

Public Sector investors

Account application form

Important information

Please read before completing this form.

Investment in the fund through the share classes detailed in this form is only available to UK public sector bodies (as defined in the Prospectus). If you are unsure of your eligibility or wish to request an application form for the non-public sector share classes of the fund, please contact the Client Services Team.

This document must be read and completed in conjunction with the relevant Key Investor Information Document and CCLA Public Sector Investment Fund Prospectus. Copies are available on our website, www.ccla.co.uk.

If you are an existing investor in the Public Sector Deposit Fund and wish to open an additional account, please contact Client Services to request an additional account form.

The space provided in Section 8 should be used to add more information on any section or disclose any support requirements.

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

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 Public Sector Investment Fund.

Please call our Client Services Team on freephone **0800 022 3505** if you have any questions about this form or would like to discuss any additional support needs. Please note that telephone calls are recorded.

All pages of this form should be returned to **CCLA, PO Box 12892, Dunmow, Essex CM6 9DL**. Please ensure that all the required documents are enclosed as failure to do so may delay your application.

Section 1 Your organisation

1.1 Organisation name

1.2 Account designation (if required) maximum 15 characters

1.3 Type of organisation

1.4 Organisation's office address – **This address will be registered for correspondence**

Postcode

1.5 Daytime telephone number

1.6 Correspondence preferences

Please tick one option

☐ CCLA's Digital Portal – you can receive communications, including statements and transaction confirmations via the secure portal.

OR

☐ Email – sent to the main contact's email address.

OR

☐ Post – sent to the office address (section 1.4).

Statements are produced monthly.

Section 2 Investment information

To buy Shares in a Sub-Fund of CCLA Public Sector Investment Fund, please complete the 'CCLA Public Sector Investment Fund Buy shares form' once your account has been set up. This form is available on our website, **www.ccla.co.uk**, or 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:

Public Sector Deposit Fund

☐ SC 4 – Public Sector (minimum investment: £1,000,000)

☐ SC 5 – Public Sector (minimum investment: £25,000)

2.2 Please indicate the initial 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

☐ Daily ☐ Weekly ☐ Monthly ☐ Quarterly ☐ Annually

☐ Other (please state below)

Section 3 Nominated bank account details

All withdrawals will be paid to the nominated bank account (no third party payments will be undertaken).

3.1 Nominated bank account details:

Bank name

Account name

Sort code

Account number

We use electronic methods to check the bank details supplied are held in the name of the investing organisation. We reserve the right to ask for further information and certified documentation confirming this detail before we update the account.

3.2 Dividend payments:

For all payments please indicate your preferred option below:

Please tick one option

☐

Automatically be reinvested and additional Shares created.

OR

☐

Paid by electronic transfer to your nominated bank account.*

*In accordance with the Prospectus, the ACD may, at its discretion, reinvest unclaimed income distributions to purchase additional Shares on behalf of an investor. This would only occur after a period of three years following the financial year in which the distribution was initially paid. Subsequent distributions made thereafter will be automatically reinvested.

Section 4 Directors' (or equivalent) authorisation

This section must be read, completed and signed by a minimum of two and up to four directors (or equivalent) who have authority to give CCLA Investment Management Limited (**CCLA** or **ACD**) instructions on behalf of the investing organisation concerning the use or transfer of money or Shares.

Please consult an intermediary if you require investment advice.

Conflicts of interest

CCLA 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.

CCLA's Conflicts of Interest Policy can be found on its website at www.ccla.co.uk.

Your personal information

Privacy Notice

CCLA's Privacy Notice sets out how CCLA complies with UK Data Protection requirements and how it processes and protects your personal information. CCLA's Privacy Notice can be found on our website at www.ccla.co.uk.

Communicating with you

CCLA may collect and use your personal information to bring to your attention additional products or services which may be of interest to you by email, telephone or post. Where we are required to obtain your consent to communicate with you by email or telephone or post we will do so. You have the right to ask us not to process your personal information for this purpose at any time. Please email us at clientservices@ccla.co.uk or telephone us on **0800 022 3505**.

Sharing your personal information

To provide our services to you we may share your personal information with third parties including:

- those who provide administrative and operational services to us;
- to verify your identity in accordance with UK money laundering requirements. These may include credit reference agencies;
- where required by law, regulation or a court order;
- fraud and law enforcement agencies if you give us false or inaccurate information or you have made us aware that you suspect fraud; and
- HMRC or the Financial Conduct Authority.

Client categorisation

CCLA is required to categorise all its clients so that they receive an appropriate level of investor protection. CCLA will categorise you as a Retail Client.

How your money may be held

Where you send money to us by electronic transfer to invest in The Public Sector Deposit Fund (PSDF), if we have not paid this money to the depositary of the CCLA Public Sector Investment Fund (Company) by the end of the business day following the date of receipt of the money, we are required to treat this money as client money and pay this money into a client money account. Please note that, until the end of the business day following the date of receipt of the money, it is possible that your money will not be held as client money and therefore will not be segregated under the FCA's client money rules. Where you send money to us by cheque to invest in the PSDF, we will treat this money as client money and will pay it into a client money account by close of business on the day following receipt, where it will remain until such time as it is paid to the depositary of the Company.

In addition, we are required to treat as client money any redemption proceeds which we continue to hold at the end of the business day following the day that we receive your redemption proceeds from the depositary. You acknowledge and agree that, until this time, it is possible that these proceeds will not be held as client money and therefore will not be segregated under the FCA's client money rules.

Declarations:

By signing the authorisation section of this application form, we, the applicant, confirm that:

- The Shares to which this application relates are and will at all times be on behalf of the investing organisation.
- We have read and understood the Prospectus, the Key Investor Information Document and the Approach to Sustainability document (consumer-facing disclosure).
- The persons signing below are duly authorised to sign on behalf of the investing organisation.
- The main contact and authorised signatories for this account are known to us.
- We shall notify CCLA of any subsequent changes of directors (or equivalent), main contact and/or authorised signatories.
- **The investing organisation is a UK Public Sector body.**

- We understand that in the provision of this service, CCLA is executing transactions following our instruction and is not providing advice on the merits of transactions and in relation to which the rules on assessment of appropriateness and suitability do not apply. Consequently, investors do not benefit from the protection of the rules on assessing appropriateness and suitability provided within the FCA Rules.
- The information contained in this form is true and accurate to the best of our knowledge and belief.

Authorisation:

We authorise you to:

- Conduct the account as instructed in this application form until you are instructed to the contrary on a 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.
- Grant to the person named as main contact in Section 5 authority to act as administrator of the CCLA Digital Portal – the portal administrator. The CCLA Digital Portal is an online tool that allows users to view their accounts, holdings, valuations, transactions and associated documents. The person who is the portal administrator will be able to grant/revoke access to the portal for others within their organisation.

The account should be operated by:

☐ Any two of the authorised signatories

☐ Any one of the authorised signatories

First director (or equivalent)

Name

Signature

Date (dd/mm/yyyy)

► First director needs to complete sections 4.1 to 4.5**Second director (or equivalent)**

Name

Signature

Date (dd/mm/yyyy)

► Second director needs to complete sections 4.6 to 4.10**Third director (or equivalent)**

Name

Signature

Date (dd/mm/yyyy)

► Third director needs to complete sections 4.11 to 4.15**Fourth director (or equivalent)**

Name

Signature

Date (dd/mm/yyyy)

► Fourth director needs to complete sections 4.16 to 4.20

4.1 First director (or equivalent)

Title

Forename

Middle name

Surname

Date of birth (dd/mm/yyyy)

Position

Mobile number

Daytime telephone number

Email address

Home address

Postcode

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

4.2 Will you be the main contact for this account?☐ Yes ☐ No**4.3** Will you be an authorised signatory for this account?☐ Yes ☐ No**4.4** ☐ I agree to CCLA communicating with me by email, phone or post as set out in the section headed Communicating with you on page 4 of this application form. I understand that I have the right to request otherwise at any time.**4.5** Signature

Date (dd/mm/yyyy)

4.6 Second director (or equivalent)

Title

Forename

Middle name

Surname

Date of birth (dd/mm/yyyy)

Position

Mobile number

Daytime telephone number

Email address

Home address

Postcode

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

4.7 Will you be the main contact for this account?☐ Yes ☐ No**4.8** Will you be an authorised signatory for this account?☐ Yes ☐ No**4.9** ☐ I agree to CCLA communicating with me by email, phone or post as set out in the section headed Communicating with you on page 4 of this application form. I understand that I have the right to request otherwise at any time.**4.10** Signature

Date (dd/mm/yyyy)

4.11 Third director (or equivalent)

Title

Forename

Middle name

Surname

Date of birth (dd/mm/yyyy)

Position

Mobile number

Daytime telephone number

Email address

Home address

Postcode

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

4.12 Will you be the main contact for this account?☐ Yes ☐ No**4.13** Will you be an authorised signatory for this account?☐ Yes ☐ No**4.14** ☐ I agree to CCLA communicating with me by email, phone or post as set out in the section headed Communicating with you on page 4 of this application form. I understand that I have the right to request otherwise at any time.**4.15** Signature

Date (dd/mm/yyyy)

4.16 Fourth director (or equivalent)

Title

Forename

Middle name

Surname

Date of birth (dd/mm/yyyy)

Position

Mobile number

Daytime telephone number

Email address

Home address

Postcode

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

4.17 Will you be the main contact for this account?☐ Yes ☐ No**4.18** Will you be an authorised signatory for this account?☐ Yes ☐ No**4.19** ☐ I agree to CCLA communicating with me by email, phone or post as set out in the section headed Communicating with you on page 4 of this application form. I understand that I have the right to request otherwise at any time.**4.20** Signature

Date (dd/mm/yyyy)

Section 5 Main contact/portal administrator

5.1 Only complete this section if the main contact has not completed Section 4.

Title

Forename

Middle name

Surname

Date of birth (dd/mm/yyyy)

Position

Your mobile number and email address will be used for security when logging into the portal.

Mobile number

Daytime telephone number

Email address

Home address

Postcode

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

5.2 Will the main contact also be an authorised signatory?

☐ Yes ☐ No

5.3 ☐ I agree to CCLA communicating with me by email, phone or post as set out in the section headed Communicating with you on page 4 of this application form. I understand that I have the right to request otherwise at any time.

5.4 Signature

Date (dd/mm/yyyy)

Section 6 Other signatories that are authorised to operate the account

6.1 Authorised signatory

Title	Forename	
Middle name	Surname	
Date of birth (dd/mm/yyyy)	Position	
Mobile number	Daytime telephone number	
Email address		
Home address		
Postcode	Date moved to this address (dd/mm/yyyy)	

6.2 ☐ I agree to CCLA communicating with me by email, phone or post as set out in the section headed Communicating with you on page 4 of this application form. I understand that I have the right to request otherwise at any time.

6.3 Signature	Date (dd/mm/yyyy)

6.4 Authorised signatory

Title

Forename

Middle name

Surname

Date of birth (dd/mm/yyyy)

Position

Mobile number

Daytime telephone number

Email address

Home address

Postcode

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

- 6.5** ☐ I agree to CCLA communicating with me by email, phone or post as set out in the section headed Communicating with you on page 4 of this application form. I understand that I have the right to request otherwise at any time.

6.6 Signature

Date (dd/mm/yyyy)

Please use additional sheet if required

Section 7 Checklist and documentation required

- ☐ **PLEASE TICK TO CONFIRM ALL OF THE DOCUMENTS ARE ENCLOSED.**
- ☐ Resolution or Treasury Management Strategy document authorising investment(s) into Qualifying Money Market Funds (including PSDF).
- ☐ A copy of your governing document or other evidence (such as minutes or signatory list) permitting those named in Section 4 to authorise the investment on behalf of your organisation.

Before returning this form please ensure all of the above documents are enclosed. Failure to do so may delay your application.

Section 8 Additional information and notes

Please use this section to add further details pertaining to the application/investment which may assist. You may also use this section to disclose any support requirements.

Section 9 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 cclaclientservices@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 that is not on the completed form, please send your email and PDF to our Client Services Team at clientservices@ccla.co.uk who will be happy to assist.

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, 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 Shares 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

Authorised signatory name

Signature

Date (dd/mm/yyyy)

Authorised signatory name

Signature

Date (dd/mm/yyyy)

CCLA
The Zig Zag Building
70 Victoria Street
London SW1E 6SQ

CCLA
BECAUSE GOOD IS BETTER

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

CCLA Investment Management Limited (registered in England & Wales, No. 2183088, at The Zig Zag Building, 70 Victoria Street, London SW1E 6SQ) is part of the Jupiter Group, and is authorised and regulated by the Financial Conduct Authority and is the Authorised Corporate Director of CCLA Public Sector Investment Fund. The Public Sector Deposit Fund is a UK short-term LVNAV Qualifying Money Market Fund.