



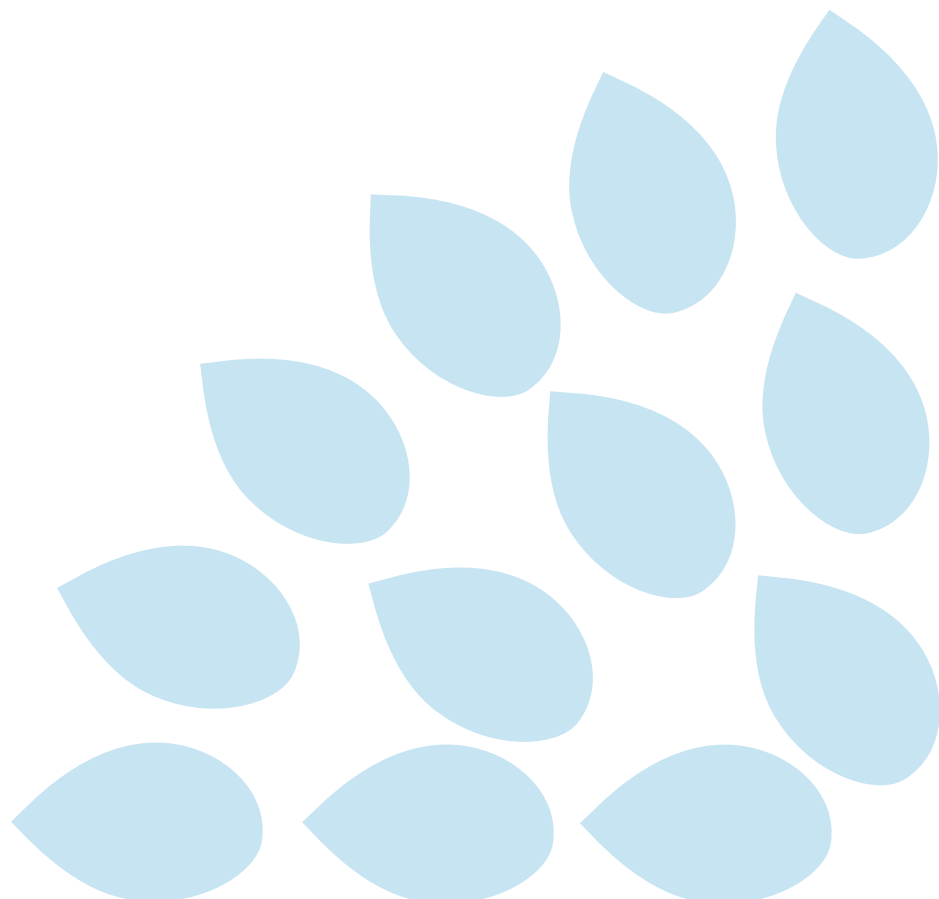
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# INVESTMENT FUNDS FOR CHARITIES

APPLICATION FORM

PROFIT WITH PRINCIPLES

March 2018



**Please complete in black ink.**

Please call **0800 358 3010** if you require help completing this form.

Please complete all sections and return to:

**EdenTree Investment Management Limited, PO Box 3733, Swindon SN4 4BG**

**Charity name** (We will open the account in this name)

**Charity status** Charity Registration No

and HMRC Tax Reference No

(Please provide copy correspondence from HMRC confirming your HMRC reference number.)

**Registered address** (if applicable)

**Postcode**

**Telephone**

**Email**

Please see page 10 in relation to reporting options.

**CHARITY CONSTITUTION** (Please tick whichever applies)

Please provide a copy of any relevant documentation. See pages 8 and 9.

- By Trust Deed
- Parochial Church Council (PCC Powers Measure 1956)
- Other (Please provide details below)

Limited Company

**Company Registration No**

**Name of Company Secretary**

If your organisation is a Limited Company the Company Secretary or person acting in that capacity must also complete their details on page 7.

**CONTACT DETAILS** (Correspondence address, if different from above)

**Title (Mr/Mrs/Miss/Ms/Dr/Revd/Other)**

**Surname**

**Forename(s)**

**Address**

**Postcode**

**Telephone**

**Email**

We are only able to send correspondence to one representative of the Charity plus a copy to your financial adviser where appropriate.

Please see Page 9 in relation to reporting options.

**TO BE COMPLETED BY YOUR FINANCIAL ADVISER/AGENT (if applicable)**

FCA code

Contact name

Company name

Address

Postcode

Telephone

Email

**INVESTMENT CHOICE**

There are two Amity Investment Funds for Charities. The Amity Balanced Fund for Charities invests in fixed income securities, UK and international equities. The Amity Global Equity Fund for Charities invests in UK and international equities.

Please indicate below the fund(s) in which you wish to invest and the amount (if known):

<input type="checkbox"/> Amity Balanced Fund for Charities	Amount <sup>1</sup> : £	<input type="text"/>
<input type="checkbox"/> Amity Global Equity Fund for Charities	Amount <sup>1</sup> : £	<input type="text"/>
<input type="checkbox"/> Other	Amount <sup>1</sup> : £	<input type="text"/>
<input type="text"/>	please specify fund name	<b>Total investment<sup>1</sup> £</b> <input type="text"/>

**PAYMENT METHOD**

Please indicate your method of payment (minimum investment amount is £1,000):

Payment will be made electronically<sup>1</sup> **OR**  Cheque<sup>2</sup> is enclosed with this application form

Inserting an amount in the above boxes will constitute a dealing instruction, and shares will be purchased on behalf of your organisation. The price of shares in each fund (and the number of shares purchased) is determined at midday on each Dealing Day. Instructions received before midday will purchase shares at the price determined on that day. Instructions received after midday will purchase shares as determined on the next Dealing Day. In both cases, a contract note will be issued recording the date, the number of shares purchased and the price paid. This will be posted to the correspondence address as detailed on page 2. Please contact us to discuss if investment amounts are not known when opening the account.

1. If payment is being made by electronic bank transfer please instruct the payment as per the details provided on the contract note.

2. Cheques are to be made payable to **EdenTree Investment Management – Dealing Account**.

**DIVIDEND INCOME OPTION** (Please tick one option)

If no option is indicated proceeds will automatically be reinvested

Reinvest dividend proceeds  Receive dividend proceeds

Please refer to fund information documents for details of income payment frequency

Account name

Bank/Building Society

Branch name

Sort Code

Account No

**Building Society Reference (if applicable)**

Withdrawal payments will also be paid to this account. Payments to third parties are not permitted. We will also need to verify your account details in advance of any dividends being paid or redemption requests. See note on page 6 for additional information.

## This section of the form must be completed by all investing Charities

### FATCA & CRS

Foreign Account Tax Compliance Act (FATCA) US & Common Reporting Standards - EU and other Tax Information

### TAXATION STATUS

#### Foreign Account Tax Compliance Act (FATCA) US

Tax Regulations (FATCA) require us to collect information about investors' tax residency. In certain circumstances we may be obliged to share information about your account with HMRC.

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

Institutions that are defined as 'Financial Institutions' will be required to provide a FATCA Classification.

**Please tick which of the following statements below applies, and provide any additional information that is requested. If you are unsure about how to complete this section, please contact your tax adviser.**

1. Please confirm that the account is being opened on a behalf of a UK Registered Charity which is resident in the UK for tax purposes (if yes please go to the Tax Residency Section below. If No please complete the details in this section).

2. If your organisation is a **Financial Institution**, please complete (a) or (b) below

**a. Please provide your organisation's  
Global Intermediary Identification Number (GIIN)**

If you do not have a GIIN but you are sponsored by another entity which does, please provide its GIIN above and tick this box:

**b. If unable to provide a GIIN, please tick the reason why your organisation does not have a GIIN:**

- It is a US Person (please provide Taxpayer Identification Number (TIN))
- It is a FFI in a Model 1 IGA country and has not yet obtained a GIIN
- It is a FFI that intends to apply for a GIIN but has not yet applied or has not yet received it
- It is an Exempt Beneficial Owner
- It is a Certified Deemed Compliant Financial Institution
- It is a Registered Non-Profit Organisation
- It is a Non-Participating Foreign Financial Institution

2. If your organisation is **not a Financial Institution** confirm its status below:

- Active NFFE
- Passive NFFE
- US Person

## TAXATION RESIDENCY

FATCA and Common Reporting Standards require us to collect certain information about each investor's tax arrangements. Please provide this information below.

1. Please state the country in which your organisation is **resident for tax purposes**
- If you have more than one country of tax residency, please tick this box and we will contact you for further information
2. If the organisation is not a **specified person** in the country listed above, please tick this box and provide supporting documentation indicating the reason
3. Otherwise, please provide us with the organisation's **Tax Reference Number**

## COMMON REPORTING STANDARDS (CRS)

Regulations based on the OECD Common Reporting Standard ("CRS") require us to collect and report certain information about an account holder's tax residency. If your tax residence (or the account holder, if you are completing the form on their behalf) is located in a country that is signed up to the CRS, we may be legally obliged to pass on the information in this form and other financial information with respect to your financial accounts to our local tax authority.

You can find definitions of who is classified as an account holder, and other terms, in the notes section and the back of this form.

### Please tick one of the boxes below to indicate your Entity Type

1. Non Financial Institution (NFE)
 

i) Active – Non profit organisation, investment income is equal to or less than 50% of total income <input type="checkbox"/>	ii) Passive – NFE that is not active and is not an Investment Entity <input type="checkbox"/>
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2. Financial Institution – Non-Reporting (Please specify the category of Non-Reporting Financial Institution)
 

i) Trustee – Documented Trust <input type="checkbox"/>	ii) Passive – NFE that is not active and is not an Investment Entity <input type="checkbox"/>
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3. Financial Institution – Investment Entity
4. Financial Institution – Depository Institution, Custodian Institution or Specified Insurance Company

## OPERATING SIGNATORIES

Operators of the account are individuals appointed by the Trustees/Directors or Company Secretary.

Charity Commission guidance states that accounts should be operated by at least two signatories. If this is impractical, please enclose a certified copy of the minutes authorising single signatory operation (see page 8). Please copy this form should you wish to add more individuals.

**Title (Mr/Mrs/Miss/Ms/Dr/Revd/Other)**

**Surname**

**Forename(s)**

**Capacity**

**Signature**

**Title (Mr/Mrs/Miss/Ms/Dr/Revd/Other)**

**Surname**

**Forename(s)**

**Capacity**

**Signature**

**Title (Mr/Mrs/Miss/Ms/Dr/Revd/Other)**

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**Surname**

**Forename(s)**

**Capacity**

**Signature**

**Title (Mr/Mrs/Miss/Ms/Dr/Revd/Other)**

**Surname**

**Forename(s)**

**Capacity**

**Signature**

## IMPORTANT INFORMATION

EdenTree Investment Management is required to classify all its clients so that they receive an appropriate level of investor protection. EdenTree Investment Management will categorise you as a Retail Client, giving you the highest level of protection available.

For your information, the next level of classification would be a Professional Client, which may be an organisation that is considered to have the necessary experience, knowledge and expertise to make its own decisions and assess associated risk. Clients falling into this category receive lower protection than a Retail Client.

However, there are certain protections that Retail Clients receive that may not be available to Professional Clients classified as Retail Clients. In particular they may not be able to refer complaints to the Financial Ombudsman Service and are not eligible claimants under the Financial Services Compensation Scheme.

### General Data Protection Regulation

EdenTree Investment Management will always act responsibly with your personal data. By submitting your personal details, you consent to us using the information provided, as detailed in our Privacy Policy.

Our Privacy Policy can be found at [www.edentreeim.com](http://www.edentreeim.com) or can be requested by writing to us at PO Box 3733, Swindon SN4 4BG.

### Personal Data

EdenTree Investment Management Limited is data controller of any personal data you provide to us or which is processed in connection with the services we provide to you.

To provide our fund management services, we have collected and will use personal data such as your name, date of birth and contact details and any information which is relevant to the services we are providing.

The purposes for which we use your personal data are to maintain and service your EdenTree investment account, and to notify you about changes or developments to our products and services. We will also use your personal data in order to meet our legal or regulatory requirements, for example we have legal obligations to carry out anti-money laundering checks and to comply with our regulatory reporting requirements, we may need to send your personal data to our regulators.

Providing our services will involve disclosure to Northern Trust Global Services Limited who we have delegated administration of your investment account to and other third parties such as service providers of the funds, auditors, regulatory and tax authorities and technology providers to comply with any legal obligation imposed on the funds for the purposes described in our Privacy Policy available at [www.edentreeim.com](http://www.edentreeim.com)

When processing your personal information, there may also be times where Northern Trust will act as a data controller to meet its own regulatory reporting requirements. For instance, Northern Trust may combine your personal data with data it holds from other Fund Management Companies for the purpose of suspicious activity monitoring and reporting.

### Recipients of Data and International Transfer of Data

Depending on the circumstances, we may transfer your personal data to countries outside the European Economic Area that have less robust data protection laws. We will put appropriate safeguards in place to ensure that such transfers comply with data protection laws and that your personal data is protected.

### Retention period

We will retain your personal information for as long as required for us to perform the Services or perform investigations in relation to same depending on whether additional legal/regulatory obligations mandate that the Fund retains your personal information.

### Data Subject Rights

You have the following rights, in certain circumstances, in relation to your personal information:

- Right to access your personal information.
- Right to rectify your personal information.
- Right to restrict the use of your personal information (in certain specific circumstances).
- Right to request that your personal information is erased (in certain specific circumstances).
- Right to object to processing of your personal information (in certain specific circumstances).
- Right to data portability (in certain specific circumstances).
- Rights re automated decision making

Where EdenTree requires your personal information to comply with AML or other legal requirements, failure to provide this information means that EdenTree may not be able to accept you as an investor in the Fund.

You have the right to lodge a complaint with a supervisory authority in the EU Member State of your habitual residence or place of work or in the place of the alleged infringement if you consider that the processing of personal data relating to you carried out by EdenTree or its service providers infringes the General Data Protection Regulation.

### How to contact us

For further information on how we use your personal data and your rights in relation to your personal data, our Privacy Policy can be accessed at [www.edentreeim.com](http://www.edentreeim.com). Should you have any enquiries relating to the personal data that we may hold about you or how this is processed, you can contact, Data Protection Officer, at Beaufort House, Brunswick Road, Gloucester GL1 1JZ or on 0345 6073274 or email [compliance@edentreeim.com](mailto:compliance@edentreeim.com)

When processing your personal information, there may also be times where Northern Trust will act as a data controller to meet its own regulatory reporting requirements. For instance, Northern Trust may combine your personal data with data it holds from other Fund Management Companies for the purpose of suspicious activity monitoring and reporting.

## IMPORTANT INFORMATION

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### **Verification of Identity**

If you have not appointed a financial adviser, the Trustee/Directors or Company Secretary authorising the opening of this account will be required to provide documentation to verify the Charity in accordance with anti-money laundering legislation, and to evidence their own identity and addresses. (See page 10).

If you have appointed a financial adviser they will be able to provide confirmation of your identity for anti-money laundering purposes.

Please note that any redemption requests or dividend payments will be withheld until verification documents have been provided.

### **Verification of Bank Account**

If you have invested by cheque from the same account, no additional verification is required. If your initial investment is settled electronically, or if you change bank account, your bank account will need to be verified before any redemption or further dividend payments are made to you. In order to verify an account we will require either a voided cheque or an original or certified copy of a bank statement dated within the last three months. If you are unable to provide these please contact us to discuss. (Please see notes on page 9).



## AUTHORISATION

This section is to be completed and signed by two Trustees/Directors and/or the Company Secretary, if the Charity is incorporated.

On behalf of the Charity we agree to be bound by the Funds Prospectus.

### We confirm that:

- we are authorised to act on behalf of the applicant Charity
- the individuals named on page 5 are delegated to operate this account
- we have read and understand the content of the fund's Prospectus
- the account is to be used to hold only money held on charitable assets
- we have read and understand the latest Key Investor Information Document(s) for the fund(s) and share classes in which we are investing
- we shall notify EdenTree Investment Management of any changes to ourselves or to the individuals named on page 5
- we will inform EdenTree Investment Management immediately should the Charity cease to qualify as a registered Charity
- we have read and understood the Prospectus, and consent to the ACD applying the Delivery Versus Payment Exemption (as set out in the Prospectus) which means that FCA client money rules do not apply to subscription/redemption monies received/paid to settle transactions for the first day following receipt
- we have read and understood the important information relating to General Data Protection Regulation

### We authorise you to:

- conduct this account as instructed in this application form until you are instructed to the contrary
- accept faxed instructions that purport to be properly issued in accordance with this application form. We indemnify you against any costs or loss from your acting on such instructions

We acknowledge that this transaction is at our initiative and/or on the advice of the financial adviser named on page 3. We confirm we have not received advice from EdenTree Investment Management about the Amity Balanced Fund for Charities and/or the Amity Global Equity Fund for Charities or their specific suitability for our circumstances. We understand that EdenTree Investment Management is not required to and has not assessed whether this investment is suitable, and that we do not benefit from regulatory protections afforded to recipients of advisory services.

EdenTree Investment Management is subject to the Money Laundering, Terrorist Financing and Transfer of Funds (Information on Payer) Regulations 2017. EdenTree Investment Management will require verification of identity for the Trustee/Directors and for the Company Secretary authorising the opening of this account. This may be achieved electronically through the use of a credit reference agency which may keep a record of this information; this check is used only to verify identity and will not affect credit records. If EdenTree Investment Management is unable to verify individuals electronically it will require independent evidence of identity and permanent address. If EdenTree Investment Management does not receive acceptable evidence it reserves the right to delay or withhold payments of redemptions and/or payments of dividends until verification is satisfactorily completed.

## PERSON 1

Title (Mr/Mrs/Miss/Ms/Dr/Revd/Other)

Surname

Forename(s)

Date of birth

Address

Postcode

Signature

Date

## PERSON 2

Title (Mr/Mrs/Miss/Ms/Dr/Revd/Other)

Surname

Forename(s)

Date of birth

Address

Postcode

Signature

Date

These individuals will be verified for anti money laundering purposes in line with requirements detailed on page 10.

## REQUIRED DOCUMENTATION FOR YOUR ORGANISATION

EdenTree Investment Management follows Charity Commission guidance that all accounts should be operated by at least two signatories.

If this is not appropriate for your Charity, please enclose a copy of the minutes of a Trustees, or PCC meeting authorising single signatory operation.

Authority to operate the account on the single signature of an authorised signatory is enclosed.

### For incorporated Charities, as well as the completed application form, we need the following:

Documentation for the Company Secretary in accordance with the lists below

The governing document, and details of the nature and purpose of the Charity

### For unincorporated Charities, as well as the completed form, we need the following:

List of all other Trustees signed by any one of the Trustees/Directors signing the authorisation on page 7

Trust Deed or equivalent governing document

### Charities not registered with the Charity Commission<sup>5</sup> must provide:

Evidence that your organisation is recognised as a Charity for tax purposes. Please send evidence from HMRC to this effect (for example, a letter from HMRC or a Gift Aid repayment form).

### For all organisations:

Please enclose a certified<sup>1</sup> copy of a bank statement (less than three months old) or voided cheque if the investment is being made electronically, or if the cheque is drawn on an account other than that detailed on page 2.

If not publicly available, please provide a copy of the most recent audited financial statements

Please provide a copy of the resolution/minutes authorising the account opening

**Note:** Additional information may need to be provided and will be requested in writing.

## DOCUMENTS FOR VERIFICATION OF IDENTITY

Please provide one copy document from list A and one copy from list B for each person signing the form on page 7.

If you have appointed a financial adviser on page 3, it is their responsibility to obtain and provide this information on your behalf.

**Please ensure that all photographs and documents are clearly viewable and quote the individual's full name and current residential address (if applicable):**

### List A

- Valid Passport
- Valid National Identity Card (Non-UK Residents)
- Valid Photocard Driving Licence – Full or Provisional<sup>2</sup>
- Valid Firearms Certificate or Shotgun Licence
- Valid (old-style paper) full UK Driving Licence
- Evidence of entitlement to state or local authority funded benefit (eg Housing, Council Tax, Pension Credit, Tax Credit, Educational etc) for the current year
- Valid Disabled Person's Blue Badge
- HMRC correspondence dated within the last 12 months
- NHS Medical Card

### List B

- Council Tax demand letter or statement for the current year<sup>3</sup>
- Recent bank account or credit card statement<sup>3,4</sup>
- Recent utility bill (mobile phone bills are not acceptable)<sup>3,4</sup>
- Recent statement from a Regulated Financial Services Firm<sup>3,4</sup>
- Confirmation of address on employer's company headed paper<sup>3,4</sup>

1. See certification requirements on page 9

2. If the driving licence is UK registered, please ensure the photocard is still valid by referring to the date, under Section 4b of the driving licence

3. Documents must be less than 3 months old when received by ourselves, unless otherwise stated

4. Documents must not be printed off the internet

5. Examples can include some Educational establishments, Student Unions, Museums, Industrial and Provident Societies and Friendly Societies

## CERTIFICATION REQUIREMENTS

Where certified copy documentation is required (see requirements on page 8) this must be performed by one of the following regulated or professional persons:

- Lawyer/Solicitor
- Accountant
- Authorised Financial Intermediary

**When certifying the documentation, the certifier must clearly state all of the following information on every document:**

1. Full name and signature of the individual certifying the documentation.
2. Name and address of the organisation for which the individual works, in case we need to contact them.
3. The date the certification was performed.
4. The statement that "I have seen the original document and certify that this is a complete and accurate copy of the original".  
When certifying documents with photographic evidence "I certify that the associated photograph bears a good likeness to the applicant".

## VALUATIONS

EdenTree provides quarterly valuation reports for the Charity Funds, and bi-annual reports for all other funds. We are able to send reports for the Charity Funds as a hard copy or by email, or both.

Please select your preferred option below:

Post     Email     Both

Hard copy valuations will be sent to the verified address and email shown on Page 2 of this application form.

We are only able to send a single hard copy, or email, to the verified postal or email address, for security reasons.

Please note all other communications other than valuations will be sent by post.

All non charity funds are reported bi-annually in hard copy and will be sent to the verified postal address.

## CRS NOTES

**Note:** These are selected definitions provided to assist you with the completion of this form. Further details can be found within the OECD "*Common Reporting Standard for Automatic Exchange of Financial Account Information*" (the "CRS") and the associated "Commentary" to the CRS.

If you have any questions about these definitions or require further detail then please contact your tax adviser or local tax authority.

**As a financial institution, we are not allowed to give tax advice.**

If you have any questions about this form, these instructions, or defining your tax residency status, please speak to your tax adviser or local tax authority.

**Where the Account Holder is a Passive NFE, or an Investment Entity located in a Non-Participating Jurisdiction managed by another Financial Institution.**

Please contact us and we will provide you with the full CRS form for completion, as additional information will be required.

You can also find out more, including a list of jurisdictions that have signed agreements to automatically exchange information along with details about the information being requested from the *OECD automatic exchange of information*.

### "Entity"

The term "Entity" means a legal person or a legal arrangement, such as a corporation, organisation, partnership, trust or foundation. This term covers any person other than an individual (i.e. a natural person).

### "Account Holder"

The "Account Holder" is the person listed or identified as the holder of a Financial Account by the Financial Institution that maintains the account. This is regardless of whether such person is a flow-through Entity. Thus, for example, if a trust or an estate is listed as the holder or owner of a Financial Account, the trust or estate is the Account Holder, rather than its owners or beneficiaries. Similarly, if a partnership is listed as the holder or owner of a Financial Account, the partnership is the Account Holder, rather than the partners in the partnership.

For help completing this form call us on

**0800 358 3010**

Monday to Friday 9am to 5pm.

We may monitor or record calls to improve our service.

For further information on any of our products, call us on

**0800 032 3778**

Or you can email us at

**[charities@edentreeim.com](mailto:charities@edentreeim.com)**

Or visit us at

**[www.edentreeim.com](http://www.edentreeim.com)**

