

# DONOR-ADVISED FUND APPLICATION

**INSTRUCTIONS:** This Application is the initial step in establishing a donor-advised fund (DAF) with NPT Transatlantic. Please provide information about yourself and others who will be responsible for the DAF. The completed DAF Application, Gift Aid Declaration (if applicable), and scanned copies of the passports of the Primary, Joint and Secondary Advisors (if you tick Full Access) should be returned to forms@nptransatlantic.org.

## 1 DONOR-ADVISED FUND NAME

Choose a name for the DAF. You may name it for yourself (e.g., "The John Smith Foundation"), for your family (e.g., "The Smith Family Charitable Trust"), in memory of someone, or for a particular charitable purpose (e.g., "Save the Rain Forests Charitable Fund").

DONOR-ADVISED FUND NAME

## 2 ACCOUNT CURRENCY

Choose the account currency for the DAF:  GBP  USD  Both GBP and USD

Each NPT Transatlantic donor-advised fund includes a GBP account and a USD account. If GBP is chosen above, the GBP account will be the principal account and any contributions received in USD will be transferred to the GBP account. If USD is chosen above, the USD account will be the principal account and any contributions received in GBP (including Gift Aid) will be transferred to the USD account. If you choose both, we understand that you wish to accumulate balances in both the GBP and USD accounts. GBP contributions will remain in the GBP account and USD contributions will remain in the USD account. If you choose both, standard charitable administration fees apply to each account.

## 3 PRIMARY AND JOINT ADVISORS

### PRIMARY ADVISOR (REQUIRED)

Identify the Primary Advisor for the DAF. The Primary Advisor is typically the primary donor—the owner of the assets being donated to establish the account. The Primary Advisor has the authority to recommend grants and investment allocations, name and remove Joint Advisors, Secondary Advisors, Successors and Charitable Beneficiaries in the Succession Plan. All correspondence regarding the Donor-Advised Fund account will be sent to the Primary Advisor. The Primary Advisor will have online access to the account.

NAME (TITLE, FIRST, MIDDLE INITIAL, LAST)

STREET ADDRESS

CITY STATE (US ONLY) POSTAL CODE

COUNTRY

EMAIL (REQUIRED FOR ONLINE ACCESS)

TELEPHONE NUMBER (REQUIRED FOR ONLINE ACCESS)

### JOINT ADVISOR (OPTIONAL)

The Primary Advisor may name an individual (such as a spouse, family member, friend, or other) as Joint Advisor to the DAF. The Joint Advisor will have full and equal privileges to recommend grants and investment allocations, name and remove Secondary Advisors, Successors and Charitable Beneficiaries in the Succession Plan. The Joint Advisor will also have online access to the account.

NAME (TITLE, FIRST, MIDDLE INITIAL, LAST)

STREET ADDRESS

CITY STATE (US ONLY) POSTAL CODE

COUNTRY

EMAIL (REQUIRED FOR ONLINE ACCESS)

TELEPHONE NUMBER (REQUIRED FOR ONLINE ACCESS)

## 4 SECONDARY ADVISOR(S)

Name one or more Secondary Advisors if you wish. Secondary Advisors may recommend grants and investments. Secondary Advisors cannot name advisors or successors. They may have the same ability to recommend grants and investments as you do. Secondary Advisors will not succeed the Primary or Joint Advisors unless they are also named as a Successor Advisor on this Application. Secondary Advisors can be given read-only access or full access to recommend investment allocations and grants.

### SECONDARY ADVISOR (OPTIONAL)

NAME (TITLE, FIRST, MIDDLE INITIAL, LAST)

STREET ADDRESS

CITY STATE (US ONLY) POSTAL CODE

COUNTRY

EMAIL (REQUIRED FOR ONLINE ACCESS)

TELEPHONE NUMBER (REQUIRED FOR ONLINE ACCESS)

Read-only access: permits Secondary Advisor to view DAF information online  
Full access: permits Secondary Advisor to recommend investment allocations and grants

### SECONDARY ADVISOR (OPTIONAL)

NAME (TITLE, FIRST, MIDDLE INITIAL, LAST)

STREET ADDRESS

CITY STATE (US ONLY) POSTAL CODE

COUNTRY

EMAIL (REQUIRED FOR ONLINE ACCESS)

TELEPHONE NUMBER (REQUIRED FOR ONLINE ACCESS)

Read-only access: permits Secondary Advisor to view DAF information online  
Full access: permits Secondary Advisor to recommend investment allocations and grants

# DONOR-ADVISED FUND APPLICATION

## 5 SUCCESSION PLAN

You may name individuals as Successor Advisors to succeed the Primary and Joint Advisors upon their death and/or you may name Charitable Beneficiaries to receive DAF assets following the death of the Primary and Joint Advisors. You may name Successor Advisors on the existing DAF or instruct that new DAFs be created for Successor Advisors. **THE COMBINED PERCENTAGE ALLOCATION MUST TOTAL 100%**

5a  % TO BE RETAINED IN EXISTING DAF

### SUCCESSOR ADVISOR

NAME (TITLE, FIRST, MIDDLE INITIAL, LAST)

STREET ADDRESS

CITY STATE (US ONLY) POSTAL CODE

COUNTRY EMAIL

TELEPHONE NUMBER YEAR OF BIRTH (YYYY)

### SUCCESSOR ADVISOR

NAME (TITLE, FIRST, MIDDLE INITIAL, LAST)

STREET ADDRESS

CITY STATE (US ONLY) POSTAL CODE

COUNTRY EMAIL

TELEPHONE NUMBER YEAR OF BIRTH (YYYY)

5b  % TO BE ALLOCATED IN A NEW DAF  
Each new DAF must be funded with £50,000 or \$80,000.

### SUCCESSOR ADVISOR

NAME (TITLE, FIRST, MIDDLE INITIAL, LAST)

STREET ADDRESS

CITY STATE (US ONLY) POSTAL CODE

COUNTRY EMAIL

TELEPHONE NUMBER YEAR OF BIRTH (YYYY)

% TO BE ALLOCATED IN A NEW DAF  
Each new DAF must be funded with £50,000 or \$80,000.

### SUCCESSOR ADVISOR

NAME (TITLE, FIRST, MIDDLE INITIAL, LAST)

STREET ADDRESS

CITY STATE (US ONLY) POSTAL CODE

COUNTRY EMAIL

TELEPHONE NUMBER YEAR OF BIRTH (YYYY)

## 5c CHARITABLE BENEFICIARIES

Designate one or more charities to receive a lump-sum grant at the time of Succession Plan activation. If a charitable beneficiary is not eligible to receive a grant at the time of Succession Plan activation, designated assets will be reallocated among the remaining charities.

% TO BE ALLOCATED TO A CHARITABLE BENEFICIARY

### CHARITABLE BENEFICIARY

CHARITY NAME

STREET ADDRESS

CITY STATE (US ONLY) POSTAL CODE

COUNTRY CHARITY NUMBER (EIN FOR US CHARITY)

TELEPHONE NUMBER

% TO BE ALLOCATED TO A CHARITABLE BENEFICIARY

### CHARITABLE BENEFICIARY

CHARITY NAME

STREET ADDRESS

CITY STATE (US ONLY) POSTAL CODE

COUNTRY CHARITY NUMBER (EIN FOR US CHARITY)

TELEPHONE NUMBER

% TO BE ALLOCATED TO A CHARITABLE BENEFICIARY

### CHARITABLE BENEFICIARY

CHARITY NAME

STREET ADDRESS

CITY STATE (US ONLY) POSTAL CODE

COUNTRY CHARITY NUMBER (EIN FOR US CHARITY)

TELEPHONE NUMBER

% TO BE ALLOCATED TO A CHARITABLE BENEFICIARY

### CHARITABLE BENEFICIARY

CHARITY NAME

STREET ADDRESS

CITY STATE (US ONLY) POSTAL CODE

COUNTRY CHARITY NUMBER (EIN FOR US CHARITY)

TELEPHONE NUMBER

# DONOR-ADVISED FUND APPLICATION

## 6 CONTRIBUTION ASSET INFORMATION

Please indicate the type(s) and the amount of your gift. For specific bank transfer/wire transfer instructions, please see the document *How to Make a Contribution* or contact NPT Transatlantic.

Identify the registered owner of the assets being donated.  
 Primary Advisor only                      Joint Advisor only

### CASH

#### If gifting cash:

Bank Transfer/Wire                      Other (contact NPT Transatlantic)

£ \_\_\_\_\_  
 AMOUNT OF TRANSFER (GBP)

\$ \_\_\_\_\_  
 AMOUNT OF TRANSFER (USD)

ACCOUNT NAME AT TRANSFERRING INSTITUTION

ACCOUNT NUMBER AT TRANSFERRING INSTITUTION (OPTIONAL)

TRANSFERRING INSTITUTION

COUNTRY OF TRANSFERRING INSTITUTION

#### If gifting cash from another donor-advised fund or charitable entity:

Bank Transfer/Wire                      Other (contact NPT Transatlantic)

£ \_\_\_\_\_  
 AMOUNT OF TRANSFER (GBP)

\$ \_\_\_\_\_  
 AMOUNT OF TRANSFER (USD)

ACCOUNT NAME AT TRANSFERRING INSTITUTION

ACCOUNT NUMBER AT TRANSFERRING INSTITUTION (OPTIONAL)

### SHARES AND OTHER PUBLICLY TRADED SECURITIES

If gifting shares or other securities, please complete the section below.

Check all that apply:

There are restrictions on the disposal of shares.

The shares being contributed are listed on a public exchange and you are or have been in the last 90 days a corporate officer, director or other executive of the stock issuer, or a member of the controlling group or otherwise an affiliate of the stock issuer for the securities.

The shares being contributed are listed on a U.S. exchange and the securities are restricted or control securities and subject to: Rule 144, 144A, 145, 701 or Regulation S of the U.S. Securities Act of 1993, as amended, an effective registration, and/or any contractual limitation.

If you check any of the above, please also indicate "Restricted Control" next to the specific security below and please contact NPT Transatlantic.

NAME OF SECURITY

SYMBOL/SEDOL/CUSIP/ISIN                      NUMBER OF SHARES/UNITS

NAME OF TRANSFERRING INSTITUTION

COUNTRY OF TRANSFERRING INSTITUTION

ACCOUNT NAME AT TRANSFERRING INSTITUTION

RESTRICTED CONTROL    YES

NAME OF SECURITY

SYMBOL/SEDOL/CUSIP/ISIN                      NUMBER OF SHARES/UNITS

NAME OF TRANSFERRING INSTITUTION

COUNTRY OF TRANSFERRING INSTITUTION

ACCOUNT NAME AT TRANSFERRING INSTITUTION

RESTRICTED CONTROL    YES

NAME OF SECURITY

SYMBOL/SEDOL/CUSIP/ISIN                      NUMBER OF SHARES/UNITS

NAME OF TRANSFERRING INSTITUTION

COUNTRY OF TRANSFERRING INSTITUTION

ACCOUNT NAME AT TRANSFERRING INSTITUTION

RESTRICTED CONTROL    YES

NAME OF SECURITY

SYMBOL/SEDOL/CUSIP/ISIN                      NUMBER OF SHARES/UNITS

NAME OF TRANSFERRING INSTITUTION

COUNTRY OF TRANSFERRING INSTITUTION

ACCOUNT NAME AT TRANSFERRING INSTITUTION

RESTRICTED CONTROL    YES

### GIFTS OF OTHER TYPES OF ASSETS

Other types of gifts may include property, alternative investments (hedge fund or private equity interests), and other types of privately-held assets. Please contact NPT Transatlantic for assistance.

DESCRIPTION OF ASSET

# DONOR-ADVISED FUND APPLICATION

## 7 INVESTMENT ALLOCATION

Primary, Joint, and authorised Secondary Advisors may recommend an investment allocation by completing this section. If no percentage is indicated, the assets will be held in cash (non-interest bearing). If you wish to change your investment allocation, you can do so by submitting a new Investment Allocation form.

### FOR DONOR-ADVISED FUNDS IN GBP

**Option 1:** Allocate assets among any of the third party investment funds below. The total asset allocation must equal 100%.

FUNDS		TICKER	ISIN	FEE*	PERCENT ALLOCATION
Vanguard FTSE 100 ETF	GBP	VUKE	IE00B810R511	0.15%	%
UBS MSCI ACWI	GBP	ACGUKE	IE00BYVDRF92	0.15%	%
iShares Core UK Gilts	GBP	IGLT	IE00B1FZSB30	0.15%	%
UBS ETF Barclays US Corp	GBP	CBUSH	LU1048317298	0.15%	%
UBS (Irl) Select Money Market Fund	GBP	n/a	IE00BWWCQ766	0.15%	%
Cash (non-interest bearing)	GBP	n/a	n/a	–	%
IMPACT INVESTMENT OPTIONS					
UBS ETF (IE) MSCI UK IMI Socially Responsible UCITS	GBP	UKSR	IE00BMP3HN93	0.15%	%
UBS ETF (IE) MSCI ACWI Socially Responsible Hedged GBP UCITS	GBP	AWSG	IE00BDR55B48	0.15%	%
UBS ETF (IE) Global Gender Equality Hedged GBP UCITS	GBP	GENG	IE00BDR5H297	0.15%	%
					<b>TOTAL 100%</b>

\* By third-party investment manager, in addition to fund fees (see factsheets).

**Option 2:** Allocate assets among any of the single manager actively managed diversified model portfolios below. There is a £100,000 minimum investment in each model portfolio. The total asset allocation must equal 100%.

MODEL PORTFOLIOS		FEE*	PERCENT ALLOCATION
UBS Global Balanced Fund	GBP	0.70%	%
UBS Global Equity Fund	GBP	0.70%	%
UBS Global Growth Fund	GBP	0.70%	%
UBS Fixed Income Fund	GBP	0.40%	%
Cash (non-interest bearing)	GBP	–	%
			<b>TOTAL 100%</b>

\* By third-party investment manager (factsheets available).

**Option 3 | Bespoke Investment Request:** £500,000 minimum required. For DAF accounts greater than £500,000, the Primary, Joint or authorised Secondary Advisors may recommend a third-party investment manager to create a bespoke portfolio to help you meet your philanthropic goals, subject to the approval of NPT Transatlantic. Please submit a Bespoke Investment Request.

### FOR DONOR-ADVISED FUNDS IN USD

**Option 4:** Allocate assets among any of the third party investment funds below. The total asset allocation must equal 100%.

FUNDS		TICKER	ISIN	FEE*	PERCENT ALLOCATION
iShares Core S&P 500	USD	CSSPX	IE00B5BMR087	0.15%	%
SPDR S&P 400 US Mid Cap ETF	USD	SPY4	IE00B4YBJ215	0.15%	%
UBS MSCI ACWI	USD	ACWIU	IE00BYM11J43	0.15%	%
iShares \$ Treasury Bond 7-10 year	USD	IBTM	IE00B1FZS798	0.15%	%
UBS ETF Barclays US Corp	USD	CBUS	LU1048316647	0.15%	%
UBS (Irl) Select Money Market Fund	USD	n/a	IE00BWWCPJ19	0.15%	%
Cash (non-interest bearing)	USD	n/a	n/a	n/a	%
IMPACT INVESTMENT OPTIONS					
UBS ETF – MSCI World Socially Responsible	USD	WSRUSA	LU0629459743	0.15%	%
					<b>TOTAL 100%</b>

\* By third-party investment manager, in addition to fund fees (see factsheets).

## 7 INVESTMENT ALLOCATION (CONTINUED)

**Option 5:** Allocate assets among any of the singular manager actively managed diversified model portfolios below. There is a \$100,000 minimum investment in each model portfolio. The total asset allocation must equal 100%.

MODEL PORTFOLIOS		FEE*	PERCENT ALLOCATION
UBS Balanced	USD	0.70%	%
UBS Equities	USD	0.70%	%
UBS Growth	USD	0.70%	%
UBS Yield	USD	0.70%	%
Cash (non-interest bearing)	USD	–	%
			<b>TOTAL 100%</b>

\* By third-party investment manager (factsheets available).

**Option 6 | Bespoke Investment Request:** \$800,000 minimum required. For DAF accounts greater than \$800,000, the Primary, Joint or authorised Secondary Advisors may recommend a third-party investment manager to create a bespoke portfolio to help you meet your philanthropic goals, subject to the approval of NPT Transatlantic. Please submit a Bespoke Investment Request.

## 8 GIFT AID DECLARATION

When a cash gift is made to NPT Transatlantic, the gift of cash may be eligible for Gift Aid relief in the UK. To qualify for Gift Aid relief, the donor must pay enough UK tax (income tax, capital gains tax, Remittance Basis Charge) in each tax year to cover the amount of Gift Aid relief that all charities claim on the donor's behalf for that tax year. As a registered UK charity, NPT Transatlantic is eligible to claim Gift Aid on eligible cash contributions. The reclaimed Gift Aid will be added to the Donor-Advised Fund account once received. Gift Aid may only be claimed on new donations to charity. Please consult a tax advisor if uncertain.

If relevant, donors should complete a *Gift Aid Declaration* form.

## 9 ACKNOWLEDGEMENT OF TERMS

I acknowledge and agree that the DAF is offered pursuant to the terms and conditions contained in the NPT Transatlantic Donor-Advised Fund Reference Guide. I acknowledge and agree that any contribution is an irrevocable charitable donation when received and accepted by NPT Transatlantic, and NPT Transatlantic retains exclusive legal control over the contributed assets. Furthermore, I understand and agree that NPT Transatlantic has the final approval over any grant and investment allocation recommendations. In accordance with Know Your Client/Anti-Money Laundering procedures, NPT Transatlantic will obtain and verify information that identifies each person who makes a contribution to a donor-advised fund. I hereby certify that, to the best of my knowledge, all information presented in connection with this Application is accurate, and I will promptly notify NPT Transatlantic in writing of any changes.

**Primary Advisor and Joint Advisor, if applicable, are required to sign below.**

PRIMARY ADVISOR SIGNATURE

DATE (DD/MM/YYYY)

NAME (PRINT)

JOINT ADVISOR SIGNATURE

DATE (DD/MM/YYYY)

NAME (PRINT)

## DOCUMENTATION REQUIRED

- Donor-Advised Fund Application (this form)
- Scanned copy of the passports of the Primary and Joint/Secondary Advisors (if you tick Full Access)
- Gift Aid Declaration (for UK individual taxpayers, if applicable)
- Bespoke Investment Request (if applicable)

## RETURN TO [forms@nptransatlantic.org](mailto:forms@nptransatlantic.org)

For more information | [enquiries@nptuk.org](mailto:enquiries@nptuk.org) | +44 (0)800 133 7540 | [www.nptuk.org](http://www.nptuk.org)