

# Charity registration and declaration

## Confirmation of all holders



Please complete this declaration form in BLOCK CAPITALS in blue or black ink.

This declaration must be completed by confirming the charitable status of the charity by inserting the Charity Commission, Northern Ireland Charity, or the Scottish Charity registration number, or HM Revenue &

Customs (Charities) claims reference number. HM Revenue & Customs stipulates that the declaration must be returned within 60 days of the original posting date. Non receipt of a completed declaration within 60 days will result in the investment being void. It is the charity's responsibility to ensure that the information supplied is correct and, if it ceases to be a charity, inform M&G Securities Limited.

### 1 Your M&G reference number

### 2 Investment details

Contract date
Transaction reference
Number of units/shares

Fund name
Unit/share type

### 3 Registration, declaration and signatories details

#### How the investment is to be registered

An investment may be registered in one of three ways. Please confirm the way in which the investment is to be held by ticking the appropriate box.

☐ The name of the charity ☐ Named individuals ☐ Nominee company

#### Name of charity

As the investment is being held on behalf of a charity, please state the name of the charity in the box below.

Name of charity	(the charity)
The beneficial owner	

#### Designation (if required)

#### Declaration

I/We hereby warrant that:

1. The shares/units to which this application relates are and will at all times be held on behalf of the charity.
  - a. The income of which is applied for charitable purposes only.
  - b. The charity is registered with the Charity Commission for England and Wales, the Northern Ireland Charity or Scottish Charity register under number:

And/or it is recognised as a charity by HM Revenue & Customs (Charities) under claims reference number:

2. The charity is allowed to invest in the fund. The charity hereby indemnifies M&G Securities Limited against any liabilities and/or costs arising out of the charity ultimately being found to be ineligible.
3. The persons signing are duly authorised to sign on behalf of the charity.
4. We will inform M&G Securities Limited immediately should the charity cease to qualify under (1) or (2) above, at which time disinvestment will be required.
5. We authorise M&G Securities Limited to make payments arising from income by direct credit transfer and to make payments arising from repurchases to the charity's bank or building society account as detailed in Section 6.
6. We give our permission to M&G Securities Limited for electronic identity checks to be performed on the controllers listed overleaf.

### 3 Registration, declaration and signatories details (continued)

This warranty shall be deemed to be repeated in respect of each additional contribution to which it relates. We will also notify M&G Securities Limited in writing of any changes to the authorised signatories and shall supply details of the capacity of any new signatory along with a specimen signature.

#### Controller's personal details

First named Controller – personal details

Mr	<input type="checkbox"/>	Mrs	<input type="checkbox"/>	Miss	<input type="checkbox"/>	Ms	<input type="checkbox"/>	Other	<input type="text"/>
Forename(s)									
Surname									
Residential address									
Postcode									
Date of birth									
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>									
Signature									
Capacity									
Date									

Third named Controller – personal details (if applicable)

Mr	<input type="checkbox"/>	Mrs	<input type="checkbox"/>	Miss	<input type="checkbox"/>	Ms	<input type="checkbox"/>	Other	<input type="text"/>
Forename(s)									
Surname									
Permanent residential address									
Postcode									
Date of birth									
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>									
Signature									
Capacity									
Date									

Second named Controller – personal details (if applicable)

Mr	<input type="checkbox"/>	Mrs	<input type="checkbox"/>	Miss	<input type="checkbox"/>	Ms	<input type="checkbox"/>	Other	<input type="text"/>
Forename(s)									
Surname									
Residential address									
Postcode									
Date of birth									
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>									
Signature									
Capacity									
Date									

Fourth named Controller – personal details (if applicable)

Mr	<input type="checkbox"/>	Mrs	<input type="checkbox"/>	Miss	<input type="checkbox"/>	Ms	<input type="checkbox"/>	Other	<input type="text"/>
Forename(s)									
Surname									
Permanent residential address									
Postcode									
Date of birth									
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>									
Signature									
Capacity									
Date									

### 4 Constitution of the charity

Please tick the appropriate box below to indicate how the charity is set up:

- ☐ By Trust Deed with individual Trustees
- ☐ Unincorporated Association (normally run by elected officers)

- ☐ Limited Company
- ☐ Other (eg, Act of Parliament) – please specify in the box below

### 5 Charity address

Please provide the charity's registered address in the box below. If you would like correspondence sent to a different address, please complete the correspondence address box.

#### Registered address

Address	
Postcode	
Phone number with area code (in case of query)	
Daytime	
Evening	

#### Correspondence address

Mr	<input type="checkbox"/>	Mrs	<input type="checkbox"/>	Miss	<input type="checkbox"/>	Ms	<input type="checkbox"/>	Other	<input type="text"/>
Forename(s)									
Surname									
Address									
Postcode									
Phone number with area code (in case of query)									
Daytime									
Evening									

## 6 Income and payment details

This section should be completed should you wish income payments and/or any future repurchase payments to be paid directly to the charity's bank or building society account. M&G does not accept responsibility for the quotation of bank/building society account numbers; please ensure that you check the details of this section before you submit the application.

If you do not complete this section all payments will be made by cheque drawn in the charity's name and sent to the address that we hold for correspondence.

We do not make payments to third parties; please see the guide for further details.

Bank or building society name	Bank/building society account number
Address	
	Branch sort code
Postcode	
Bank/building society account name	Building society reference/roll number (if applicable)

## 7 Marketing Preferences

We would like to let you know about M&G investment products and services that we think would be of interest to you. However, we will only contact you if you consent by ticking the boxes below to indicate how you would like us to contact you about our investment products and services and promotional offers.

You can withdraw your consent at any time by contacting us or use the "Unsubscribe" option in any of our marketing electronic communications (although this will not affect the lawfulness of any past activities we have undertaken based on the previous consent). It can take a short time for any updates to be applied to our systems, so you may still receive marketing messages while this is happening. We will continue to use your contact details for non-marketing messages such as statements, changes to terms and conditions and as required by law.

### Your marketing preferences

I am happy for M&G group to contact me in the following ways about its investment products and services and promotional offers that may be of interest to me:

Email ☐ Phone ☐ Post ☐

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## 8 Data Protection & Privacy

For how and why we process your data refer to the Data Privacy Notice attached to the Charities application form.

## 9 Money laundering

As a result of legislation in force in the United Kingdom to prevent money laundering, firms conducting investment business are responsible for compliance with money laundering regulations. In certain circumstances, investors may be asked to provide proof of identity when buying or selling units. Normally this will not result in any delay in carrying out instructions but, should M&G Securities Limited request additional information, this may mean that instructions will not be carried out until the information is received. In these circumstances, M&G may refuse to issue or redeem shares, release the proceeds of redemption or carry out such instructions.

## ! Returning your form

Please send your completed application form to:

**M&G Charity Department, PO Box 9038, Chelmsford CM99 2XF**

## ... How to contact us

Call us

 **0800 917 4472**

We are open 09:00 to 17:00, Monday to Friday.  
For your security and to improve the quality of our service, we may record and monitor telephone calls.

Email us\*

 **info@mandg.co.uk**

\*Please note that information contained within an email cannot be guaranteed as secure.

We advise that you do not include any sensitive information when corresponding with M&G in this way.

Visit our website

 **www.mandg.co.uk/charities**



## Guide for the completion of the charity registration and declaration form

If you wish to discuss any of the details within this guide, please contact the **Charities Helpline** on **0800 917 4472**.

### 1. Your M&G reference number

This information is available on the Contract Note sent out with this registration and declaration form.

### 2. Investment details

This information should be completed where the investment was made via the telephone and you have received a Contract Note relating to the deal with this registration and declaration form.

### 3. Registration, declaration and signatories details

#### How the investment is to be registered

A charity may choose to have their investment registered in one of three ways:

- a. **The name of the charity** – where this option is chosen, the charity itself will be the registered holder and documents should be executed in accordance with its constitution.
- b. **Named individuals** – where this option is chosen, the charity may choose from between two to four individuals to be recorded as the registered holders for the charity. These named individuals will hold the investment on behalf of the charity and we will correspond directly with the first named individual.
- c. **Nominee company** – where this option is chosen, the nominee company is the registered holder and holds the investment on behalf of the charity.

#### Name of charity

This section must be completed.

- a. Where the investment is registered in **The name of the charity** – the details provided within this section will be used as the registration details. The beneficial owner section should only be used where, for example, the 'ABC Charitable Trust Limited' holds investments on behalf of a number of charities, including the 'DEF Memorial Fund'. In this example, insert 'ABC Charitable Trust Limited' as the name of the charity and 'DEF Memorial Fund' in the beneficial owner box.
- b. Where the investment is registered in the name of **Named individuals** – the name of the charity itself must be provided here.
- c. Where the investment is registered in the name of a **Nominee company** – the name of the charity itself must be provided here.

#### Declaration

In signing this application you are agreeing to all of the declarations and you should note the following:

- Any purported investment by an organisation that has not been accepted as a charity will be void.
- If the charity ceases to be accepted as a charity by the Charity Commission, the Charity Commission for Northern Ireland, or the office of the Scottish Charity Regulator, or HM Revenue & Customs (Charities), it will have to redeem its units or transfer its units to another participating charity.
- This application is subject to audit by HM Revenue & Customs (Charities).
- Please supply either your Charity Commission registration number, Northern Ireland Charity, or Scottish Charity registration number or HM Revenue & Customs (Charities) claims reference number. Charities in England and Wales that are unable to trace their Charity Commission number should check the register of charities at: [www.charitycommission.gov.uk/registeredcharities/first.asp](http://www.charitycommission.gov.uk/registeredcharities/first.asp)
- Charities in Scotland that are unable to trace their Scottish Charity number should check the Scottish Charity register at [www.oscr.org.uk/TheRegister.stm](http://www.oscr.org.uk/TheRegister.stm)

Charities not on the Charity Commission, Northern Ireland Charity, or Scottish Charity register should contact HM Revenue & Customs (Charities), St John's House, Merton Road, Bootle, Merseyside L69 9BB. Tel: 08453 020203.

#### Controller details

The 'controllers' are the individuals who will be giving instructions to M&G to deal with the holding. We would normally expect there to be at least two controllers and no more than four controllers. Please notify M&G of any subsequent changes of controllers. Where possible, please include personal details rather than business details to ensure timely processing.

Where the investment is to be held in the name of the charity or by named individuals, each controller must give their details in the boxes provided. Their capacity must be stated – this might be, for example, 'Treasurer', 'Trustee', 'Director' etc.

If the holding is to be in the name of a nominee company, please state the nominee company name and address in the 'first named controller' box and an authorised signatory of that company should sign in the box, stating their capacity eg 'Director'.

Where the investment is to be held in the name of a nominee company a designation must be provided. Under an agreement that M&G have with HM Revenue & Customs (Charities), M&G is not permitted to 'pool' different charity investments that are held by the same nominee company.

### 4. Constitution of the charity

This section should only be completed where the investment is to be registered in the name of the charity.

Money laundering regulations require M&G to see documentary evidence of how the charity is constituted. If set up by a Trust Deed, this should be the Trust Deed, together with any subsequent Deeds dealing with changes of Trustees. If the charity is a Limited Company, M&G will need to see its Memorandum and Articles of Association. If the charity is an unincorporated association, it will normally have a written constitution. If the charity is set up in any other way or you have any queries as to what documents you should provide, please contact the **Charities Helpline** on **0800 917 4472** to discuss.

Copies of governing documents will be acceptable provided that they have been certified as true and complete copies of the originals on every page by an appropriate official of the charity.

### 5. Charity address

This section should be completed with the charity's registered address. If correspondence should be sent to an alternative address, please complete the correspondence address box.

### 6. Income and payment details

M&G does not make third party payments.

However a payment can be made to another UK financial institution.

If payment by telegraphic transfer is required, M&G reserves the right to make a charge on each such occasion (the fee is currently £20). A telegraphic transfer can only be made to a bank or building society account held in the charity's name and M&G will need to see documentary evidence of this before any such payment can be made. A recent bank or building society statement confirming the account details will normally be acceptable. The statement must be an original.