

ANNEX C

APPROVED FORMS AND MODEL

- ❖ FORM CIC36: CIC DECLARATIONS ON FORMING A CIC
- ❖ FORM CIC37: DECLARATIONS ON CONVERTING TO A CIC
- ❖ FORM CIC36/CIC37 (CONTINUATION SHEET)
- ❖ FORM IN01: APPLICATION TO REGISTER A COMPANY – SEE www.companieshouse.gov.uk/forms/generalForms/IN01_application_to_register_a_company.pdf
- ❖ FORM CIC14: APPLICATION TO ALTER THE OBJECT OF A COMPANY
- ❖ FORM CIC14 (CONTINUATION SHEET)
- ❖ MODEL FORM CIC34: SHORT CIC REPORT FOR SMALLER TYPE COMPANIES
- ❖ MODEL FORM CIC34: MORE DETAILED CIC REPORT FOR LARGER MORE COMPLEX COMPANIES – **NOT AVAILABLE**
- ❖ MODEL FORM CIC34 CONTINUATION SHEET
- ❖ MODEL FORM CIC53: DECLARATION ON DISSOLUTION OF THE CIC
- ❖ MODEL FORM CIC53 (CONTINUATION SHEET).

The following forms are examples only. To access forms for completion please click on the following: < Interactive forms> or visit www.cicregulator.gov.uk and click on the “forms” tab.

CIC 36

Declarations on Formation of a Community Interest Company¹

*Please
complete in
typescript,
or in bold
black
capitals.*

Company Name in full

Community Interest Company

SECTION A: COMMUNITY INTEREST STATEMENT – beneficiaries

1. We/I, the undersigned, declare that the company will carry on its activities for the benefit of the community, or a section of the community². [Insert a short description of the community, or section of the community, which it is intended that the company will benefit in the space provided below]³

The company's activities will provide benefit to ...

COMPANY NAME

SECTION B: Community Interest Statement – Activities & Related Benefit

Please indicate how it is proposed that the company’s activities will benefit the community, or a section of the community. Please provide as much detail as possible to enable the CIC Regulator to make an informed decision about whether your proposed company is eligible to become a community interest company. It would be useful if you were to explain how you think your company will be different from a commercial company providing similar services or products for individual or personal gain.

Activities (Tell us here what the company is being set up to do)	How will the activity benefit the community? <i>(The community will benefit by...)</i>
If the company makes any surplus it will be used for...	

(Please continue on separate continuation sheet if necessary.)

COMPANY NAME

SECTION C:

1. We/I, the undersigned, declare that the company in respect of which this application is made will not be:

- (a) a political party;
- (b) a political campaigning organisation; or
- (c) a subsidiary of a political party or of a political campaigning organisation.⁴

SECTION D: SIGNATORIES

Each person who will be a first director of the company must sign the declarations.

Signed		Date	
Signed		Date	
Signed		Date	
Signed		Date	
Signed		Date	

(Please continue on separate continuation sheet if necessary.)

CHECKLIST

This form must be accompanied by the following documents:

- (a) Memorandum of Association
- (b) Articles of Association, which comply with requirements imposed by section 32 of the Act and Part 3 of the Regulations or which are otherwise appropriate in connection with becoming a community interest company
- (c) Form IN01- you need to indicate that the proposed company is adopting bespoke articles.
- (d) Any completed continuation sheets
- (e) A cheque for £35 made payable to Companies House

You do not have to give any contact information in the box opposite but if you do, it will help the Registrar of Companies to contact you if there is a query on the form. The contact information that you give will be visible to searchers of the public record.

Tel	
DX Number	DX Exchange

When you have completed and signed the form, please send it to the Registrar of Companies at:

For companies registered in England and Wales: Companies House, Crown Way, Cardiff, CF14 3UZ
DX 33050 Cardiff

For companies registered in Scotland: Companies House, 4th Floor, Edinburgh Quay 2, 139
Fountainbridge, EH3 9FF DX 235 Edinburgh

For companies registered in Northern Ireland: Companies House, 1st Floor, Waterfront Plaza, 8
Laganbank Road Belfast BT1 3BS

NOTES

¹ This form will be placed on the public record. Any information relevant to the application that you do not wish to appear on the public record, should be described in a separate letter addressed to the CIC Regulator and delivered to the Registrar of Companies with the other documents.

² The community interest test is referred to in section 35 of the Companies (Audit, Investigations and Community Enterprise) Act 2004 and is expanded upon in regulations 3, 4 & 5 of the Regulations.

³ E.g. "the residents of Oldtown" or "those suffering from XYZ disease".

⁴ A company is not eligible to be formed as a community interest company if it will be an "excluded company". If you are not sure whether the company which you wish to form falls into any of these categories, you should refer to the definitions of the terms "political party", "political campaigning organisation" and "subsidiary" (and of the related terms "election", "governmental authority", "public authority" and "referendum") in Regulation 2 of the Regulations before completing this form.

CIC 37

Declarations on Conversion to a Community Interest Company¹

*Please
complete in
typescript,
or in bold
black
capitals.*

Company Number

Company Name in full

Proposed Company
Name in full

Community Interest Company

SECTION A: COMMUNITY INTEREST STATEMENT – beneficiaries

1. We/I, the undersigned, declare that the company will carry on its activities for the benefit of the community, or a section of the community². [Insert a short description of the community, or section of the community, which it is intended that the company will benefit in the space provided below]³

The company's activities will provide benefit to ...

COMPANY NUMBER

--

SECTION B: Community Interest Statement – Activities & Related Benefit

Please indicate how it is proposed that the company’s activities will benefit the community, or a section of the community. Please provide as much detail as possible to enable the CIC Regulator to make an informed decision about whether your company is eligible to become a community interest company. It would be useful if you were to explain how you think your company will be different from a commercial company providing similar services or products for individual or personal gain.

Activities (Tell us here what the company is being set up to do)	How will the activity benefit the community? <i>(The community will benefit by...)</i>
If the company makes any surplus it will be used for...	

(Please continue on separate continuation sheet if necessary.)

COMPANY NUMBER

SECTION C: Declarations on conversion to a community interest company

Please delete either **DECLARATION 1A** or **DECLARATION 1B** below.⁴

Declaration 1A.

We/I further declare that:

(i) the company is not a charity (as defined in the Charities Act 1993) or a Scottish charity⁵ or a Northern Ireland charity⁶. (as defined in section 63(1) of the Companies (Audit, Investigations and Community Enterprise)Act 2004(**"the Act"**)).

Declaration 1B.

We/I further declare that:

(i) the Charity Commission or the Scottish Charity Regulator has given the company written consent to be a community interest company⁷

Declaration 2

We/I, the undersigned, declare that the company in respect of which this application is made will not be:

- (a) a political party;
- (b) a political campaigning organisation; or
- (c) a subsidiary of a political party or of a political campaigning organisation.⁸

SECTION C: SIGNATORIES

Each person who is a director of the company must sign the declarations.

Signed	<input type="text"/>	Date	<input type="text"/>
Signed	<input type="text"/>	Date	<input type="text"/>
Signed	<input type="text"/>	Date	<input type="text"/>
Signed	<input type="text"/>	Date	<input type="text"/>
Signed	<input type="text"/>	Date	<input type="text"/>

(Please continue on separate continuation sheet if necessary.)

CHECKLIST

This form must be accompanied by the following documents:

- (a) Special resolution stating the company should become a community interest company.
- (b) Special resolution to alter the company's articles to state that it is to be a community interest company
- (c) Special resolution make such alterations of the company's articles as the company considers necessary to comply with requirements imposed by section 32 of the Act and Part 3 of the Regulations or which are otherwise appropriate in connection with becoming a community interest company
- (d) Special resolution to change the company's name to comply with section 33 of the Act
- (e) Form NM01- Notice of change of name
- (f) A printed copy of the articles of the company as altered by the special resolutions
- (g) Any completed continuation sheets
- (h) A cheque for £25 made payable to Companies House.

You do not have to give any contact information in the box opposite but if you do, it will help the Registrar of Companies to contact you if there is a query on the form. The contact information that you give will be visible to searchers of the public record.

Tel	
DX Number	DX Exchange

When you have completed and signed the form please send it to the Registrar of Companies at:

For companies registered in England and Wales: Companies House, Crown Way, Cardiff, CF14 3UZ
DX 33050 Cardiff

For companies registered in Scotland: Companies House, 4th Floor, Edinburgh Quay 2, 139
Fountainbridge, EH3 9FF DX 235 Edinburgh

For companies registered in Northern Ireland: Companies House, 1st Floor, Waterfront Plaza, 8
Laganbank Road Belfast BT1 3BS

NOTES

¹ This form will be placed on the public record. Any information relevant to the application that you do not wish to appear on the public record, should be described in a separate letter addressed to the CIC Regulator and delivered to the Registrar of Companies with the other documents.

² The community interest test is referred to in section 35 of the Companies (Audit, Investigations and Community Enterprise) Act 2004 and is expanded upon in regulations 3, 4 & 5 of the Regulations.

³ E.g. "the residents of Oldtown" or "those suffering from XYZ disease".

⁴ A community interest company cannot benefit from charitable status. An existing company which wishes to become a community interest company must either not have charitable status (in which

case delete declaration 1B) or must satisfy the criteria set out in paragraph 2B (in which case delete declaration 1A).

⁵ A Scottish charitable company is a company, which is a Scottish charity. A Scottish charity is a body entered in the Scottish Charity register, kept by the Office of the Scottish Charity Regulator under the Charities and Trustee Investment (Scotland) Act 2005.

⁶ Northern Ireland charity is a company, which is a Northern Ireland charity. A Northern Ireland charity is a body that has applied to the Inland Revenue and been granted charitable status for tax purposes.

⁷ Northern Ireland charities may not at present become community interest companies (although this is expected to change). The permission of the Charity Commission (or the Scottish Charity Regulator) is required before a charitable company, which is a charity under the law of England, and Wales can change its name to become a community interest company.

⁸ A company is not eligible to be formed as a community interest company if it will be an "excluded company". If you are not sure whether the company which you wish to form falls into any of these categories, you should refer to the definitions of the terms "political party", "political campaigning organisation" and "subsidiary" (and of the related terms "election", "governmental authority", "public authority" and "referendum") in Regulation 2 of the Regulations before completing this form.

CIC36/CIC37

Continuation Sheet

COMPANY NAME/NUMBER

SECTION B: COMPANY ACTIVITIES – CONTINUATION SHEET

Please indicate how it is proposed that the company's activities will benefit the community (or a section of the community). Please provide as much detail as possible to enable the Regulator to make a properly informed decision about whether your company is eligible to be a community interest company. We would find it useful if you brought out how you think your company will be different from a commercial company providing similar services or products for individual, personal gain.

Activities (Tell us here what the company is being set up to do)	How will the activity benefit the community? (The community will benefit by...)

<p>Activities (Tell us here what the company is being set up to do)</p>	<p>How will the activity benefit the community? <i>(The community will benefit by...)</i></p>
<p>If the company makes any surplus it will be used for...</p>	

CIC 14

Application¹ to alter the objects of a Community Interest Company²

Company Number

*Please
complete in
typescript,
or in bold
black
capitals.*

Company Name in full

SECTION A:

COMMUNITY INTEREST COMPANY STATEMENT - Beneficiaries

1. We/I, the undersigned, declare that the company will carry on its activities for the benefit of the community, or a section of the community.³ [Insert a short description of the community or section of the community which it is intended that the company will benefit in the space provided below⁴].

The company's activities will benefit to ...

COMPANY NUMBER

--

SECTION B:

COMMUNITY INTEREST COMPANY STATEMENT – Activities & Related Benefit

Please indicate how it is proposed that the company's activities will benefit the community or a section of the community. Please provide as much detail as possible to enable the CIC Regulator to make an informed decision about whether your company is eligible to remain as a CIC. It would be useful if you were to explain how you think your company will be different from a commercial company providing similar services or products for individual or personal gain.

Activities (Tell us here what the company is being set up to do)	How will the activity benefit the community? <i>(The community will benefit by...)</i>
If the company makes any surplus it will be used for...	

(Please continue on separate continuation sheet if necessary.)

COMPANY NUMBER

**SECTION C:
STATEMENT REGARDING THE PROPOSED ALTERATION TO A COMMUNITY
INTEREST COMPANY'S OBJECTS**

1. We/I, the undersigned, declare that the company in respect of which this application is made will not be on the alteration of its objects:
 - (a) a political party;
 - (b) a political campaigning organisation; or
 - (c) a subsidiary of a political party or of a political campaigning organisation.⁵

2. We/I, the undersigned, declare that the following steps were taken to bring the proposed alteration of the objects of the company to the notice of persons affected by the company's activities.⁶ [*Insert a short description of the steps undertaken in the space below.*]

SECTION D: SIGNATORIES

Each person who is a director of the company must sign the declarations.⁷

Signed	<input type="text"/>	Date	<input type="text"/>
Signed	<input type="text"/>	Date	<input type="text"/>
Signed	<input type="text"/>	Date	<input type="text"/>
Signed	<input type="text"/>	Date	<input type="text"/>
Signed	<input type="text"/>	Date	<input type="text"/>

(Please continue on separate continuation sheet if necessary.)

CHECKLIST

These declarations must be accompanied by the following documents – have you included them with your application?

- (a) A Form CC04 to notify the change of the company's objects
- (b) A special resolution to alter the company's objects in its articles
- (c) A printed copy of the articles of the company, as altered
- (d) Any completed continuation sheets

You do not have to give any contact information in the box opposite but if you do, it will help the Registrar of Companies to contact you if there is a query on the form. The contact information that you give will be visible to searchers of the public record.

	Tel
DX Number	DX Exchange

When you have completed and signed the form please send it to the Registrar of Companies at:

*Companies registered in **England and Wales**:* Companies House, Crown Way, Cardiff, CF14 3UZ (DX 33050 Cardiff)

*Companies registered in **Scotland**:* Companies House, 4th Floor, Edinburgh Quay 2, 139 Fountainbridge, Edinburgh EH3 9FF (DX235 Edinburgh)

*Companies registered in **Northern Ireland**:* Companies House, 1st Floor, 8 Laganbank Road, Belfast BT1 3BS

NOTES

¹ This form will be placed on the public record. Any information relevant to the application that you do not wish to appear on the public record, should be described in a separate letter addressed to the CIC Regulator and delivered to the Registrar of Companies with the other documents.

² The alteration of the articles of a community interest company with respect to the statement of the company's objects does not have effect except in so far as it is approved by the CIC Regulator (regulation 13 of the Community Interest Company Regulations 2005 ("the Regulations")).

³ The community interest test is referred to in section 35 of the Companies (Audit, Investigations and Community Enterprise) Act 2004 and is expanded upon in regulations 3, 4 & 5 of the Regulations.

⁴ E.g. "the residents of Oldtown" or "those suffering from XYZ disease".

⁵ An "excluded company" cannot be a CIC. Regulation 6 of the Regulations further defines what is an excluded company (political party, political campaigning organisation or subsidiary of either). If you are unsure whether an entity falls into any of these categories, you should refer to the definitions of the terms "political party", "political campaigning organisation" and "subsidiary" (and the related terms "election", "governmental authority", "public authority" and "referendum") in regulation 2 of the Regulations.

⁶ The CIC must deliver to the CIC Regulator a statement of the steps that have been taken to bring the proposed alteration of the objects to the notice of persons affected by the company's activities (regulation 14(1)(b) of the Regulations)

⁷ This is required by section 14(2) of the Regulations.

CIC 14

Continuation Sheet

Please complete in typescript, or in bold black capitals.

Company Number

Company Name in full

SECTION B:

COMMUNITY INTEREST COMPANY STATEMENT – Activities & Related Benefit

Please indicate how it is proposed that the company's activities will benefit the community or a section of the community. Please provide as much detail as possible to enable the CIC Regulator to make an informed decision about whether your company is eligible to remain as a CIC. It would be useful if you were to explain how you think your company will be different from a commercial company providing similar services or products for individual or personal gain.

Activities (Tell us here what the company is being set up to do)	How will the activity benefit the community? (The community will benefit by...)

Activities (Tell us here what the company is being set up to do)	How will the activity benefit the community? <i>(The community will benefit by...)</i>
If the company makes any surplus it will be used for...	

CIC 34

Community Interest Company Report

For official use
(Please leave blank)

--

Please complete in typescript, or in bold black capitals.

Company Name in full

--

Company Number

--

Year Ending

--

This template illustrates what the Regulator of Community Interest Companies considers to be best practice for completing a simplified community interest company report. All such reports must be delivered in accordance with section 34 of the Companies (Audit, Investigations and Community Enterprise) Act 2004 and contain the information required by Part 7 of the Community Interest Company Regulations 2005. For further guidance see chapter 8 of the Regulator's guidance notes and the alternate example provided for a more complex company with more detailed notes.

PART 1 - GENERAL DESCRIPTION OF THE COMPANY'S ACTIVITIES

In the space provided below, please insert a general account of the company's activities in the financial year to which the report relates, including a fair and accurate description of how they have benefited the community, or section of the community, which the company is intended to serve.

(If applicable, please just state "A social audit report covering these points is attached").

(Please continue on separate continuation sheet if necessary.)

PART 2 – CONSULTATION WITH STAKEHOLDERS – Please indicate who the company’s stakeholders are; how the stakeholders have been consulted and what action, if any, has the company taken in response to feedback from its consultations? If there has been no consultation, this should be made clear.

(If applicable, please just state “A social audit report covering these points is attached”).

PART 3 – DIRECTORS’ REMUNERATION – if you have provided full details in your accounts you need not reproduce it here. Please clearly identify the information within the accounts and confirm that, “There were no other transactions or arrangements in connection with the remuneration of directors, or compensation for director’s loss of office, which require to be disclosed” (See example with full notes). If no remuneration was received you must state that “no remuneration was received” below.

PART 4 – TRANSFERS OF ASSETS OTHER THAN FOR FULL CONSIDERATION – Please insert full details of any transfers of assets other than for full consideration e.g. Donations to outside bodies. If this does not apply you must state that “no transfer of assets other than for full consideration has been made” below.

(Please continue on separate continuation sheet if necessary.)

(N.B. Please enclose a cheque for £15 payable to Companies House)

PART 5 – SIGNATORY

The original report must be signed by a director or secretary of the company

Signed

Date

Office held (delete as appropriate) Director/Secretary

You do not have to give any contact information in the box opposite but if you do, it will help the Registrar of Companies to contact you if there is a query on the form. The contact information that you give will be visible to searchers of the public record.

Tel	
DX Number	DX Exchange

When you have completed and signed the form, please send it to the Registrar of Companies at:

For companies registered in England and Wales: Companies House, Crown Way, Cardiff, CF14 3UZ
DX 33050 Cardiff

For companies registered in Scotland: Companies House, 4th Floor, Edinburgh Quay 2, 139 Fountainbridge, Edinburgh, EH3 9FF DX 235 Edinburgh or LP – 4 Edinburgh 2

For companies registered in Northern Ireland: Companies House, 1st Floor, Waterfront Plaza, 8 Laganbank Road Belfast BT1 3BS

CIC 34

Continuation Sheet

*Please
complete in
typescript, or
in bold black
capitals.*

Company Name in
full

Company Number

Year Ending

PLEASE CLEARLY INDICATE THE PART YOU ARE CONTINUING.

--

CIC 53

Consent to asset transfer other than for full consideration

COMPANY NAME	
COMPANY NUMBER	

We/I, the undersigned, request the consent of the Regulator of Community Interest Companies to the transfer of the assets described below.

We/I, the undersigned, state that the transfer/s¹ listed below is/are for less than full consideration to one or more recipients each of which is a body falling within the meaning of "any other asset-locked body"² in Schedules 1, 2 or 3 (as appropriate) of the Community Interest Company Regulations 2005 (*consent of the Regulator is mandatory*);³

We/I, the undersigned, confirm that any transfer of assets will comply with any restrictions on the transfer of assets for less than full consideration which may be set out elsewhere in the memorandum or articles of the above-mentioned company.⁴

Description of Asset	Value of full consideration and how determined	Name of recipient	Actual consideration received

Please provide the reasons briefly for each transfer:

(Please continue on separate continuation sheet if necessary.)

SIGNATORY

COMPANY NUMBER

A person who is a director of the company should sign the declarations.

Signed

Date

Signed

Date

Signed

Date

Signed

Date

You do not have to give any contact information in the box opposite but if you do, it will help the Regulator to contact you if there is a query on the form. This form will not be placed on the public record.

Tel	
DX Number	DX Exchange

When you have completed and signed the form please send it to the Regulator of Community Interest Companies at: **The Regulator of Community Interest Companies, Room 3.68, Companies House, Crown Way, Cardiff, CF14 3UZ.**

Contact Details for the Regulator:

Tel: 029 2034 6288 (Voicemail) Fax: 029 2034 6229 E-mail: cicregulator@companieshouse.gov.uk
www.cicregulator.gov.uk

¹ “Transfer” includes every description of disposition, payment, release or distribution, and the creation or extinction of an estate or interest in, or a right over, any property.

² “Any other asset-locked body” means any asset-locked body which is not a specified asset-locked body. A specified asset-locked body is one that is specified (i.e. as one to which assets can be transferred for less than full consideration) as such for the purposes of Schedules 1, 2 or 3 of the Community Interest Company Regulations 2005 (“the Regulations”) in the memorandum or articles of association of the company.

³ The consent of the Regulator is required by virtue of paragraphs 1(2)(a) of Schedules 1, 2, or 3 of the Regulations.

⁴ See paragraph 1(3) of Schedules 1, 2 & 3 of the Community Interest Company Regulations 2005 (“the Regulations”).

CIC 53

CONTINUATION SHEET

COMPANY NAME	
COMPANY NUMBER	
YEAR ENDING	

Description of Asset	Market Value and how determined	Distributed to whom and date, if applicable.	Price to be paid (or paid) by recipient.