

## Basic Fund Information

This fund is established by and between

\_\_\_\_\_ (donor(s))

and the Catholic Community Foundation (the Foundation).

## Fund Name

The \_\_\_\_\_

## Establishing Donor(s)

Name: \_\_\_\_\_ D.O.B.: \_\_\_\_\_

Email: \_\_\_\_\_ Cell Phone: \_\_\_\_\_

Name 2: \_\_\_\_\_ D.O.B.: \_\_\_\_\_

Email 2: \_\_\_\_\_ Cell Phone 2: \_\_\_\_\_

Address: \_\_\_\_\_

Home Phone: \_\_\_\_\_

## Initial Donation

The initial gift to establish the fund is \$ \_\_\_\_\_

Check     Credit Card/EFT     Securities (instructions available)

Other: \_\_\_\_\_

**NOTE:** Please contact our office prior to sending money or transferring securities. See Terms & Conditions for minimums.

Please select one below (subject to minimums):

- Begin Grant Distributions Immediately
- Begin Grant Distributions when the balance reaches \$ \_\_\_\_\_
- Begin Grant Distributions after my/our Lifetime(s)

Notes:

## Endowed vs. Non-Endowed

Select if this fund will be endowed or non-endowed.

**Endowment**

Endowments are permanent funds created to grant to the same institution(s) or area of work *FOREVER*. We invest the principal and grant between 3% – 5% annually. Earnings will go up and down with the market, but exceed the grants over the long term, providing consistent and reliable support.

All endowments are invested in the Foundation’s “Endowment Investment Pool” and grant once annually.

**Non-Endowed Fund**

Non-endowed funds offer more flexibility in the quantity and amount of the grants. They are not required to grant every year and the granting percentage is not constrained to the 3-5% range (like endowments).

### Investment Pool

Please see the Investment Pool Options addendum to read about the three pool options. Ensure that your selections total 100%. See the full descriptions of each pool in the appendix.

Long-Term Growth: \_\_\_\_\_%

Balanced: \_\_\_\_\_%

Capital Preservation: \_\_\_\_\_%

### Granting Instructions

## Designated vs. Field of Interest

Select which type of fund you are creating and fill out the corresponding section below. See Terms and Conditions for more details and restrictions.

**Designated Family Fund**

A Designated Family Fund is created to support the nonprofit organizations that are close to your heart. You may select one or multiple organizations to which this fund will grant. The beneficiaries must have 501(c)(3) status and cannot be a private foundation.

**Copy the “Designated Fund cont.” page as many times as needed to accommodate the number of beneficiaries you are naming.**

**Field of Interest Family Fund**

A Field of Interest Fund grants to multiple organizations for projects that are aligned with a defined purpose.

**Skip to the “Field of Interest Fund” section if creating this type of fund.**

## Designated Fund

*Designated Funds are created to support one or multiple nonprofit organizations. The beneficiary must have 501(c)(3) status and cannot be a private foundation*

### Rank/Alternate

Please indicate the “rank” of each Designated Beneficiary. If there are insufficient funds to grant to all the listed beneficiaries at the time the fund is created or if one or more of the beneficiaries ceases to exist, the ranking of beneficiaries will determine the order in which the Foundation distributes funds pro rata.

You may also designate beneficiaries as “Alternate” in the situation where you want the money reallocated to a similar organization if we cannot grant to the original beneficiary (see the next section).

### Reallocation Section

If at any point grants can no longer be made to an organization or program you selected (either because it ceases to exist or materially changes purpose), by default the Foundation will redistribute the percentage allocated to that beneficiary among the other beneficiaries of this fund. For each beneficiary, please select if you would like the Foundation to find a similarly oriented organization/program to which future grants would be sent *instead of* reallocating these funds. If the endowment is only granting to one beneficiary, the Foundation will find a similarly oriented organization/program for future grants. See Terms & Conditions for more details.

### Beneficiary Notification Section

You may select when the Foundation reaches out to the beneficiaries to notify them about their inclusion in your Family Fund. **If you choose to delay the initiation of granting**, you may choose one of two options:

1. **Notify the beneficiary immediately** that they are included in this fund. The beneficiary will be notified that granting will not begin immediately and that their inclusion in this fund is revocable. Gift amounts will not be disclosed to the beneficiary.
2. **Wait to notify the beneficiary** until the first grant is made. The beneficiary will not know that they are included in this fund until the first grant is distributed.
  - a. For Endowments:
    - i. If granting begins **during** the donor(s) lifetime(s), the beneficiary will be notified that their inclusion in the endowment is *revocable*.
    - ii. If granting begins **after** the donor(s) lifetime(s), the beneficiary will be notified that their inclusion in the endowment is *irrevocable*.

Designated Family Endowment cont.

DESIGNATED BENEFICIARY

Rank/Alternate: \_\_\_\_\_ Percentage of Total Disbursement: \_\_\_\_\_%

Beneficiary Name: \_\_\_\_\_

Federal Tax ID#: \_\_\_\_\_

Mailing address: \_\_\_\_\_

Please describe the purpose of the grants to this beneficiary or write "unrestricted":

*See notes under the "Designated Family Fund" section for details on the following questions.*

**REALLOCATION:**

- Reallocate this percentage among the other organizations listed according to ranking
- Find a similarly oriented organization to which future grants shall be sent
- Other – see notes

**BENEFICIARY NOTIFICATION:**

- Notify this beneficiary immediately
- Notify this beneficiary only once granting begins

DESIGNATED BENEFICIARY

Rank/Alternate: \_\_\_\_\_ Percentage of Total Disbursement: \_\_\_\_\_%

Beneficiary Name: \_\_\_\_\_

Federal Tax ID#: \_\_\_\_\_

Mailing address: \_\_\_\_\_

Please describe the purpose of the grants to this beneficiary or write "unrestricted":

*See notes under the "Designated Family Fund" section for details on the following questions.*

**REALLOCATION:**

- Reallocate this percentage among the other organizations listed according to ranking
- Find a similarly oriented organization to which future grants shall be sent
- Other – see notes

**BENEFICIARY NOTIFICATION:**

- Notify this beneficiary immediately
- Notify this beneficiary only once granting begins

## Field of Interest Fund

*A Field of Interest Fund grants to multiple organizations for projects that are aligned with a defined purpose.*

Please describe the purpose of the grants from this fund:

Please define the types of organizations that can apply for these grants (area of work, geography, etc.):

## Donor Recognition

The Foundation will not list the name of your Family Fund without your permission. The Foundation periodically lists donors unless they have elected to be anonymous.

Please select your preferences below:

- List the fund name publicly and my/our name(s) on donor lists.
- List the fund publicly but **do not** list my/our name(s) on donor lists.
- Do not list the fund publicly but **do** list my/our name(s) on donor lists.
- Do not list the fund publicly or my/our name(s) on donor lists.

## Online Donor Portal Access

Individuals listed below are approved to receive access to the online donor portal where they can view information about this fund including the fund balance, investment activity, grants, and fees. All those listed will receive an annual reminder via email to check on the fund activity.

**We primarily communicate via email, so please list an email address that you check frequently.** If you do not have an email address, we will find a solution that fits your situation.

### FUND VIEW ACCESS #1 (TYPICALLY THE DONOR)

Name: \_\_\_\_\_ DOB: \_\_\_\_\_

Email: \_\_\_\_\_ Phone: \_\_\_\_\_

### FUND VIEW ACCESS #2 (OPTIONAL)

Name: \_\_\_\_\_ DOB: \_\_\_\_\_

Email: \_\_\_\_\_ Phone: \_\_\_\_\_

Relationship to #1: \_\_\_\_\_

### FUND VIEW ACCESS #3 (OPTIONAL)

Name: \_\_\_\_\_ DOB: \_\_\_\_\_

Email: \_\_\_\_\_ Phone: \_\_\_\_\_

Relationship to #1: \_\_\_\_\_

Continued on next page.



FUND VIEW ACCESS #4 (OPTIONAL)

Name: \_\_\_\_\_ DOB: \_\_\_\_\_

Email: \_\_\_\_\_ Phone: \_\_\_\_\_

Relationship to #1: \_\_\_\_\_

Fund Advisor Notes:

Additional Notes/Special Instructions

## Philanthropic Interests

At the Foundation, we strive to be a partner in your philanthropy. As such, we offer resources to our Fund Holders on various topics concerning philanthropy and areas of giving.

By selecting your areas of interest below, we can offer you resources, invite you to hear speakers, and join in discussions around the topics you care about. You are free to opt in or out of interest areas at any time.

In addition to content and events focused on these specific topics, the Foundation also offers events for all Fund Holders on topics of general interest, such as impact, family philanthropy, and more.

### My/Our areas of interest (please check all that apply):

*Sub-categories listed in italics are examples of topics, not exhaustive lists.*

- Catholic Topics & Issues  
*Religious Orders, Pro-Life Ministries*
- Local Catholic Parish Resources  
*Building Maintenance, Capital Campaigns*
- Local Catholic Ministries  
*Evangelization, Faith Formation, Stewardship, Music, Family Life*
- Catholic Youth & Young Adult Ministries
- Local Clergy & Lay Leadership  
*Leadership Development, Priest Retirement*

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- Arts & Culture
- Education  
*Poverty, Access, and Opportunity; Issues Facing Educators and School Systems*
- Environment  
*Environmental Protection and Conservation*
- Animal Protection and Welfare
- Health  
*Patient and Family Support; Treatment and Prevention Services*
- Human & Civil Rights  
*Advocacy and Education*
- Human Services  
*Food Banks, Food Pantries, and Food Distribution; Homeless Services, Social Services*
- Other:

## Signature(s)

I/We acknowledge that I/we have read the terms and conditions of this fund. I/We understand that my/our contribution is an irrevocable gift to the Catholic Community Foundation.

All information in this form is accurate to the best of my/our knowledge.

\_\_\_\_\_  
Donor 1 Signature

\_\_\_\_\_  
Donor 2 Signature *(optional)*

\_\_\_\_\_  
Donor 1 Name *(print)*

\_\_\_\_\_  
Donor 2 Name *(print)*

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

## The Catholic Community Foundation:

\_\_\_\_\_  
Authorized Signature

\_\_\_\_\_  
Title

\_\_\_\_\_  
Name *(print)*

\_\_\_\_\_  
Date

## Appendices

- Terms and Conditions
- Investment Pools
- Stock Transfer Instructions

## Establishing a Fund

A fund may be established by donation of cash/equivalent, marketable securities or another approved gift to the Catholic Community Foundation (the Foundation), a section 501(c)(3) public charity.

## Ownership of the Fund

The fund is a component fund of the Foundation. All gifts to the Foundation are treated as gifts to a public charity and generally tax-deductible, subject to legal limitations. The Foundation does not provide tax or legal advice and recommends that you discuss your tax situation with your advisor.

The assets in the fund (donations and investment gains) are irrevocably transferred to the Foundation, which has exclusive legal authority and control of the fund. Terms and conditions governing the funds may be modified from time to time as deemed prudent by the Foundation. The Foundation has the right to modify any condition or restriction on the distribution of funds should it determine the restriction or condition is impractical, in violation of the terms of this policy, or inconsistent with the charitable needs of the community served.

## Modifications to the Fund

After the donor(s) is/are deceased, the beneficiaries, purpose and percentages cannot be changed.

If the programs and/or activities of a beneficiary are no longer in compliance with Catholic social teaching (as defined by the Conference of Catholic Bishops: [www.usccb.org/beliefs-and-teachings/what-we-believe/catholic-social-teaching](http://www.usccb.org/beliefs-and-teachings/what-we-believe/catholic-social-teaching)) or the organization is no longer a charitable organization at the time of the grant distribution, the Catholic Community Foundation reserves the right to do one of the following, based on the donor's selection:

1. Redistribute the percentage allocated to that beneficiary among the other beneficiaries of this fund.
2. Change the beneficiary to an organization best suited to the original intent of the fund.

In the event that multiple beneficiaries merge, the donor's intent for all funds and gifts for each of the beneficiaries involved in a merger must be honored in perpetuity, and therefore automatically become obligations of the combined beneficiary. In the event the Foundation needs to petition the State Attorney General for modifying the endowment, the fund being modified will assume all legal fees.

In the event the Foundation needs to petition the State Attorney General for modifying the distribution of the gift, the fund being modified will assume all legal fees

## Investment

All investments are made in line with the Investment Policy of the Foundation. All assets will be managed in the selected investment pool. Download our Investment Policy here: [catholiccf.org/financials](http://catholiccf.org/financials)

## Fees and Minimums

The following fees and minimums apply:

### DESIGNATED FAMILY ENDOWMENT

Minimum initial gift:	\$25,000
Minimum balance to start grants:	\$25,000
Minimum grant per beneficiary:	\$500 (two beneficiaries per \$25,000)
Annual administrative fee:	0.5% of annual fund balance, measured and paid as 0.125% quarterly on the value as of the last day of the last month of the calendar quarter.

### FIELD OF INTEREST FAMILY ENDOWMENT (PER AREA OF INTEREST)

Minimum initial gift:	\$250,000
Minimum balance to start grants:	\$250,000
Annual administrative fee:	2% of annual fund balance, measured and paid as 0.5% quarterly on the value as of the last day of the last month of the calendar quarter.

### DESIGNATED NON-ENDOWED FUND

Minimum initial gift:	\$25,000
Minimum balance to start grants:	\$25,000
Minimum grant per beneficiary:	\$500 (two beneficiaries per \$25,000)
Annual administrative fee:	0.5% of annual fund balance, measured and paid as 0.125% quarterly on the value as of the last day of the last month of the calendar quarter.

### FIELD OF INTEREST NON-ENDOWED FUND

Minimum initial gift:	\$250,000
Minimum balance to start grants:	\$250,000
Annual administrative fee:	2% of annual fund balance, measured and paid as 0.5% quarterly on the value as of the last day of the last month of the calendar quarter.

**NOTE:** Fees may be changed at any time with 90 days' notice.

## Grants from a Family Endowment

### Designated Beneficiary Grants

Grants made from a Designated Family Endowment will be based on balances once each year. The percentage distribution will be made in accordance with the disbursement policy of the Foundation. The beneficiaries and percentages on file at the time of the grant calculation will be used for that year's grants.

The beneficiaries of a Family Endowment must be 501(c)(3) organizations located in the United States. Grants are not permitted to private non-operating foundations or non-functionally integrated Type III supporting organizations. Beneficiaries must be organizations whose work is in keeping with Catholic Social Teaching, as defined by the U.S. Conference of Catholic Bishops: [www.usccb.org/beliefs-and-teachings/what-we-believe/catholic-social-teaching/](http://www.usccb.org/beliefs-and-teachings/what-we-believe/catholic-social-teaching/)

## NOTIFYING BENEFICIARIES

Organizations named in a Designated Family Endowment will be automatically notified that they are included as a beneficiary of this endowment at the time that the Family Endowment is funded. If the endowment is funded during the donor(s)'s lifetime(s), the donor(s) may request that the Foundation wait until granting begins to notify the beneficiary(ies).

### Field of Interest Grants

Field of Interest Family Endowment grants will be made once each year. The amount of the distribution will be calculated in accordance with the disbursement policy of the Foundation. Fully funded Field of Interest Endowments are eligible for grant making after 9 months of investment activity.

The Grants Committee of the Foundation will determine all grant recipients and individual grant amounts.

All grants must be made to Catholic organizations doing business in Santa Clara County. These are all 501(c)(3) organizations, designated as Catholic in their articles of incorporation and/or listed in the Kenedy Directory. Further restrictions about the types of organizations and programs eligible for grants will be determined by the donor in this agreement form and approved by the Foundation.

## Grants from a Non-Endowed Family Fund

### Designated Grants

Beneficiary(ies) of this fund must be a 501(c)(3) organization located in the United States. Grants are not permitted to private non-operating foundations or non-functionally integrated Type III supporting organizations. Beneficiaries must be organizations whose work is in keeping with Catholic Social Teaching, as defined by the U.S. Conference of Catholic Bishops: [www.usccb.org/beliefs-and-teachings/what-we-believe/catholic-social-teaching](http://www.usccb.org/beliefs-and-teachings/what-we-believe/catholic-social-teaching)

## NOTIFYING BENEFICIARIES

Organizations named in a Designated Family Fund will be automatically notified that they are included as a beneficiary of this fund at the time that it is funded. If the fund is established during the donor(s)'s lifetime(s), the donor(s) may request that the Foundation wait until granting begins to notify the beneficiary(ies).

### Field of Interest Grants

Grant timing and frequency are determined by the agreement. The Grants Committee of the Catholic Community Foundation will determine all grant recipients and individual grant amounts.

By default, grants from Field of Interest Funds must be made to Catholic organizations doing business in Santa Clara County. They must be 501(c)(3) organizations, designated as Catholic in their articles of incorporation and/or listed in the Kennedy Directory.

The Foundation manages various pools of capital. Each pool has different goals and objectives guiding the decisions related to portfolio construction and appropriate risk level. The Foundation embraces socially responsible investing in accordance with the guidance of the United States Conference of Catholic Bishops.

## Endowment Growth Pool

### GOAL

This pool focuses on the long-term returns and providing **FOREVER VALUE** for endowment beneficiaries. Return objective between 7% and 8.5% net of estimated investment expenses.

### ASSET MIX

The risk profile should mirror a 70% equity 30% fixed income portfolio. Additionally, capturing illiquidity premiums as appropriate creates a target allocation that includes private assets.

#### Asset Allocation Targets Include:

Fixed Income	19%
Public Equities (Derivative Overlay of 16%)	27%
Semi-Liquid Credit Strategies (Fixed Income Risk)	7%
Semi-Liquid Equity Strategies (Equity Risk)	17%
Private Equity	18%
Private Real Assets (60% Equity, 40% Fixed Income Risk)	12%

### GRANTING HORIZON

All endowments are invested in this pool with the goal of generating perpetual grants.

## Options for Non-Endowed Funds

Donor Advised Funds and other nonperpetual funds have choices of investment pools based on return and grantmaking objectives. Donors can choose between the following investment pools:

## Long-Term Growth Pool

### GOAL

Enhance the real purchasing power of the portfolio's assets over a full market cycle. Emphasis on growing funds for long-term needs, while maintaining liquidity/flexibility to respond to the unknown. Return objective around 6% net of estimated investment expenses.

### ASSET MIX

Diversified portfolio of stocks, bonds, and alternatives. 66% public equities 34% fixed income.

### GRANTING HORIZON

Utilized for funds with grantmaking time horizon of 7 years or more.

## Balanced Pool

### GOAL

Balancing growth objective with reduced volatility. Return objective around 5% net of estimated investment expenses.

### ASSET MIX

Diversified portfolio of stocks, bonds. 47% public equities 53% fixed income.

### GRANTING HORIZON

Utilize for conservative funds with a grant making time horizon of 3-7 years.

## Capital Preservation Pool

### GOAL

Asset preservation and liquidity to meet short-term grantmaking goals.

### ASSET MIX

100% cash & cash equivalents.

### GRANTING HORIZON

Utilize for funds with a meant to be granted in 1-3 years.

#### NOTE:

Investments are monitored continuously by our experienced investment committee, advisors, and staff. Asset allocations in each pool may be adjusted in response to changing conditions in charitable giving and/or in the financial markets.



# STOCK TRANSFER FORM

## Information for your Broker

To make a broker-to-broker transfer, your broker will require the following written instructions.

Foundation Broker:  Morgan Stanley	DTC Participant #: 0015	The Curtis Group at Graystone Consulting 1400 Page Mill Rd, Palo Alto, CA 94304
	Foundation Account #: 662-046923-051	650.496.4260 www.morganstanleygc.com/curtisgroup
	Foundation Taxpayer ID #: 83-0400149	Account Manager: Thomas McCue

### The Catholic Community Foundation

777 North First Street, Suite 490, San Jose, CA 95112

Phone: 408.995.5219 Fax: 408.995.5865 Primary Contact: Sean Finigan [finigan@catholiccf.org](mailto:finigan@catholiccf.org)

## Information for the Catholic Community Foundation

Once the stock is transferred, please fill out and send the following information to the Catholic Community Foundation via fax or email.

Date of Transfer: \_\_\_\_\_ Donor Name(s): \_\_\_\_\_

Address: \_\_\_\_\_ City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Phone: \_\_\_\_\_ Email: \_\_\_\_\_

Restrictions? \_\_\_\_\_ Pledge Payment?  Y  N

For the benefit of (fund) \_\_\_\_\_

Name of Stock: \_\_\_\_\_ Symbol: \_\_\_\_\_ # of Shares: \_\_\_\_\_

Name of Stock: \_\_\_\_\_ Symbol: \_\_\_\_\_ # of Shares: \_\_\_\_\_

Name of Stock: \_\_\_\_\_ Symbol: \_\_\_\_\_ # of Shares: \_\_\_\_\_

Name of Stock: \_\_\_\_\_ Symbol: \_\_\_\_\_ # of Shares: \_\_\_\_\_