



SUTL Cazenove Charity Authorised Investment Fund Guide to Making an Investment

These notes are designed to assist in completing the application process when making an investment into the above funds.

Please note, copies of the schemes and scheme particulars can be found at www.cazenovecharities.com.

To receive hard copies free of charge please contact **Schroders Investor Services on 0800 182 2399**.

Cazenove Capital is a trading name of Schroder & Co. Limited. Registered office at 1 London Wall Place, London EC2Y 5AU. Registered number 2280926 England. Authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority.

How to Invest with us SUTL Cazenove Charity Authorised Investment Fund

If you have any queries about the application process, please contact your financial adviser or Schroders' Investor Services team on 0800 182 2399

For your security, communications may be taped or monitored.

NOTE
Statements will be sent twice a year as at 5 April and 5 October

(N.B. You will receive these within 25 business days of these dates)

How to Invest with us

- 1 You must read the Key Investor Information Document(s) provided before completing this application form.
- 2 Please complete application forms in BLOCK CAPITALS using a BLACK ball point pen.
- 3 Make sure you have filled in all the required details for each section.
- 4 We accept payments by bank transfer and cheque. Where you are sending a cheque, please make sure this is made payable to Schroder Unit Trusts Limited, and is signed.
- 5 Please make sure you have signed the declaration in **Section 3**.
- 6 Return the application form in the prepaid envelope provided or address it to: Schroders Investor Services, FREEPOST, PO BOX 1402, SUNDERLAND, SR43 4AF.
- 7 Please note, copies of the Prospectuses and Key Investor Information Document(s) can be found at www.cazenovecapital.com/en-gb/uk/charity/. These documents are current at the time of provision. Updates are made annually and may be subject to further change from time to time, so delaying your application could lead to you making your investment decision based on out of date information.

SUTL Cazenove Charity Authorised Investment Fund

Guide to making a Schroders charity investment

1 Charity Details

The above funds offered by Schroders are FCA authorised UCITS and Non-UCITS Unit trusts. As such, only charities that fall into the following categories are permitted to invest into these funds:

'Registered Charity' – A charity registered with The Charity Commission for England and Wales.

'Exempt Charity' – A charity which by the provisions set out in Schedule 3 to the Charities Act 2011 is exempt from registration with The Charity Commission for England and Wales.

'Excepted Charity' – A charity, which by the provisions set out in s30(2)(b)-(c) of the Charities Act 2011 is excepted from the need to register with The Charity Commission for England.

'Appropriate Body' – A charity within the meaning of section 97(3) of the Charities Act 2011.

'Small Unregistered Charity' – A charity within the meaning of section 30(2)(d) of the Charities Act 2011.

'Account ID (if applicable)' – If you are an existing investor with Schroders, please provide us your Account ID number.

'Name of Charity' – Please state the charity name as registered with The Charity Commission for England and Wales, or as detailed on the charity trust deed or other governing document.

'Charity Status' – We also require you to confirm the 'Charity Status'. i.e. is the charity a Registered Charity, Exempt Charity, Excepted Charity, Appropriate Body or Small Unregistered Charity.

If your organisation is registered with The Charity Commission for England and Wales please enter the registered number, or if exempt, write "Exempt" in the space provided.

However, if your organisation is excepted from registration, please state by what virtue the organisation has charitable status.

Excepted Charities are excepted by virtue of an order of the Charity Commission or regulations made by the Secretary of State. Places of Worship, which are registered under the Places of Worship Registration Act 1855, and Armed Forces are examples of excepted charities, but not exempted charities. There are additional conditions for being an excepted charity, notably that the charity's gross income does not exceed £100,000.

If you are still unsure about completing this section, please contact the charity team as detailed below.

To confirm the charitable status of the organisation please supply with either the registration number issued by The Charity Commission for England and Wales or the Reference Number issued by the HM Revenue & Customs.

'Charity Registration/HM Revenue & Customs Number' – Please provide us with your Charity Registration Number or the registration number assigned to you by HM Revenue & Customs.

'Charity registered address' – To ensure our records are complete, please kindly confirm the registered address of the charity.

'Contact name, telephone number and email address' – Please detail the name and telephone number of a representative of the charity that we may be authorised to release information to verbally regarding the charity's holdings.

2 Broker agent details

This section is only for the introducing agent to complete, if applicable. If you are forwarding the application form via your broker, agent or financial adviser they should, prior to forwarding back to Schroders Investor Services, complete this section with their details.

3 Authorising signatories

Please ensure this section of the application form is signed by at least two trustees who are authorised to sign on behalf of the charity.

Please note that if you wish to record more than two trustees' authorised signatures, please duplicate the required information on a separate piece of paper and attach it to the application form.

'Trustees Details' – Please include both Trustees' title, full name and date of birth.

'Address' – Please include the address of the above signatories to which we may write to if required.

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4 Registration Details

This section should only be completed if the investment is to be registered and administered by a nominee company.

This is where the investment will be managed by the nominee company on behalf of the charity and will therefore be registered in the name of the company rather than the charity. In this instance only the original application form must be signed by at least two trustees of the charity itself to confirm the charity's identity. All further dealing and documentation may be supplied solely by the nominee company, hence the requirement for the nominee company's details.

Please note that a nominee must hold any investments in a Schroder charity in a separately designated account. These investments must not be held in a pooled nominee account.

'Name of nominee company' – Please supply the full name of the nominee company in which the investment is to be registered.

'Account designation' – If the nominee company has many charity accounts, an appropriate account designation should be chosen to distinguish this charity investment account.

'Correspondence address' – As the investment is managed by the above nominee company, please complete the address to which all documentation should be sent.

'Contact details' – Please include both an email address and phone number.

'Signature' – Please ensure the application form is signed by at least two authorised nominee company signatories, as it will be these signatures that will be required for all subsequent charity account dealing.

'Date' – Please include the date the application form is signed.

'Full name' – Please print the above nominee company signatories' full names for our records.

5 Income and Redemption Payments

Please complete this section in order for us to pay income and redemption payments directly into the Charity Bank Account.

If Charity Bank Account details are not provided, this could lead to a delay in the payment of redemptions. Furthermore, any distributions paid by the Fund(s) shall be used to purchase further units/shares in the Fund(s) in the appropriate unit type if the Charity Bank Account details are not provided.

Bank Transfers can only be paid to the bank account of the charity and cheque's can only be paid to the registered holder of units/shares at their registered address.

Where a nominee company is the registered holder of units, we will accept the nominee company's authorisation to make BACS payments to the bank account of the charity. This is due to the units being held on behalf of the underlying charity. Cheque's would still have to be paid to the nominee company.

If income is to be paid by cheque, please contact the Schroders team to instruct this.

Please note, we are unable to make payments to any third party.

'Bank/Building Society Sort Code' – Please state the sort code for the bank or building society.

'Account Number' – Please state the bank or building society account number.

'Building Society Roll No. Type of Account' – If requesting cash be paid to a building society, we must have the roll number for the building society to identify the charity's account.

'Address & Postcode' – Please specify the address of Bank/Building Society to which payments are to be made.

'Title of Charity Account' – Please specify the name of the charity's bank/building society's account.

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6 Charity Authorised Investment Funds (CAIF) Choice

'Investment amount' – Please select an amount of money you wish to invest, which we shall invest into your chosen fund(s) at the next 4pm valuation point.

'Fund Code' – With reference to the table enclosed in the application form, please include the Fund Code of the desired Fund.

'Share Class' – With reference to the Prospectus and Key Investor Information Document, please include the desired Share Class of the Fund.

'Unit/Share Type' – With reference to the table enclosed in the application form, please include the Distribution Code of the Unit/Share Class.

Income Units/Shares

Income generated by the Fund is paid to the unitholder/shareholder in the form of a distribution.

Accumulation Units/Shares

Income generated by the Fund is reinvested back into the Fund, leading to a proportional increase in value of the accumulation units.

Distribution Units/Shares

Both income generated by the Fund and capital invested into the Fund is paid to the unitholder/shareholder in the form of a distribution.

'Amount (£) or Units' – Please state either the amount of money you would like to invest into each fund or the number of units you would like to invest in.

7 Declaration

Please ensure the declaration is signed by at least two trustees that are authorised to sign on behalf of the charity. Without a signed declaration from two trustees we will be unable to proceed with the application.

8 How to pay for your investment

On returning this form, please make payments for the full value of units invested. If paying by cheque, please enclose the cheque, with it being made payable to Schroder Unit Trust Limited. If paying by bank transfer, please contact Schroders for bank details.

Important Information The value of investments and the income from them may fall as well as rise and investors may not get back the amounts originally invested. Please be aware that as the annual management charge of the fund may be taken wholly or partly from capital, the distributable income of the fund may be higher but its capital value may be eroded. Issued by Schroder Unit Trusts Limited, 1 London Wall Place, London EC2Y 5AU. Authorised and regulated by the Financial Services Authority. 611467