Company, Charity and Society Application Form

You should use this form to open an account for a company, charity or other organisation specified in section 1, to invest in funds and Exchange Traded Instruments (ETIs) on the Fidelity platform. ETIs include UK shares, European Crest Depository Interests (CDIs), Exchange Traded Funds (ETFs) and Investment Trusts.

How to fill in this form:

- Please use black ink and write clearly inside the boxes provided using capital letters
- Mark your answers with a cross in the appropriate box like this: ☒
- If you make a mistake, please correct it but don't use correction fluid
- Any applications that are not completed correctly, may incur delays or could be returned to you

What you need to know about setting up this account:

- The account will be registered in the name of the Company, Charity or Society
- Please provide documents from the relevant checklist to us, along with the completed application form. The supporting documents need to be either original or certified copies.
- We may contact you for further documents once we have reviewed your application.
- Please return all pages; even if some of the sections have not been relevant to you.

Who can make payments:

- We only accept payment from the Company, Charity or Society bank account

What's next?

Please send your completed application form to:

Fidelity
PO Box 391
Tadworth, KT20 9FU

Checklist for companies

☐ The names and dates of birth of all directors and Chairperson/CEO/CFO. The names and positions of the people who sign the application form.

☐ Verification for shareholders who own more that 25%. Where there is no shareholder with more that 25%, we need to verify the Senior Management Officials for the company, a list of names can be sent by letter on company letterhead with verification for each.

☐ A board resolution or equivalent detailing the powers/authority of each of the authorised signatories. We additionally need a signatory list with names and specimen signatures. For some companies, this could be the same document, either a board resolution or signatory list, but must fulfil both requirements: specific powers/ authority and specimen signatures.

Checklist for charities

☐ A certified original governing document (for example, a Trust Deed or Rules)

☐ Verification for all trustees or officers of the charity. Where there is a substantial number of trustees or officers (e.g. above 5), we will accept a list of people with day to day operational control signed by one of the trustees or officers and need to verify these individuals. We still need names and dates of birth for all trustees or officers.

☐ If the charity is set up as a trust and the settlor is alive, we need to verify them. Also, if there is a significant donor and they are still alive, we need to verify them.

☐ A board resolution or equivalent detailing the powers/authority of each of the authorised signatories. We additionally need a signatory list with names and specimen signatures. For some charities, this could be the same document, either a board resolution or signatory list, but must fulfil both requirements: specific powers/ authority and specimen signatures

Checklist for other entities or organisations specified

☐ Please contact us on 0800 414161 to discuss what documentation may be required.

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1 About the organisation

Confirm which type of entity your organisation is by marking an X to the relevant box

☐ Company ☐ Charity ☐ Society

☐ A Limited Liability Partnership (LLP) ☐ Government Body ☐ International Bond Provider

Name of the Organisation

Companies House Registration number
(Required also for Incorporated Charities and Societies)

OR

Charity registration number

Registered address of the Organisation (Care' and PO Box are not acceptable. Only UK addresses are eligible)

Postcode

New account designation - optional (This can help you identify the account)

Legal Entity Identifier (LEI)

You will need to give us a Legal Entity Identifier (LEI) if you are going to buy, sell or switch into or out of Exchange Traded Instruments (ETIs). An LEI is a unique identifier for legal entities or companies, charities, and societies, it helps to clearly identify the entity and is a regulatory reporting requirement when trading in ETIs. It displays amongst other attributes, the legal name of an entity, the registration number, legal jurisdiction, as well as contact details such as the legal address the entity. For information on how to apply for an LEI, please go to fca.org.uk and search for 'LEI update'. Fidelity will always use the LEI for reporting purposes companies and charities.

2 Tax Residency

2.1

If your organisation has more than one country of tax residency, please duplicate this section for each country.

Tax Residency

Tax identification number (TIN)

Additional tax Residency

Additional tax identification number

Additional tax Residency

Additional tax identification number

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2 Tax Residency (continued)

If your organisation does not have a TIN, please select one of the reasons below.

☐ The relevant jurisdiction does not issue TINs

☐ The account holder has not been issued with a TIN

☐ Domestic law of the tax jurisdiction does not allow collection of the TIN

☐ Other

2.2

If the country in box 2.1 is USA and the organisation is not a Specified US Person, please tick this box ☐

3 Organisation's classification under FATCA and CRS

3.1

Please mark and X only one box in the below table. This is in reference to the tax residency stated in box 2.1

	FATCA Classification	**CRS Classification**	
3.1	Participating Financial Institution / Registered Deemed Compliant Financial Institution or IGA Reporting Financial Institution	Financial Institution	☐
3.2	Certified Deemed Compliant Financial Institution / Excepted Financial Institution or IGA Non Reporting Financial Institution	Financial Institution	☐
3.3	Sponsored Financial Institution	Financial Institution	☐
3.4	Financial Institution resident in the USA or in a US Territory	Financial Institution	☐
3.5	Non-Participating Foreign Financial	Financial Institution	☐
3.6	Exempt Beneficial Owner – Government or international organisation	Active Non-Financial Entity which is a Governmental Entity or International organisation	☐
3.7	Exempt Beneficial owner – recognised Pension scheme or plan	Financial Institution	☐
3.8	Active Non-Financial Entity which is regularly traded on an established securities market or affiliated thereto	Active Non-Financial Entity which is regularly traded on an established securities market or affiliated thereto	☐
3.9	Non-profit organisation	Active Non-Financial Entity (other than those listed in 3.6 or 3.8 above)	☐
4.0	Active Non-Financial Entity (other than 3.8)	Active Non-Financial Entity (other than those listed in 3.6, 3.8 or 3.9 above)	☐
4.1	Passive Non-Financial Entity (If you tick this box, please include individual self-certification forms for your US Controlling Persons)	Passive Non-Financial Entity (If you tick this box, please include individual self-certification forms for your Controlling Persons)	☐

3 Organisation's classification under FATCA and CRS (continued)

If you have ticked boxes 3.1 or 3.3 in the table above, please complete your GIIN below

If the GIIN provided above is issued in the name of your sponsor, please provide your sponsors name as shown on the IRS list

Only mark an X in the box if you are a Managed Investment Entity outside of a CRS Participating Jurisdiction. If this box is marked, please include individual self-certification forms for your Controlling Persons ☐

4 Your contribution choices

- We use Fund code to determine your investment; please complete in capital letters. For details of all investment options, fund codes and ISIN codes at fidelity.co.uk/ funds
- If investing on our new platform, for ETIs, we will only trade full shares; any cash that is left over from a trade will be held within your account. In some instances, you may receive less that your requested amounts, should the share price change while your instruction is being processed
- If you wish to deal on ETIs, please ensure you have provided us with an LEI in this application form
- There are specific charges related to dealing on an ETI; please refer to our website or our Client Terms for more information

4.1 Lump sum contribution

- Minimum investments for lump sum is £1,000

How do I make payment?

☐ Cheque/banker's draft – must be made payable to Fidelity and include the account holder's name. E.G. "Fidelity re: account holder's name". In addition, for banker's drafts and building society cheques, the reverse of the draft/cheque must contain the details of the original account debited including the full name, account number and sort code and must be endorsed with the bank's official stamp.

☐ Bank transfer (including faster payments) – please complete the originating bank details below. We will contact you to arrange the payment

Your bank details:

If you're looking to make an electronic payment, please confirm where the payment will be made from;

Bank name

Account holder name

Account number

Sort code

Contact details for arranging the payment

Title

☐ Mr ☐ Mrs ☐ Ms Other:

Surname

First name

Telephone number

Email address

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4 Your contribution choices (continued)

4.2 Regular savings plan

Total amount for your contribution
(the amount you wish to invest on a regular basis)

£ ☐☐☐☐☐☐☐.☐☐

- Minimum amount for your regular savings plan is £25
- We require 12 working days to set up or amend any RSP from receipt of the application
- Please select the date you wish the collection for your RSP to take place. Please note that the first collection may be in the following month depending on your selection

☐ 1st ☐ 10th ☐ 17th ☐ 25th

- Please select the frequency of the collections. Please note that the first collection may be in the following month depending on your selected collection date.

☐ Monthly ☐ Quarterly ☐ Bi-Annually ☐ Annually

Fidelity INTERNATIONAL

Instruction to your bank or building society to pay by Direct Debit

DIRECT Debit

Please fill in the whole form using a ballpoint pen and send to:
Fidelity, PO Box 391, Tadworth, KT20 3FU.

Name and full postal address of your bank or building society

To: The Manager — Bank/building society

Address

Postcode

Name(s) of account holder(s)

Bank/building society account number

Branch sort code

Service User Number

4	4	6	1	3	8

Reference

Instruction to your bank or building society
Please pay Financial Administration Services Ltd Direct Debits from the account detailed in this instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this instruction may remain with Financial Administration Services Ltd and, if so, details will be passed electronically to my bank/building society.

Signature(s)

Date

Banks and building societies may not accept Direct Debit instructions for some types of account

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4 Your contribution choices (continued)

FUND CODE / ISIN / SEDOL	FUND NAME	LUMP SUM (£)	REGULAR SAVINGS (%)
PCA	CASH		

Total Investment Amount (£)

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Initial Fee Amount (£)

Total Amount (£)
(This is the total of the investment amount and the initial fee amount)

Investments made into Cash will be made into the cash holding within the account

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5 Your income choices

If you have chosen income bearing investments, please choose how you would like your income to be paid.

☐ The income should be reinvested. I understand that small sums may be paid to cash within my account where a reinvestment cannot be made

☐ The income should be paid to cash within the account

☐ The income should be paid to the bank account provided in this section, and payments made on the payment date and frequency as detailed below

Frequency when I wish to receive payment

☐ Monthly ☐ Quarterly ☐ Bi-Annually ☐ Annually

Date when I wish to receive payment; the payment will be made on or around the selected date

☐ 1st ☐ 10th ☐ 17th ☐ 25th

Bank name

Account holder name

Account number

Sort code

Building society collection account number

With some building society accounts, we need your roll number, as well as the eight-digit collection account number. If you are in any doubt as to which numbers to give us, please ask your building society.

If no selection is made, the income will be treated by a default choice; this will depend whether you are investing directly with us or you are an adviser making an investment on behalf of your client.

- If you are investing directly, the income will be paid to the cash within your account
- If you are investing through an adviser, the income will be reinvested

6 Intermediary details (if applicable)

Company stamp

Unique Adviser Number

FCA number

I confirm that I am registered with the FCA to conduct business and my authorisation number is:

If you wish to set up an Adviser Ongoing Fees or Discretionary Fund Manager Ongoing Fees you can do this online.

Intermediary signature

Date signed **(DDMMYYYY)**

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7 Declaration and signature

- I/We understand that the information I/we provide on this application form will be processed in accordance with Fidelity's privacy statement, a link to which is contained in the Fidelity Client Terms or the "Your personal information" section of the Fidelity Adviser Solutions Client Terms (as applicable). I/We understand that such information will be held in confidence and not passed to any company other than as outlined without my/our permission or unless required by law
- If the application is made on behalf of a Limited Liability Partnership (LLP), I/We declare that none of the partners are US citizens, are not resident in the US and do not have an obligation to pay tax to the US tax authorities on their worldwide income.
- I/We confirm that, if the application relates to a company, the assets within the account are legally and beneficially owned by the company.
- The information I/we have given is correct to the best of my knowledge, and I/We will tell Fidelity immediately if any of it changes.
- I/We have read and agree the latest Fidelity Client Terms or the Fidelity Adviser Solutions Client Terms (as applicable)
- I/We I have read and agree the latest Key Features Document, either Doing Business with Fidelity or Doing Business with Fidelity Adviser Solutions (as applicable)
- I/We have read the latest the key information document or product summary
- I/We have read the illustration document
- I/we confirm that I/we have provided the information required in the relevant checklist
- I/We agree to provide Fidelity with written details of future changes of individuals identified in connection with this application together with specimen signatures
- All payments made to this account are owned by the company, charity or society named in this application.

We need the signatures of two authorised signatories, unless the signatory list states that one is enough.
Please provide an up-to-date signatory list with this form.

FIRST CORPORATE BODY SIGNATURE

✘ ✘

FIRST CORPORATE BODY PRINT NAME

SECOND CORPORATE BODY SIGNATURE

✘ ✘

SECOND CORPORATE BODY PRINT NAME

Date signed

2 0 **(DDMMYYYY)**

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