

# Individual or joint investors Account application form

## Important information

### **Please read before completing this form.**

This document must be read and completed in conjunction with the relevant Key Investor Information Document and CCLA Investment Funds ICVC Prospectus. Copies are available on our website, [www.ccla.co.uk](http://www.ccla.co.uk), by email request to [clientservices@ccla.co.uk](mailto:clientservices@ccla.co.uk) or by calling us on freephone **0800 022 3505**.

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.

If being completed by hand, please use black ink and write in BLOCK CAPITALS.

All pages of this form should be returned to CCLA Investment Management Limited, PO Box 12892, Dunmow, CM6 9DL.

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 freephone 0800 022 3505 if you require any help with the form or would like to discuss any additional support needs. Please note that telephone calls are recorded.**

## Section 1 Subscription and payment

CCLA Better World Global Equity Fund minimum initial investment

C Class £1,000

I Class £20,000,000

**1.1** I / We wish to invest the amount(s) below, as indicated:

Sub-fund name	Class	SEDOL	ISIN	Lump sum investment amount
<b>CCLA Better World Global Equity Fund</b>	C Accumulation	BPP39M3	GB00BPP39M31	£
	C Income	BPP3BY9	GB00BPP3BY99	£
	I Accumulation	BPP3C02	GB00BPP3C023	£
	I Income	BPP3BZ0	GB00BPP3BZ07	£
<b>Total direct investment</b>				<b>£</b>

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

Savings

Other (please specify below)

**1.3** I confirm that this investment is funded from:

Employment income

Sale of property/business

Savings account

Inheritance

Sale of investments

Other (please provide details below)

**1.4** Intended frequency of transactions

Monthly

Quarterly

Annually

Other (please state below)

### Payment method

**Important: Settlement must be made within two working days of the date of the investment. To help us match the money to your account, please use your name as your electronic payment reference.**

**Please make bank transfer to:**

Account name: CCLA Investment Management Limited – Payments Client Money Account

Bank: HSBC

Sort code: 40 05 30

Account number: 84612531

## Section 2 Nominated bank or building society account details for all redemptions and the payment of income on income shares only

Account name

Account number

Sort code

Bank/building society name

Building society reference (if applicable)

**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.**

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## Section 3 Investor details

- An account cannot be opened in the name of any person below the age of 18 years.
- If there are joint applicants, both should complete the boxes below, and should sign the form. Up to two further joint applicants may include their details on a separate sheet.

### 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

### 3.1 1st Applicant

Title

Mr

Mrs

Miss

Ms

Other (please state)

First name(s)

Surname

Account designation (if required) maximum 15 characters

Permanent residential address

Postcode

Telephone number

Correspondence address (if different)

Postcode

Email

Date of birth (dd/mm/yyyy) Place of birth

### **3.2 2nd Applicant (if joint application)**

Title

Mr

Mrs

Miss

Ms

Other (please state)

First name(s)

Surname

Permanent residential address

Postcode

Telephone number

Email

Date of birth (dd/mm/yyyy) Place of birth

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

## Section 4 Declaration

**Before signing this Application Form, you should CAREFULLY READ the Key Investor Information Document and Prospectus. Please also make sure you keep a copy of these documents for your records. Please call our Client Services Team on 0800 022 3505 if you do not understand these documents.**

**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 do not 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.

The investments that you are making belong to you and you are not investing on behalf of anyone else.

I/We have read, understood and retained the Key Investor Information Document (KIID) in conjunction with the Prospectus.

I/We understand that the ACD will carry 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 understand that the purchase of shares will be effected at the ruling buying price at the next valuation point after ACD's acceptance of my/our application form and that a contract note giving details of the shares purchased will be issued no later than the next valuation day following the valuation point.

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. All tax vouchers and statements will automatically be sent to the first-named holder.

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, including a green card holder, 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 us to sell our shares to a person designated by the ACD.

**Applicant(s) sign below:**

1st Applicant signature

Date (dd/mm/yyyy)

2nd Applicant signature (if joint application)

Date (dd/mm/yyyy)

**Please note: Any changes to the investment will require the signatures of all applicants.**

## 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.

### Individual Self-Certification

Tax Regulations require us to collect information about each investor’s tax residency. 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.

If you have any questions about your tax residency, please contact your tax advisor. Should any information provided change in the future, please ensure you advise us of the changes promptly.

### 1st Applicant

#### Tax residency

Please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers (e.g. National Insurance Number) in the table below.

Country/countries of tax residency	Tax reference number
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If you are not resident in any country for tax purposes, please tick this box

### 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.

1st Applicant signature

Date (dd/mm/yyyy)

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2nd Applicant (if joint application)

Tax residency

Please indicate all countries in which you are resident for tax purposes and the associated Tax Reference Numbers (e.g. National Insurance Number) in the table below.

Country/countries of tax residency

Tax reference number

If you are not resident in any country for tax purposes, please tick this box

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.

2nd Applicant signature

Date (dd/mm/yyyy)



## 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@fnztaservices.com](mailto:investorqueries@fnztaservices.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](mailto: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 (if joint application)

Signature

Date (dd/mm/yyyy)

## Section 7 Checklist and documentation required

### **PLEASE TICK TO CONFIRM ALL OF THE DOCUMENTS ARE ENCLOSED.**

If you have provided us with bank account details under Section 2, 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/lawyer**
- **chartered accountant**
- **notary**
- **minister of religion**
- **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**
- **not be related, in a relationship or living at the same address to any person 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.**

## 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 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 the ACD 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 systems which are password protected.

Please see **www.ccla.co.uk** for details of the ACD Privacy Notice and full details of the ACD 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 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.

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CCLA  
One Angel Lane  
London EC4R 3AB

**CCLA**  
BECAUSE GOOD IS BETTER

Freephone **0800 022 3505**  
**clientservices@ccla.co.uk**  
**www.ccla.co.uk**

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CCLA Investment Management Limited (registered in England & Wales No. 2183088), whose registered address is: One Angel Lane, London EC4R 3AB, is authorised and regulated by the Financial Conduct Authority and is the Authorised Corporate Director of the CCLA Investment Funds ICVC.

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.