sent to the charity's office address (see section 1.6).

3.4 Please tick here if you do not want to receive information on CCLA's other products and services by post.

Section 4: Additional authorised signatories

Please photocopy pages of section 4 if you require more than two additional signatories.

4.1 Additional authorised signatory

Title

Forename

Middle name

Surname

Date of birth (dd/mm/yyyy)

Position

Daytime telephone number

Email address

Home address

Postcode

Date moved to this address (dd/mm/yyyy)

If you have lived at your home address for less than three years please provide details of your previous address below.

Postcode

Date moved to this address (dd/mm/yyyy)

I agree to CCLA retaining my email information until I request otherwise, on the understanding that my data will only be used according to terms stated on page 16 and will be held securely.

Signature

Date (dd/mm/yyyy)

I confirm that to the best of my knowledge all of the above information that I have provided is correct as at the date of signing.

4.2 Please tick here if you do not want to receive information on CCLA's other products and services by post.

4.3 Additional authorised signatory

Title Forename

Middle name Surname

Date of birth (dd/mm/yyyy) Position

Daytime telephone number

Email address

Home address

Postcode Date moved to this address (dd/mm/yyyy)

If you have lived at your home address for less than three years please provide details of your previous address below.

Postcode Date moved to this address (dd/mm/yyyy)

I agree to CCLA retaining my email information until I request otherwise, on the understanding that my data will only be used according to terms stated on page 16 and will be held securely.

Signature Date (dd/mm/yyyy)

I confirm that to the best of my knowledge all of the above information that I have provided is correct as at the date of signing.

4.4 Please tick here if you do not want to receive information on CCLA's other products and services by post.

Section 5: Changing the subtitle of your account

5.1 Do you wish to add or change the subtitle of a CCLA Charity Authorised Investment Fund account?

Yes

No **▶ Please go to Section 6**

Account number

New subtitle

Section 6: Nominated bank details

6.1 Do you wish to change your income payment instructions?

Yes

No

▶ **Please go to Section 6.2**

Bank/building society name

Account name

Sort code

Account number

Building society reference (if applicable)

6.2 Do you wish to change the bank account details where withdrawals are paid?

Yes

No

▶ **Please go to Section 7**

Bank/building society name

Account name

Sort code

Account number

Building society reference (if applicable)

Important: Payments may only be made to a bank account in the charity's name. Please attach a certified copy of a bank statement confirming these details. See section 8 for further information

Section 7: Email instructions authority

Instructions on a CCLA form, sent by email to us as a PDF, and signed in accordance with the account mandate, 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 correspondence@ccla.co.uk. 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 CCLA 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 CCLA does not accept responsibility for, and we will not seek to hold CCLA liable for any actions, proceedings, claims, losses, damage, costs and expenses that may be suffered or incurred as a result of CCLA accepting, or acting upon, instructions that CCLA 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 CCLA accepting, or acting upon, instructions that CCLA reasonably believes have come from us or have been given on our behalf.

Authorisation

Name

Signature

Date (dd/mm/yyyy)

Name

Signature

Date (dd/mm/yyyy)

Section 8: Check list and documentation required

PLEASE TICK TO CONFIRM ALL OF THE DOCUMENTS ARE ENCLOSED.

If you have provided us with bank account details under section 6, please return the form with one of the following:

- an original paying-in slip
- an original cheque marked 'void'
- a certified copy of a bank statement

If you are sending a certified copy of a bank statement, the certification must be carried out by one of the following listed below:

- 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 certifying the bank statement should:

- **be a different person from anyone named on the form**
- **write 'Certified to be a true copy of the original seen by me' on the document**
- **sign and date the document**
- **print their name under the signature and add their occupation, address and telephone number.**

If the Charity is not registered with the Charity Commission, please attach a copy of the minutes of a recent trustee meeting for the purpose of confirming the relationship of the authorising trustee(s) to your charity. The minutes should not be any older than 12 months and the authorising trustees/executive directors (or equivalent) as indicated in section 2 should be named in the minutes.

If the charity is not required to be registered with the Charity Commission, please supply a copy of correspondence from HM Revenue & Customs stating charitable status. The correspondence must show the charity's name, address and the HM Revenue & Customs reference number. If this is not the case, an explanation must be provided in section 9.

If your charity is registered with the Charity Commission, the address mentioned on the Charity Commission register must match with at least one of the addresses mentioned in the form. If this is not the case, an explanation must be provided in section 9.

If your charity is registered with the Charity Commission for England, Wales and Northern Ireland the authorising trustees that have signed in section 2 must appear on the register. If this is not the case, an explanation must be provided in section 9.

For the trustees who have authorised this application form and **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, an accountant, a notary, a church minister, 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.

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 to the one named in the application form and should sign, print their name and provide their full address and profession, all in BLOCK CAPITALS and in English.

Section 9: Additional information and notes

Notes

Important information:**Data Protection Regulation (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 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 CCLA 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 CCLA 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, CCLA 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 CCLA's systems which are password protected.

Please see the website for details of CCLA's Privacy notice and full details of CCLA's Data Protection Policy are available on request.

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

CCLA Fund Managers Limited (Registered in England and Wales No. 8735639), whose registered address is: Senator House, 85 Queen Victoria Street, London EC4V 4ET, is authorised and regulated by the Financial Conduct Authority and is the Manager of the CCLA Charity Authorised Investment Fund.