

## **IMPORTANT**

Investors should ensure that the original Application Form is returned by post to the Administrator at the address below. Failure to return the original Application Form and supporting documentation will delay the payment of redemption proceeds and Dividends / Distributions if applicable.

Investors should ensure the section headed “Signature” on Pages 8/10 (as applicable) 16 and 18 as well as page 27/31 (as applicable), that is a part of the Self certification forms in Appendix I/II has been signed before returning this to the Administrator.

Investors should ensure they have read the Prospectus and Key Investor Information Document (The “KIID”) before completing this Application Form. The KIID is available online at [www.bankfab.com](http://www.bankfab.com)

## **ADMINISTRATOR**

Northern Trust International Fund Administration Services (Ireland) Limited  
Transfer Agency Department George’s Court  
54-62 Townsend Street  
Dublin 2 Ireland

Telephone: +353 1434 5127

Facsimile: +353 1434 5247

Email: [NBADTA@ntrs.com](mailto:NBADTA@ntrs.com)

Defined terms used in this Application Form are those used in the Prospectus (unless the context otherwise requires).

Your personal information will be handled by the Administrator or its duly appointed delegates as Data Processor for the Fund in accordance with the Irish Data Protection Acts 1988 to 2003 (as may be amended or supplemented from time to time) and from 25 May 2018, the General Data Protection Regulations 2016/679 (the “GDPR”) (together the “Data Protection Legislation”). Your information provided herein will be processed for the purposes of complying with Data Protection Legislation and this may include disclosure to the Irish Revenue Commissioners.

**Please complete this Application Form in blue or black ink using BLOCK CAPITALS.**

This Application Form, together with the Money Laundering Verification Requirements, Declaration of Irish Residence outside Ireland and Appendix I to III constitutes your agreement to subscribe for Shares in the Fund. You should post or fax this Application Form (in which case the original Application Form and supporting documentation must also be forwarded) to the Administrator at the address on the cover page;

### Select Sub-Fund And Settlement Currency

Please tick (✓) the sub-fund of the Company (the “Sub-Fund”) in which the investment will be made

- ☐ FAB BALANCED ALLOCATION FUND  
☐ FAB CONSERVATIVE ALLOCATION FUND  
☐ FAB GROWTH ALLOCATION FUND  
☐ FAB MENA BOND FUND  
☐ FAB MENA DIVIDEND LEADER FUND  
☐ FAB SHARIAH MENA DIVIDEND LEADER FUND

Please tick (✓) the currency in which the investment will be made

- ☐ EURO OTHERS (Please Specify) \_\_\_\_\_  
☐ GBP  
☐ USD  
☐ AED

**Please complete the “Monetary Amount” and specify the currency of investment**

Name of Sub-Fund \_\_\_\_\_

Share Class \_\_\_\_\_

Monetary Amount (including currency of investment)	Subscription Amount		Subscription Fees		Total Subscription Amount (including fees)
	Currency	Amount	Percentage (%)	Amount	

Total Amount in Words \_\_\_\_\_

### Dealing & Holding Minimums

FAB Balanced Allocation Fund FAB Conservative Allocation Fund FAB Growth Allocation Fund	Minimum Initial Subscription/Subsequent Subscription	USD 100
	Minimum Redemption amount or if less, the value a Shareholder’s total holding of Shares in the Class	USD 100
FAB MENA Bond Fund FAB MENA Dividend Leader Fund FAB Shariah MENA Dividend Leader Fund	Minimum Initial Subscription*/Subsequent Subscription	USD 100 GBP 100 EUR 100 AED 500
	Minimum Redemption amount or if less, the value a Shareholder’s total holding of Shares in the Class	USD 100 GBP 100 EUR 100 AED 500
* For the USD Accumulating (I) Share class applicable to FAB MENA Bond Fund, FAB MENA Dividend Leader Fund and FAB Shariah MENA Dividend Leader Fund, the Minimum Initial Subscription amount is USD 1,000,000.		

Name of Sub-Fund	Share Class	Currency
FAB MENA Dividend Leader Fund Fund FAB MENA Bond Fund	USD Accumulating	USD
	USD Accumulating (I)	USD
	USD Distributing	USD
	AED Distributing (Unhedged)	AED
	AED Accumulating (Unhedged)	AED
	GBP Accumulating (Hedged)	GBP
	GBP Distributing (Hedged)	GBP
	GBP Accumulating (Unhedged)	GBP
	GBP Distributing (Unhedged)	GBP
	EUR Accumulating (Hedged)	EUR
	EUR Distributing (Hedged)	EUR
	EUR Accumulating (Unhedged)	EUR
	EUR Distributing (Unhedged)	EUR
FAB Growth Allocation Fund FAB Conservative Allocation Fund Fund FAB Balanced Allocation Fund	USD Accumulating	USD
FAB Shariah MENA Dividend Leader Fund	USD Accumulating	USD
	USD Accumulating (I)	USD
	USD Distributing	USD
	AED Accumulating	AED
	AED Distributing	AED
	GBP Accumulating	GBP
	GBP Distributing	GBP
	EUR Accumulating	EUR
	EUR Distributing	EUR

An additional USD (DHABI) Class is available only for investment by intermediaries (acting on behalf of underlying investors) who have been appointed by the Global Distributor and/or Local Distributors to market the FAB MENA Dividend Leader Fund.

Name of Sub-Fund	Share Class	Currency
FAB MENA Dividend Leader Fund	USD Distributing (DHABI)	USD

**SHAREHOLDER**

First Name & Family Name/Company Name \_\_\_\_\_

Street 1 \_\_\_\_\_

Street 2 \_\_\_\_\_

Town/Country/Postcode \_\_\_\_\_

Contact Telephone Number \_\_\_\_\_

Contact Fax Number & E-mail Address \_\_\_\_\_

**SHAREHOLDER 2**

First Name & Family Name/Company Name \_\_\_\_\_

Street 1 \_\_\_\_\_

Street 2 \_\_\_\_\_

Town/Country/Postcode \_\_\_\_\_

Contact Telephone Number \_\_\_\_\_

Contact Fax Number & E-mail Address \_\_\_\_\_

**SHAREHOLDER 3**

First Name & Family Name/Company Name \_\_\_\_\_

Street 1 \_\_\_\_\_

Street 2 \_\_\_\_\_

Town/Country/Postcode \_\_\_\_\_

Contact Telephone Number \_\_\_\_\_

Contact Fax Number & E-mail Address \_\_\_\_\_

**SHAREHOLDER 4**

First Name & Family Name/Company Name \_\_\_\_\_

Street 1 \_\_\_\_\_

Street 2 \_\_\_\_\_

Town/Country/Postcode \_\_\_\_\_

Contact Telephone Number \_\_\_\_\_

Contact Fax Number & E-mail Address \_\_\_\_\_

All dealing instructions in relation to the Shares in the Fund must be received before the time(s) specified in the Fund's Prospectus and/or relevant Sub-Fund Supplement as the case may be (together, the "Prospectus"). Dealing Instructions received after such times will generally be deemed to have been received for the next relevant Dealing Day

No redemption payment may be made until the original Application Form has been received and the Administrator is satisfied that all necessary anti-money laundering checks have been completed in full.

- ☐ By ticking the box opposite, I hereby consent to the provision of contract notes, statements and other reports, by secured or encrypted electronic transmission, which may be issued from time to time by the Administrator in respect of my holdings in the Fund.

**Banking Details - THIS SECTION MUST BE COMPLETED BY ALL APPLICANTS**

BANK ACCOUNT DETAILS FOR SETTLEMENT OF REDEMPTION (AND DIVIDEND/DISTRIBUTION PROCEEDS IF APPLICABLE)

Name of Bank \_\_\_\_\_

Account Name \_\_\_\_\_

Address of Bank \_\_\_\_\_

Account Number \_\_\_\_\_

Sort Code \_\_\_\_\_

IBAN \_\_\_\_\_

Swift Code \_\_\_\_\_ Reference Code \_\_\_\_\_

*Note: No third-party payments will be undertaken.*

*Note: A request to change bank account details MUST BE MADE IN WRITING TO THE ADMINISTRATOR AND MUST BE ACCOMPANIED BY a bank statement or banker's reference.*

**NOTES:**

- (a) Requests for redemption or distribution payments to be made by telegraphic transfer will be subject to bank charges. Such charges will normally be payable by the Shareholder.
- (b) If subscribing for Shares in more than one Sub-Fund and making a single payment, investors should clearly state the investment amount per sub-fund in the Reference section of their Payment.
- (c) The Base Currency of the Sub-Fund and the designated currency of any Shares will be set out in the Prospectus and is also noted above. Applications for Shares shall be accepted in the Base Currency of the relevant Sub-Fund or the designated currency of the relevant Share Class. At the discretion of the Fund, applications may be accepted in currencies other than the Base Currency.
- (d) Any subscription proceeds paid in currencies other than the Base Currency of the relevant Sub-Fund or the designated currency of the relevant Share Class will be converted into that currency at prevailing exchange rates. This foreign exchange transaction will be arranged by the Administrator at the cost and risk of the relevant investor.
- (e) Please ensure that you have read the Prospectus before completing this Application Form. Defined terms used in this Application Form are those used in the Prospectus (unless the context otherwise requires).

- Please pay monies in accordance with the deadlines outlined in the Prospectus.
- Please remit payment to the following bank account

	FOR GBP SETTLEMENT	FOR EUR SETTLEMENT	FOR USD SETTLEMENT	FOR AED SETTLEMENT
<b>Intermediary Bank:</b>	Barclays Bank PLC, London	Barclays Bank PLC, London		First Abu Dhabi Bank, Dubai
<b>SWIFT:</b>	BARCGB22	BARCGB22		NBADAEEA
<b>Beneficiary Bank:</b>	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation, New Jersey	The Northern Trust International Banking Corporation, New Jersey
<b>Fedwire ABA:</b>			026001122	
<b>CHIPS ABA:</b>			0112	
<b>IBAN:</b>	GB64BARC20325353529495			AE420350000006207764729
<b>SWIFT:</b>		CNORUS33	CNORUS33	CNORUS33
<b>Beneficiary:</b>	ONESHARE PLC – 637850-20019	ONESHARE PLC- 627349-20019	ONESHARE PLC- 179523-20010	ONESHARE PLC - 627356-20019
<b>Reference:</b>	Contract number (or Account number if not available)	Contract number (or Account number if not available)	Contract number (or Account number if not available)	Contract number (or Account number if not available)

*Note: Monies must come from the account of the investor.*

**Please specify your Ordering Institution details for subscriptions**

Currency \_\_\_\_\_ Correspondent Bank \_\_\_\_\_

Swift/ABA \_\_\_\_\_ Account Number \_\_\_\_\_

Please tick (✓) where applicable

- ☐ I/We would like our distribution re-invested in consideration for additional Shares
- ☐ Paid by Telegraphic Transfer

If no election is made, distributions (if any) will be paid directly to the Shareholder.

Distributions paid by Telegraphic Transfer will be paid to the account specified above. Should you require your distribution to be paid to another account, please enter the banking details below. Notwithstanding a Shareholder not electing to re-invest, distributions due will automatically be re-invested if you have failed to provide satisfactory evidence of your identity in accordance with the Fund's anti- money laundering procedures.

Name of Bank \_\_\_\_\_

Account Name \_\_\_\_\_

Address of Bank \_\_\_\_\_

Account Number \_\_\_\_\_

Sort Code \_\_\_\_\_

IBAN \_\_\_\_\_

Swift Code \_\_\_\_\_ Reference Code \_\_\_\_\_

*Note: No third-party payments will be undertaken*

### Agent's Details

Contact Name \_\_\_\_\_

Agent Name \_\_\_\_\_

Address \_\_\_\_\_

Contact Fax Number \_\_\_\_\_ Contact Telephone Number \_\_\_\_\_

VAT Registration Number \_\_\_\_\_

Regulator \_\_\_\_\_ Regulator Approval Number \_\_\_\_\_

Agent's Stamp

Agency Number \_\_\_\_\_ Commission Terms agreed with the Fund Promoter \_\_\_\_\_

Applicants resident outside Ireland are required by the Irish Revenue Commissioners to make the following declaration which is in a format authorised by them, in order to receive payment without deduction of tax. It is important to note that this declaration, if it is then still correct, shall apply in respect of any subsequent acquisitions of Shares.

☐ Declaration on own behalf

I/We declare that I am/we are applying for the Shares on my own/our own behalf/on behalf of a company and that

I am/we are/ the company is entitled to the Shares in respect of which this declaration is made and that I am/we are/the company is not currently resident or ordinarily resident in Ireland, and should I/we/the company become resident in Ireland I will/we will so inform you, in writing, accordingly.

☐ Declaration as Intermediary

I/We declare that I am/we are applying for Shares on behalf of the persons:

who will be beneficially entitled to the Shares; and, who, to the best of my/our knowledge and belief, are neither resident nor ordinarily resident in Ireland.

I/We also declare that:

Unless I/we specifically notify you to the contrary at the time of application, all applications for Shares made by me/us from the date of this application will be made on behalf of such persons; and, I/we will inform you in writing if I/we become aware that any person, on whose behalf I/we holds Shares, becomes resident in Ireland.

Name and address of applicant \_\_\_\_\_  
 \_\_\_\_\_

Signature of applicant or authorised signatory \_\_\_\_\_ (declarant)

Capacity of authorised signatory (if applicable) \_\_\_\_\_ Date \_\_\_\_\_

**Joint applicants**

Names _____	Signatures _____
_____	_____
_____	_____

**IMPORTANT NOTES:**

1. Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
2. To be valid, the application form (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the applicant. Where there is more than one applicant, each person must sign. If the applicant is a company, it must be signed by the company secretary or another authorised officer.
3. If the application form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature.



**Declaration referred to in Section 739D (6) Taxes Consolidation Act, 1997**

- I declare that the information contained in this declaration is true and correct.
- I also declare that I am applying for the Shares on behalf of the applicant named below who is entitled to the Shares in respect of which this declaration is made and is a person referred to in Section 739D (6) of the Taxes Consolidation Act, 1997, being a person who is:

Please tick (✓) as appropriate.

- ☐ A pension scheme
- ☐ A company carrying on life business within the meaning of section 706 TCA 1997
- ☐ An investment undertaking
- ☐ A special investment scheme
- ☐ A unit trust to which section 731(5) (a) TCA 1997 applies
- ☐ A charity being a person referred to in section 739D(6)(f)(i) TCA 1997
- ☐ A qualifying management company
- ☐ A specified company
- ☐ Entitled to exemption from income tax and capital gains tax by virtue of sections 784A(2), and 787I of the TCA 1997, (see further requirements for Qualifying Fund Manager below).
- ☐ A credit union to which Section

Additional requirement where the declaration is completed on behalf of a pension scheme, a company carrying on life business within the meaning of section 706 TCA 1997, an investment undertaking, a special investment scheme, a unit trust to which section 731(5)

1. TCA applies, a qualifying management company or a credit union to which Section 2 of the Credit Union Act 1997 applies

- I undertake that, in the event that the Shares cease to be assets of the pension scheme/company carrying on life business within the meaning of section 706 TCA 1997/investment undertaking/special investment scheme/unit trust to which section 731(5) (a) TCA applies/qualifying management company/credit union to which Section 2 of the Credit Union Act 1997 applies, including a case where the Shares are transferred to another such entity, I will, by written notice, bring this fact to the attention of the investment undertaking accordingly.

**Additional requirements where the declaration is completed on behalf of a Charity**

- I also declare that at the time of making this declaration, the Shares in respect of which this declaration is made are held for charitable purposes only and;
- Form part of the assets of a body of persons or trust related by the Revenue Commissioners as a body or trust established for charitable purposes only, or are, according to the rules or regulations established by statute, charter, decree, deed of trust or will, held for charitable purposes only and are so treated by the Revenue Commissioners.
- I undertake that, in the event that the person referred to in paragraph (7) (d) of Schedule 2B TCA 1997 ceases to be a person referred to in Section 739D(6)(f)(i) TCA 1997, I will, by written notice, bring this fact to the attention of the investment undertaking accordingly.

**Additional requirements where the declaration is completed by a Qualifying Fund Manager**

I also declare that at the time this declaration is made, the Shares in respect of which this declaration is made:

- Are assets of an approved retirement fund/an approved minimum retirement fund, and
- Are managed by the declarant for the individual named below who is beneficially entitled to the Shares.

I undertake that, if the Shares cease to be assets of the approved retirement fund/the approved minimum retirement fund, including a case where the Shares are transferred to another such fund, I will, by written notice, bring this fact to the attention of the investment undertaking accordingly.

Additional requirements where the declaration is completed by an Intermediary I/We declare that I am/we are applying for Shares on behalf of persons who;

- To the best of my/our knowledge and belief, have beneficial entitlement to each of the Shares in respect of which this declaration is made; and
- Is a person referred to in section 739D(6) TCA 1997.

I/We also declare that

- Unless I/we specifically notify you to the contrary at the time of application, all applications for Shares made by me/us from the date of this application will be made on behalf of persons referred to in section 739D(6) TCA 1997; and
- I/We will inform you in writing if I/we become aware that any person ceases to be a person referred to in section 739D(6) TCA 1997.

Name of Applicant \_\_\_\_\_

Irish Tax Reference Number of Applicant \_\_\_\_\_

Authorised Signatory \_\_\_\_\_

Capacity in which declaration is made \_\_\_\_\_ Date \_\_\_\_\_

**IMPORTANT NOTES:**

1. This is a form authorised by the Revenue Commissioners which may be subject to inspection. It is an offence to make a false declaration.
2. Tax reference number in relation to a person, has the meaning assigned to it by Section 885 TCA 1997 in relation to a "specified person" within the meaning of that section. In the case of a charity, quote the Charity Exemption Number (CHY) as issued by Revenue. In the case of a qualifying fund manager, quote the tax reference number of the beneficial owner of the Shares.
3. In the case of (i) an exempt pension scheme, the administrator must sign the declaration (ii) a retirement annuity contract to which Section 784 or 785 applies, the person carrying on the business of granting annuities must sign the declaration (iii) a trust scheme, the trustees must sign the declaration. In the case of a charity, the declaration must be signed by the trustees or other authorised officer of a body of persons or trust established for charitable purposes only within the meaning of Sections 207 and 208 TCA 1997. In the case of a company, the declaration must be signed by the company secretary or other authorised officer. In the case of a unit trust it must be signed by the trustees. In any other case, it must be signed by an authorised officer of the entity concerned or a person who holds a power of attorney from the entity. If the latter, a copy of the power of attorney should be furnished in support of this declaration.

The Return of Values (Investment Undertakings) Regulations 2013 (S.I. 245 of 2013) (the “Regulations”) requires certain Irish Investment Undertakings to make annual returns to the Irish Revenue Commissioners of the value of the investments in a tax year held by certain unit holders.

In order to satisfy the Regulations, the Fund must collect the following additional information from any applicants which are Irish Resident or Ordinarily Resident in Ireland (that are not excepted unit holders within the meaning of the Regulations):

Tax Identification Number (TIN) / PPS Number: \_\_\_\_\_

Furthermore, the Regulations require the Fund to seek appropriate documentation from the applicant to verify the above TRN or PPS Number. Any one of the following additional documents is required to verify the TIN or PPS Number (either an original or a copy will suffice):

- P60
- P45
- P21 Balancing Statement
- Payslip (where employer is identified by name or tax number)
- Drug Payment Scheme Card
- European Health Insurance Card
- Tax Assessment
- Tax Return Form
- PAYE Notice of Tax Credits
- Child Benefit Award Letter / Book
- Pension book
- Social Services Card
- Public Services Card

In addition, any printed documentation issued by the Irish Revenue Commissioners or by the Department of Social Protection which includes your name, address and tax reference number is also acceptable.

In the case of joint account holders, the additional documentation is required for each Applicant.

Your personal information will be handled by the Administrator, the Fund or its duly appointed delegates as Data Processor for the Fund in accordance with the Data Protection Legislation. In particular, all the relevant security measures will be taken to ensure an adequate level of protection of the personal data against unauthorized access, accidental loss or destruction. Information provided herein will be processed for the purposes of complying with the Regulations and this may include disclosure to the Irish Revenue Commissioners.

Excepted Share Holders	
Share Holders	TCA 1997 reference
The following entities will constitute Excepted Share Holders provided the Fund has obtained a duly completed appropriate declaration:	
An investment undertaking	739D(6)(c)
An investment limited partnership	739D(6)(cc)
A pension scheme which is an exempt approved scheme	739D(6)(a)
A company carrying on a life assurance business	739D(6)(b)
A special investment scheme	739D(6)(d)
A unit trust to which section 731(5) applies	739D(6)(e)
A charity	739D(6)(f)(i)
ARFs, AMRFs	739D(6)(h)
A qualifying fund manager	739D(6)(g)
A qualifying savings manager	739D(6)(g)
PRSA providers	739D(6)(i)
The National Pensions Reserve Fund	739D(6)(l)
The National Asset Management Agency	739D(6)(ka)
A Section 110 Company	739D(6)m)
A Credit Union	739D(6)(j)
An Irish resident company but only where the Company is a money market fund	739D(6)(k)
A non-Irish resident Shareholder in respect of whom the Company has obtained a completed non- resident declaration or where the Company has adopted the Equivalent	739D(7) 739D(7B)
A Shareholder who holds their Shares in a recognised clearing system	739B

- I am/We are aged 18 or over and acknowledge that the purchase of Shares is based on the terms and conditions of the Fund's Prospectus, Key Investor Information Documents ("KIIDs") and the information contained in this application. Instructions to deal may be given by one applicant in a joint holding where all joint holders have completed and signed this form.
- I/We hereby represent that I/we have regular access to the Internet. I/We acknowledge that I/we have been offered the choice of receiving the Prospectus, KIIDs and Annual/Semi-Annual Reports on paper or in electronic form by means of a website and I/we hereby specifically consent to receiving the Prospectus, KIIDs and Annual/Semi-Annual Reports in electronic form by way of accessing the latest version of the document online at [www.nbad.com](http://www.nbad.com) (or such other website address as may be notified to us from time to time). The Prospectus, KIIDs and Annual/Semi-Annual Reports will be available at [www.nbad.com/en-ae/private-banking/investment-products/nbad-funds.html](http://www.nbad.com/en-ae/private-banking/investment-products/nbad-funds.html) and I/we hereby confirm that I/we have also been notified electronically of this website address and the place where on the website the Prospectus, KIIDs and Annual/Semi-Annual Reports can be accessed. I/We hereby acknowledge that I/we have received or accessed by electronic means the Prospectus, KIIDs and Annual/Semi-Annual Reports. I/We also consent to accessing the Prospectus, KIIDs and Annual/Semi-Annual Reports by electronic means before making any subsequent and/or future subscriptions for Shares in any share class and/or Sub- Fund.
- I/We acknowledge that any notice or document may be served by the Fund on me/us in the manner specified from time to time in the Prospectus or in the Fund's memorandum and articles of association and for the purposes of the Electronic Commerce Act 2000, consent to any such notice or document being sent to me/us electronically to the email address which has been provided to the Fund or its delegate in completing this share application form or otherwise which I/We acknowledge(s) constitutes effective receipt by me/us of the relevant notice or document. I/We acknowledge that I/We am/are not obliged to accept electronic communication and may at any time choose to revoke my/our agreement to receive communications electronically by notifying the Fund in writing at the above address provided that my/our agreement to receive communications electronically shall remain in full force and effect pending receipt by the Fund of written notice of such revocation. I/We undertake to keep the Fund informed of any change to such email address.
- I/We certify that I am/we are eligible to invest in the Fund and I am/we are not acquiring Shares for or on behalf of, or for the benefit of, any person or entity who/which is not eligible to invest in the Fund nor do I/we intend transferring any Shares which I/ we may purchase to any person or entity who/which is not eligible to invest in the Fund. I/We confirm that I/we are aware of the risks involved in the proposed investment and of the fact that inherent in such investment is the potential to lose the entire sum invested.
- I/We agree to notify the Fund or the Administrator immediately if I/we become aware that any of the representations, declarations or warranties given by me/us in this Application Form is/are no longer accurate and complete in all respects and agree immediately to take such action as the Fund may direct, including where appropriate, redemption of my/our entire holding.
- I/We agree to indemnify the Administrator, on its own behalf and as agent of the Fund and agree to keep the Administrator and the Fund indemnified against any loss of any nature whatsoever arising to any of them as a result of any breach of any of the representations, warranties or declarations given by me/us in this Application Form.
- I/We have such knowledge and experience in business and financial matters or have obtained advice from a professional adviser such that I am/we are capable of evaluating the merits, and the risks, of an investment by me/us in the Fund.
- I/We understand that the tax disclosure set forth in the Prospectus is of a general nature and may not cover the jurisdiction in which I am/we are subject to taxation and that the tax consequences of my/our purchase of Shares depend on my/our individual circumstances.
- I/We acknowledge the right of the Fund at any time to require the mandatory redemption of Shares in the circumstances provided for in the Prospectus.
- I am/We are able to bear the economic risk of an investment in the Shares, including, without limitation, the risk of loss of all or a part of my/our investment. I/We do not have an overall commitment to investments which are not readily marketable that is disproportionate to my/our net worth, and my/our investment in the Shares will not cause such overall commitment to be excessive.
- I am neither a U.S. Person (as defined in the Prospectus), nor a U.S. Taxpayer (as defined below). I/We hereby certify that the Shares are not being acquired for the benefit of, directly or indirectly, any U.S. Person nor in violation of any applicable law, and that I/ we will not, subject to the conditions set forth in the Prospectus, sell or offer to sell or transfer Shares in the United States or to or for the benefit of a U.S. Person.

In particular:

- a) I/We understand that the Fund has not been and will not be registered under the United States Investment Company Act of 1940, as amended, that the Shares have not been registered and will not be registered under the United States Securities Act of 1933, as amended, and that the Shares have not been qualified under the securities laws of any state of the United States and may not be offered, sold or transferred in the United States or to or for the benefit of, directly or indirectly, any U.S. Person;
  - b) I am not/None of us is a U.S. Person; and (c) I am not/none of us is acquiring the Shares for the account or benefit, directly or indirectly, of any U.S. Person or with a view to their offer, sale or transfer within the United States or to or for the account or benefit, directly or indirectly, of any U.S. Person.
- I/We will not hold Shares on behalf of a U.S. Taxpayer (as defined below): “U.S. Taxpayer” is defined to include a U.S. citizen or resident alien of the United States (as defined for United States federal income tax purposes); any entity treated as a partnership or corporation for U.S. tax purposes that is created or organised in, or under the laws of, the United States or any state thereof (including the District of Columbia); any other partnership that is treated as a U.S. Taxpayer under U.S. Treasury Department regulations; any estate, the income of which is subject to U.S. income taxation regardless of source; and any trust over whose administration a court within the United States has primary supervision and all substantial decisions of which are under the control of one or more U.S. fiduciaries. Persons who have lost their U.S. citizenship and who live outside the United States may nonetheless, in some circumstances, be treated as U.S. Taxpayers.

An investor may be a “U.S. Taxpayer” but not a “U.S. Person.” For example, an individual who is a U.S. citizen residing outside of the United States is not a “U.S. Person” but is a “U.S. Taxpayer.”

- I/We declare that the entity hereby subscribing for Shares is neither a Benefit Plan Investor nor investing on behalf of or with any assets of a Benefit Plan Investor as defined below. (Benefit Plan Investors should contact the Administrator.) “Benefit Plan Investor” is used as defined in U.S. Department of Labor (“DOL”) Regulation § 2510.3-101(f)(2), and includes (i) any employee benefit plan (as defined in Section 3(3) of the Employee Retirement Income Security Act of 1974, as amended (“ERISA”)), whether or not such plan is subject to Title I of ERISA (which includes both U.S. and non-U.S. plans, plans of governmental entities as well as private employers, church plans, and certain assets held in connection with nonqualified deferred compensation plans); (ii) any plan described in Section 4975(e)(1) of the Internal Revenue Code of 1986, as amended, (the “Code”) (which includes a trust described in Code Section 401(a)) which forms a part of a plan, which trust or plan is exempt from tax under Code Section 501(a), a plan described in Code Section 403(a), an individual retirement account described in Code Section 408 or 408A or an individual retirement annuity described in Code Section 408(b), a medical savings account described in Code Section 220(d) and an education savings account described in Code Section 530); and (iii) any entity whose underlying assets include plan assets by reason of a plan’s investment in the entity (generally because 25 per cent. or more of a class of interests in the entity is owned by plans). Benefit Plan Investors also include that portion of any insurance company’s general account assets that are considered “plan assets” and (except if the entity is an investment company registered under the 1940 Act) the assets of any insurance company separate account or bank common or collective trust in which plans invest.
- We acknowledge that the Fund intends to take such steps as may be required to satisfy any obligations imposed by either (i) the Foreign Account Tax Compliance Act (“FATCA”) regulations or (ii) any provisions imposed under Irish law arising from the inter-governmental agreement between the Government of the United States of America and the Government of Ireland (“IGA”) so as to ensure compliance or deemed compliance (as the case may be) with the FATCA regulations or the IGA from 1 July 2014.
- Furthermore, I/We hereby acknowledge that the Fund intends to take such steps as may be required to satisfy any obligations imposed by (i) the Standard for Automatic Exchange of Financial Account Information in Tax Matters (“the Standard” and, specifically, the Common Reporting Standard (“CRS”) therein or (ii) any provisions imposed under Irish law arising from the Standard or any other international law implementing the Standard (to include the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information or the EU Council Directive 2011/16/EU 9 (as amended by Council Directive 2014/107/EU)) so as to ensure compliance or deemed compliance (as the case may be) with the Standard and the CRS therein from 1 January 2016.
- In order for the Fund to comply with the above FATCA and CRS obligations, I/We agree to provide to the Fund, the Investment Manager, the Administrator or any distributor with the necessary declarations, confirmations and/or classifications at such times as each of them may request and furthermore provide any supporting certificates or documents as each of them may reasonably require in connection with this investment by reason of FATCA or CRS, as described above, or otherwise. Should any information furnished to any of them become inaccurate or incomplete in any way, I/we hereby agree to notify the Fund, the Investment Manager, the Administrator and the distributor immediately of any such change and further agree to immediately

take such action as the Fund, the Investment Manager, the Administrator and/or any distributor may direct, including where appropriate, redemption of our Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Fund, the Investment Manager or the Administrator (as applicable). If relevant, I/we agree to notify the Administrator of any change to my/our tax residency status. I/we hereby also agree to indemnify and keep indemnified the Fund, the Investment Manager, the Administrator and/or any distributor against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly as a result of a failure to meet our obligations pursuant to this section or failure to provide such information which has been requested by the Investment

Manager, the Administrator or any distributor and has not been provided by me/us, and from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by me/us to the Investment Manager, the Administrator or the distributor. I/We further acknowledge that a failure to comply with the foregoing obligations or failure to provide the necessary information required may result in the compulsory redemption of our entire holding in the Fund in accordance with the provisions of the Memorandum and Articles of Association and I/we hereby confirm that the Fund or Custodian is authorized to hold back from redemption proceeds or other distributions to me/us such amount as is sufficient after the deduction of any redemption charges to discharge any such liability and I/we shall indemnify and keep indemnified the Fund and Custodian against any loss suffered by them or other Shareholders in the Fund in connection with any obligation or liability to so deduct, withhold or account.

- I/We confirm that I/we have completed the relevant Self-Certification Declaration which is attached to this Application Form at Appendix I/II. I/We further confirm that if any information included in the Self-Certification form subsequently becomes inaccurate or incorrect we will notify the Fund, the Investment Manager, the Administrator and the Distributor immediately of any such change and agree to immediately take such action as the Fund, the Investment Manager, the Administrator or the Distributor may direct, including where appropriate, redemption of our Shares.
- If I am/we are a commodity pool, my/our investment is directed by an entity which (i) is not required to be registered in any capacity with the CFTC or to be a member of the National Futures Association ("NFA"), (ii) is exempt from registration or (iii) is duly registered with the CFTC in an appropriate capacity or capacities and is a member in good standing of the NFA.
- Investment Company Representations
  - a) I am/We are neither an investment company required to be registered under the Investment Company Act of 1940, as amended (the "1940 Act"), nor an issuer that, but for an exception from the definition of "investment company" under the 1940 Act, would be an investment company,
  - b) I am/We are an investment company subject to registration or would be an investment company but for an exception under the 1940 Act.
- I/We have U.S. Person beneficial owner(s). (State the number, not the percentage, of U.S. Person beneficial owners. Investment companies with U.S. Person beneficial owners must contact the Administrator.)
- I/We, if not a natural person, am/are duly organised, validly existing and in good standing under the laws of the jurisdiction in which I am/we are organised and I/we have the power and authority to enter into and perform my/our obligations under this Application Form.
- The Administrator and the Fund are each hereby authorised and instructed to accept and execute any instructions in respect of the Shares to which this application relates given by me/us in written form or by facsimile. I/We hereby agree to indemnify the Administrator, on its own behalf and as agent of the Fund and agree to keep the Administrator indemnified against any loss of any nature whatsoever arising as a result of the Administrator acting upon facsimile instructions. The Administrator may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed by properly authorised persons.
- I/We acknowledge that due to anti-money laundering and counter terrorist financing requirements operating within Ireland, the Administrator or the Fund (as the case may be) may require further identification of the applicant(s) before the application can be processed and the Administrator, on its own behalf and as agent of the Fund and the Fund shall be held harmless and indemnified against any loss arising as a result of a failure to process the application, or a delay in processing any redemption requests, if such information requested by the Administrator or the Fund has not been provided by me/us or has been provided in incomplete form.
- I/We further agree to provide the Fund or its appointed Administrator with any additional documentation that it or they may require from time to time in accordance with current anti-money laundering and counter terrorist financing legislation including where I/We meet the definition of a politically exposed person<sup>1</sup> or are an immediate family member<sup>2</sup> or close associate<sup>3</sup> of such a politically exposed person.
- I/We hereby accept such lesser number of Shares, if any, than may be specified above in respect of which this application may be accepted.



- In respect of joint applicants only, we direct that on the death of one of us the Shares for which we hereby apply be held in the name of and to the order of the survivor or survivors of us or the executor or administrator of the last of such survivor or survivors.
- In accordance with the provisions of the Data Protection Legislation, I/we acknowledge and are informed that personal data given in this Application Form (or otherwise provided in connection with an application to subscribe for Shares in the Fund, on application or at any other time, including without limitation my/our name, age, contact details, bank account details, transactions and the invested amount, and any information regarding the dealing in Shares (subscription, conversion, redemption and transfer), will be collected, recorded, stored, adapted, transferred and processed, by electronic means or otherwise, by the Fund as a “data controller” under the Data Protection Legislation, and as further described in the Fund’s data privacy statement, which is set out in Appendix III hereto and is otherwise available upon request.
- I/We declare that the information contained in this form and any attached documentation is true and accurate to the best of my/our knowledge and belief.
- I/We shall provide the Fund and the Administrator with any additional information which it may reasonably request in connection with tax and/ or FATCA/ CRS regulations or reporting requirements or other similar requirements in order to substantiate any representations made by me/us or otherwise and I/we authorise the Fund or its agents to disclose such information relating to this application to such persons as they consider appropriate.
- I/We agree to provide to the Fund and the Administrator at such times as each of them may request such declarations, certificates or documents as each of them may reasonably require (the “Tax Information”) in connection with this investment (including for the purposes of tax and/ or FATCA/ CRS regulations or reporting requirements). Should any information furnished to any of them become inaccurate or incomplete in any way, I/we hereby agree to notify the Fund or the Administrator immediately of any such change and further agree to request the redemption of Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Fund.
- In addition to any information required to the Tax Information, I/We agree to promptly provide, and periodically update, at any times requested by the Fund or the Administrator with any information (or verification thereof) the Fund or the Administrator deems necessary to comply with any requirement imposed on the Fund including pursuant to tax and/ or FATCA/ CRS regulations or reporting requirements (including any imposed by any inter-governmental agreement or any legislation in relation to any intergovernmental agreement). This may include such information as is required to evidence the Fund’s (or any accountholder in the Fund’s) status for such purposes, but to include (not limited to) whether the Fund is a foreign financial institution (for FATCA purposes), or whether any of its account holders are US persons for these purposes.
- In addition to the Tax Information, I/We agree to promptly provide, at any times requested by the Fund or the Administrator, any information (or verification thereof) the Fund or the Administrator deems necessary for the Fund to comply with the terms of the IGA and any Irish laws, regulations or other guidance implementing the IGA, and any information required to comply with the terms of that agreement on an annual or more frequent basis. I/We agree to waive any provision of foreign law that would, absent such a waiver, prevent compliance with such requests and acknowledges that, if it fails to provide such waiver, it may be required by the Fund or the Administrator to withdraw from the Fund if necessary to comply with FATCA/ CRS regulations or reporting requirements.
- We represent and warrant the completeness and accuracy of any information (as at the date of submission) and authorise the Fund and the Administrator to act upon such information in good faith, including, but not limited to, disclosing or submitting such information to the Irish tax authorities. We represent and warrant that we have any requisite consent to disclose any information to you. The Fund shall have no obligation to carry out any investigation with respect to the truth, accuracy or completeness of any information provided accurate information.
- I/We hereby acknowledge that if I/we fail to provide any information on a timely basis, I/We may be subject to 30 U.S. withholding tax on the investor’s share of “with holdable payments”(as defined for purposes of FATCA) received by the Fund.



- I/We hereby acknowledge that if I/we fail to provide any information and such failure results in the Fund being unable to comply with the IGA, the Fund may exercise its right to completely redeem an applicant (at any time upon any or no notice). I/We further acknowledge and agree to indemnify the Fund and its other investors for any losses resulting from our failure to meet its obligations under this Section, including any U.S. withholding tax imposed on the Fund.
- I/We hereby acknowledge that any notice or document may be served by the Fund or Administrator on me/us in the manner specified from time to time in the Prospectus and, for the purposes of the Electronic Commerce Act 2000, if I have provided an e-mail address or fax number to the Fund or its delegate, consent to any such notice or document being sent to me/us by fax or electronically to the fax number or e-mail address previously identified to the Fund or its delegate which I/we acknowledge constitutes effective receipt by me/ us of the relevant notice or document. I/we acknowledge that I/we am/are not obliged to accept electronic communication and may at any time choose to revoke my/our agreement to receive communications by fax or electronically by notifying the Fund in writing at the above address, provided that my/our agreement to receive communications by fax or electronically shall remain in full force and effect pending receipt by the Fund of written notice of such revocation.
- Where I/we am/are investing as nominee, I/ we shall provide our client(s) with the KIID issued in respect of the Sub-Fund and/or Share Class (as the case may be) and I/we shall ensure that we do so in compliance with Commission Regulation (EU) No. 583/2010, as amended from time to time or by any supplemental legislation and in compliance with the applicable legislation in any jurisdiction in carrying out this activity. I/We shall maintain records of my/our provision of the KIID to my/our clients and shall furnish such records to the Fund, or its delegates, upon request.
- I/we acknowledge that the Fund operates a number of cash accounts in different currencies in its name into which (i) subscription monies received from investors who have subscribed for Shares are deposited and held until Shares are issued as of the relevant Dealing Day; and (ii) redemption monies due to investors who have redeemed Shares are deposited and held until paid to the relevant investors; and (iii) dividend payments owing to Shareholders are deposited and held until paid to such Shareholders (hereinafter referred to as “Umbrella Cash Account(s)”). We acknowledge that all subscriptions, redemptions and dividends payable to or from a Sub-Fund are channeled and managed through the Umbrella Cash Accounts.
- I/we acknowledge that my / our subscription monies/ redemption monies / dividend monies will be paid into the Umbrella Cash Account, that such monies will be treated as an asset of the relevant Sub-Fund and I/we will not benefit from the application of any investor money protection rules (i.e. the monies will not be held on trust as investor monies for me/us) and that I/we will be an unsecured creditor of the relevant Sub-Fund (i) with respect to the amount subscribed for Shares and held in the Umbrella Cash Account until such Shares are issued to me/us as of the relevant Dealing Day or (ii) with respect to the redemption/dividend amount to be paid and held in the Umbrella Cash Account until such amount is paid to me/us (whichever is applicable).
- I/we acknowledge that in accordance with applicable anti money-laundering and terrorist financing requirements (the “AML Requirements”), redemption monies or dividend payments shall not be paid on un-verified accounts. In the event that I/we fail to submit the necessary documentation requested by the Fund or its delegate as required under the AML Requirements, redemption monies or dividend monies will be held in an Umbrella Cash Account and shall remain an asset of the relevant Sub-Fund and I/we will not benefit from the application of any investor money protection rules (i.e. the redemption monies/dividend monies will not be held on trust for me/us). In such circumstances, I/we acknowledge that I/we will be unsecured creditors of the relevant Sub-Fund in respect of such redemption monies or dividend payments until such time as the relevant documentation required by the Fund has been received to its satisfaction and the redemption monies/dividend payments have been paid to me/us.

I/we acknowledge that the following risks arise in relation to the operation of the Umbrella Cash Account:-

- (ii) In the event that subscription monies received and held in an Umbrella Cash Account are lost (to include in the event of the insolvency of the bank with which such monies are held) prior to the issue of Shares to the relevant investor as of the relevant Dealing Day, the Fund on behalf of the Sub-Fund may be obliged to make good any losses suffered by the investor (in its capacity as a general creditor of the Sub-Fund), in which case such loss will need to be discharged out of the assets of the relevant Sub- Fund and therefore will represent a diminution in the net asset value per share for existing Shareholders of the relevant Sub-Fund;
- (iii) In the event that redemption or dividend monies held in an Umbrella Cash Account are lost (to include in the event of the insolvency of the bank with which such monies are held) prior to payment to the relevant investor/ Shareholder, the Fund on behalf of the Sub-Fund may be obliged to make good any losses suffered by the investor/ Shareholder (in its capacity as a general creditor of the Sub-Fund), in which case such loss will need to be discharged out of the assets of the relevant Sub-Fund and therefore will represent a diminution in the net asset value per Share for existing Shareholders of the relevant Sub-Fund;

- (iv) In the event of an insolvency of the relevant Sub-Fund or the Fund, there is no guarantee that the Sub-Fund or the Fund will have sufficient funds to pay unsecured creditors in full. Investors who have forwarded subscription monies in advance of a dealing day and which are held in the Umbrella Cash Account and investors /Shareholders due redemption / dividend monies which are held in the Umbrella Cash Account will rank equally with all other unsecured creditors of the relevant Sub-Fund and will be entitled to a pro-rata share of monies which are made available to all unsecured creditors by the insolvency practitioner. Therefore, in such circumstances, the investor subscribing for Shares may not recover all monies originally paid into the Umbrella Cash Account in relation to the application for Shares and the redeeming investor entitled to redemption monies and the Shareholder entitled to a dividend payment may not recover all monies originally paid into the Umbrella Cash Account for onward transmission to that investor/Shareholder;
- (v) In addition, investors should note that in the event of the insolvency of another Sub-Fund of the Fund, recovery of any amounts to which a relevant Sub-Fund is entitled, but which may have been used by such other insolvent Sub-Fund as a result of the operation of the Umbrella Cash Account(s) will be subject to the principles of Irish trust law and the terms of the operational procedures for the Umbrella Cash Accounts. There may be delays in effecting and/or disputes as to the recovery of such amounts, and the insolvent Sub-Fund may have insufficient funds to repay the amounts due to the relevant Sub-Fund.

I/We declare that the information contained in this form and any attached documentation is true and accurate to the best of my/our knowledge and belief.

Date \_\_\_\_\_

Signed

Signatory Capacity if applicable (i.e. Director/Manager)

1. \_\_\_\_\_

\_\_\_\_\_

2. \_\_\_\_\_

\_\_\_\_\_

3. \_\_\_\_\_

\_\_\_\_\_

4. \_\_\_\_\_

\_\_\_\_\_

#### In the case of all joint holders – All holders must complete this declaration

<sup>1</sup>A PEP is defined as an individual who is, or has been in the preceding 12 months, entrusted with a prominent public function, including either of the following individuals (but not including any middle ranking or more junior official);

- (a) a specified official
- (b) a member of the administrative, management or supervisory body of a state-owned enterprise.

A “specified official” is further defined as any of the following officials (including any such officials in an institution of the European Communities or an international body):

- (a) a head of state, head of government, government minister or deputy or assistant government minister;
- (b) a member of a parliament;
- (c) a member of a supreme court, constitutional court or other high level judicial body whose decisions, other than in exceptional circumstances, are not subject to further appeal;
- (d) a member of a court of auditors or of the board of a central bank;
- (e) an ambassador, chargé d'affairs or high-ranking officer in the armed forces.

<sup>2</sup>An “immediate family member” includes any spouse, child, parent, brother or sister of a PEP, any person considered to be equivalent to a spouse under the national or other law of the place where the person or PEP resides or any spouse of a child of the PEP.

<sup>3</sup>A “close associate” of a PEP includes any individual who has a joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations with the PEP or any individual who has a sole beneficial ownership of a legal arrangement set up for the actual benefit of the PEP.

Apply Rebate on this Fund

Management Fee \_\_\_\_\_

Investor Fee rebate \_\_\_\_\_

Frequency of rebate \_\_\_\_\_

Paid or Re-invested \_\_\_\_\_

Side letter received \_\_\_\_\_

Date \_\_\_\_\_

**Anti-Money Laundering Verification Requirements in accordance with  
The Criminal Justice (Money Laundering and Terrorist Financing) Act, 2010, as  
amended**

Guide to completing this form.

- Part I Beneficial Ownership Detail must be provided by All Applicants
- Part II To be completed by any applicant which is a Recognised Regulated Entity; e.g. a bank, provider of financial services or nominee company investing on its own behalf or on behalf of a third party and if regulated for compliance with applicable Anti Money Laundering regulations in a Prescribed Country<sup>1</sup>
- Part III To be completed by any Individual (s) investing in their own name
- Part IV To be completed by any Unregulated Nominee Company that does not fall within scope of Part II above.
- Part V To be completed by any Politically Exposed Person(s) investing into the Fund.
- Part VI To be completed by Other Investors investing into the Fund.

**Note that, in all cases the Administrator or Fund may, at its absolute discretion request further due diligence documentation/ information to satisfy applicable procedural and regulatory requirements.**

**PART I – Beneficial Ownership Detail**

Full Name of any Individual with a beneficial interest of 25% or more in this investment: or anyone who otherwise exercises control of the legal entity, where applicable:

- |          |          |
|----------|----------|
| 1. _____ | 2. _____ |
| 3. _____ | 4. _____ |

**Note:** If there is/ are no Individual(s) with a beneficial interest of 25% or more in this investment or anyone that otherwise exercises control of the legal entity, where applicable please check the box below:

☐

**PART II – Recognised Regulated Entities**

Applicant is a Recognised Regulated Entity (as previously defined) acting on its own account or on behalf of a third party

YES ☐

Name of Regulatory Authority:

\_\_\_\_\_

Applicable Domestic Regulations:

\_\_\_\_\_

<sup>1</sup>Prescribed Countries as set out in SI 347 of 2012: Australia, Austria, Belgium, Brazil, Bulgaria, Canada, Channel Islands, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hong Kong, Hungary, Iceland, India, Ireland, Isle of Man, Italy, Japan, Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Mexico, Netherlands, Norway, Poland, Portugal, Romania, Singapore, Slovakia, Slovenia, South Africa, South Korea, Spain, Sweden, Switzerland, United Kingdom, United States, The Dutch overseas territories of Netherlands Aruba, Curacao, Sint Maarten, Bonaire, Sint Eustatius and Saba. The French overseas territories of Mayotte, New Caledonia, French Polynesia, Saint Pierre and Miquelon and Wallis & Futuna .

PART III – Individual(s)

Please provide

1. A copy photographic identity document e.g. Passport or Driver's License and
2. Two copies of non-photographic identity documents<sup>2</sup> e.g. utility bill / bank statement dated within the last six months.

Current Occupation (s)

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Date of Birth

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In the case of joint account holders, please supply the relevant documentation and information in respect of all holders.

PART IV – Unregulated  
 Nominee Company

Please provide

1. Standard Reliance Letter<sup>3</sup> and
2. Proof of Regulatory Status of Parent Company or
3. Documentation in accordance with the legal form of the Nominee Company (see Part VI)

PART V – Politically Exposed Persons

A **Politically Exposed Person** is defined as an individual who is or was at any time in the preceding 12 months entrusted with a prominent public function or immediate family members of such persons or persons known to be close professional associates of such persons.

Please confirm whether you are a **Politically Exposed Person (PEP)**

YES: ☐

NO: ☐

**Required Identity Verification Documentation**

1. Certified Copy Photographic Identity Document e.g. Passport or Driver's License and
2. Two Certified Copies of Proof of Residential Address Verification e.g. utility bill / bank statement dated within the last six months
3. Source of Funds
4. Source of Wealth

**Note:** In terms of certified documents, this means that there is an original signature on the document from a suitable person confirming the documents are a true copy of the original, and they will need to sign and date it, printing their name, occupation, address, telephone number and email address. Suitable persons include any of the following; police officer, practicing solicitors, embassy consular staff, financial institutions, medical professions, notaries public. The person certifying the documents should be independent of the investor.

- 
2. Please contact the Administrator directly if you have any queries
  3. To be requested from the Administrator

**A. Source of Funds**

Please provide details

Earnings from Employment/Self Employment	<input type="checkbox"/>	Inheritance or Gift	<input type="checkbox"/>
Investment Income	<input type="checkbox"/>	Matured Investment	<input type="checkbox"/>
Lump Sum Retirement	<input type="checkbox"/>	Court Award	<input type="checkbox"/>
Sale of Property	<input type="checkbox"/>	Other—please specify below	<input type="checkbox"/>
Other	<input type="text"/>		

**B. Source of Wealth**

Please provide a brief description of your source of wealth (source of total accumulated net worth)

**PART VI – OTHER INVESTORS (Standard Customer Due Diligence)**

If you fall under one of the investor categories outlined below please provide documents evidencing the requested information .

Note that, in all cases this is an indicative list only and the Administrator or Fund may, at its absolute discretion request further due diligence documentation/ information to satisfy applicable procedural and regulatory requirements.

**Listed Company on a Recognised Exchange<sup>4</sup>**

1. Please provide Proof of Listing on a recognised stock exchange in a Prescribed Country

**Listed Company — Not Appearing on a Recognised Exchange**

Please provide:

1. Proof of listing of the company.
2. Full name of the company.
3. Registered number of the company.
4. Registered office address of the company.
5. Principal business address of the company.
6. Details of Directors of the company- including name, residential address and date of birth.
7. Detail of any beneficial owners who are natural persons, who own more than 25% of the share capital, profit or voting rights or otherwise exercise control over the management of the company.
8. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) identify any Beneficial Owner
9. Verification of identity of Company by providing one of the below:
  - Search of the relevant company registry; or
  - Copy of Certificate of incorporation or equivalent; or
  - Copy of Memorandum and Articles of Association or equivalent; or
  - Copy of latest audited financial statements.

<sup>4</sup> A Recognised Exchange is regulated under MiFid or deemed to have equivalent transparent rules

### **Wholly Owned Subsidiary of a Listed Company**

**Please provide**

1. Full name of the subsidiary company.
2. Registered number of the subsidiary company.
3. Registered office address of the subsidiary company.
4. Principal business address of the subsidiary company.
5. Details of Directors of the company - including name, residential address and date of birth.
6. Detail of any Beneficial Owner beneficially entitled to more than 25% of the share capital, profit or voting rights or otherwise exercise control over the management of the entity. Where the Beneficial Owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.
7. Confirmations as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) provide identity detail for any Beneficial Owner.
8. Verification of identity of the subsidiary company by providing one of the below:
  - Search of the relevant company registry; or
  - Copy of Certificate of incorporation or equivalent; or
  - Copy of Memorandum and Articles of Association or equivalent; or
  - Copy of latest audited financial statements.

### **Private Company**

**Please provide**

1. Full name of the company.
2. Registered number of the company.
3. Registered office address of the company.
4. Principal business address of the company.
5. Details of directors of the company- including name, residential address and date of birth.
6. Documentation to verify the identity of two directors or one director and one authorised signatory in line with legal form (If individuals, one proof of ID and one proof of address is required).
7. Detail of any beneficial owners who are natural persons, own more than 25% of the share capital, profit or voting rights or otherwise exercise control over the management of the company. Where the Beneficial Owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.
8. Verification of identity of the company by providing one of the below:
  - Search of the relevant company registry; or
  - Copy of Certificate of incorporation or equivalent; or
  - Copy of Memorandum and Articles of Association or equivalent; or
  - Copy of audited financial statements.

### **Partnership**

**Please provide**

1. Full name of the partnership.
2. Registered office address
3. Principal business address of the partnership.
4. Detail of all partners- including name, residential address and date of birth.
5. Documentation to verify the identity of two partners or one partner and one authorised signatory (If individuals, one proof of ID and one proof of address is required)
6. Detail of any partners who own more than 25% of the partnership capital, profit or voting rights or otherwise exercise control over the management of the partnership. Where the Beneficial Owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form. Note: Where the beneficial owner is a corporate entity, Northern Trust requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc.).
7. Constitutional Document for the partnership (e.g. Partnership Agreement).

**Limited Liability Company**  
**Please provide**

1. Full name of the LLC.
2. Registered office address of the LLC.
3. Principal business address of the LLC.
4. Details of all Managing Members- including name, residential address and date of birth.
5. Documentation to verify the identity of two Managing Members or one Managing Member and one authorised
6. Detail of any Member beneficially entitled to more than 25% of the entity's share capital or otherwise exercise control over the management of the entity. Where the Beneficial Owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.
7. Constitutional Document
8. Operating Agreement.

**Collective Investment Scheme ('CIS')**  
**Please provide**

1. Full name of CIS.
2. Registered address of CIS.
3. Prospectus or equivalent.
4. Name and address of scheme promoter.
5. Name and address of scheme administrator.
6. Name and address of entity carrying out anti-money laundering checks upon the scheme investors and confirmation that entity is regulated for AML purposes.
7. Identity detail for any investors who own more than 25% of the share capital.

**Trust, Foundation or similar entity**  
**Please provide**

1. Full name of trust, foundation or similar entity.
2. Registered address of trust, foundation or similar entity.
3. Legal form of the trust, foundation or similar entity.
4. Trust deed or equivalent or confirmation of the entity to an appropriate register.
5. Detail of Nature / purpose of the Trust, foundation or similar entity.
6. Details of all trustees- including name, residential address and date of birth.
7. Documentation to verify the identity of two trustees or one trustee and one authorised signatory (If individuals, one proof of ID and one proof of address is required)
8. Identity detail for any beneficial owners who own more at least 25% of the share capital or voting rights or otherwise exercises control over the trust. Where the Beneficial Owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form. Note: Where the beneficial owner is a corporate entity, the Administrator requires details of ultimate beneficial owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc.).
9. Details of settlor- including name, residential address and date of birth, as applicable
10. Details of protector (as appropriate)- including name, residential address and date of birth, as applicable

**Employee/ Superannuation Pension Scheme**  
**Please provide**

1. Proof of registration from the relevant tax authorities

**General Pension Scheme**  
**Please provide**

1. Full name of the pension scheme.
2. Registered office address of the pension scheme.
3. Confirmation of registration (as appropriate) from the relevant tax authorities or pension's board or
4. Documentation to verify the identity of two Trustees / Directors/Governors/Board Members or one Trustee/ Director/Governor/ Board Member and one authorised signatory (If individuals, one proof of ID and one proof of address is required)
5. Constitutional/Formation Document (e.g. Trust Deed).



**Registered Charity**

**Please provide**

1. Extract from the relevant Charities Register e.g. UK Charities Commission

**Unregistered Charity**

**Please provide**

1. Full name of the charity.
2. Nature/purpose including the nature of the funding of the charity.
3. Registered office address of the charity.
4. Principal business address of the charity.
5. Details of Trustees/Directors/ Governors/Board Members or equivalent.- including name, residential address and date of birth.
6. Documentation to verify the identity of two Trustees / Directors/Governors/Board Members  
Director/Governor/ Board Member and one authorised signatory (If individuals, one proof of ID and one is required)
7. Details of beneficiaries (where ascertainable).
8. Constitutional/Formation Document for the charity

**Club or Society**

**Please provide**

1. Full name of the club/society.
2. Registered office address of the club/society.
3. Nature/Purpose including the nature of funding of the club/society.
4. Confirmation of the legal status of the club/society.
5. Constitutional/Formation Document (e.g. Trust Deed) and / or copy of audited financial statements (if available).
6. Details of officers of the club/society.
7. Documentation to verify the identity of two officers of the Club/Society or one officer and one authorised signatory  
(If individuals, one proof of ID and one proof of address is required)

**Government / Public Body in Ireland**

**Please provide**

1. Background from a reliable source (e.g. internet search).

**Government/ Public Body Outside of Ireland**

**Please provide**

1. Full name of the government/public authority.
2. Nature and status of the government/public authority.
3. Registered office address of the government/public authority.
4. Name of the home state authority and nature of its relationship with the government/public authority.
5. Detail of ownership of the government/public authority.
6. Details of main public body officials- including name, residential address and date of birth.
7. Identity detail for all persons who own or control over 25% of the entity's share capital, profit or voting rights or otherwise exercises control over the management of the entity.
8. Note: Where the beneficial owner is a corporate entity, the Administrator requires details of ultimate beneficial owners
9. (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc).
10. Appropriate background information on the entity (e.g. via internet search).

**School, College or University**

**Please provide**

1. Full name of school, college or university.
2. Registered office address of school, college or university.
3. Detail to allow verification of identity of school, college or university from relevant registers and/or from obtaining appropriate background information (e.g. via internetsearch).
4. Documentation to verify the identity of two officials or one official and one authorised signatory (If individuals, one proof of ID and one proof of address is required).
5. Confirmation of ownership of the entity. In particular, confirmation of public ownership or independent ownership.
6. Where independently owned, identity detail of all persons who own or control over 25% of the entity's share capital, profit or voting rights. Where the Beneficial Owner is deemed high risk per NT risk rating requirements, the identity should be verified in line with its legal form.
7. Detail of main officials of school, college or university- including name, residential address and date of birth.

## APPENDIX I

### **Individual (including Controlling Persons) Self-Certification for FATCA and CRS**

#### **Instructions for completion and Data Protection Notice**

*We are obliged under Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this form you are providing personal information which may constitute personal data within the meaning of the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2003. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Fund, with the Irish tax authorities, the Revenue Commissioners. They may in turn exchange this information, and other financial information with foreign tax authorities, including tax authorities outside the EU.*

If you have any questions about this form or defining the account holder's tax residency status, please speak to a tax adviser or local tax authority.

For further information and guidance on FATCA or CRS please refer to the Irish Revenue or OECD websites at: <http://www.revenue.ie/en/business/aepi/index.html>  
<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/> In the case of CRS only.

*If any of the information below about the account holder's tax residence or FATCA/CRS classification changes in the future, please advise of these changes promptly.*

*Please note that where there are joint account holders **each account holder** is required to complete a separate Self-Certification form.*

**Section 1, 2, 3 and 5 must be completed by all Account holders or Controlling Persons.**

**Section 4 should only be completed by any individual who is a Controlling Person of an entity account holder which is a Passive Non-Financial Entity, or a Controlling Person of an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.**

**(Mandatory fields are marked with an \*)**

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#### **\*Section 1: Account Holder/Controlling Person Identification**

**\*Account Holder / Controlling Person Name:** \_\_\_\_\_

**\*Current Residential Address:**

Number: \_\_\_\_\_ Street: \_\_\_\_\_

City, Town, State, Province or County: \_\_\_\_\_

Postal/ZIP Code: \_\_\_\_\_ Country: \_\_\_\_\_

**Mailing address (if different from above):**

Number: \_\_\_\_\_ Street: \_\_\_\_\_

City, Town, State, Province or County: \_\_\_\_\_

Postal/ZIP Code: \_\_\_\_\_ Country: \_\_\_\_\_

**\*Place and Date Of Birth**

**\*Town or City of Birth:** \_\_\_\_\_ **\*Country of Birth:** \_\_\_\_\_

**\*Date of Birth:** \_\_\_\_\_

**\*Section 2: FATCA Declaration of U.S. Citizenship or U.S. Residence for Tax purposes:**

Please tick either (a) or (b) and complete as appropriate.

- (a) ☐ I confirm that I am a U.S. citizen and/or resident in the U.S. for tax purposes and my U.S. federal taxpayer identifying number (U.S. TIN) is as follows:

OR

- (b) ☐ I confirm that I am not a U.S. citizen or resident in the U.S. for tax purposes.

**\*Section 3: Common Reporting Standard (CRS) Declaration of Tax Residency/Residencies (please confirm all Tax Residencies)**

Please indicate your country of tax residence (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers ("TINs")).

For further guidance on Tax Residence and TINs, please refer to the OECD CRS Information Portal <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>

**NOTE:** Under the Irish legislation implementing the CRS, provision of a Tax ID number (TIN) is required to be provided unless:

- a) You are tax resident in a Jurisdiction that does not issue a TIN, Or,  
b) You are tax resident only in a non-reportable Jurisdiction (i.e. Ireland or the USA)

Country of Tax Residency	Tax ID Number	If TIN unavailable Select (A, B or C) and check box below

If a TIN is unavailable, please tick the appropriate box as follows;

☐ **Reason A** - The country/jurisdiction where the Account Holder is resident does not issue TINs or TIN equivalents to its residents

☐ **Reason B** – The Account Holder is otherwise unable to obtain a TIN (Please explain why you are unable to obtain a TIN)

☐ **Reason C** – No TIN is required. (Note: This should only be selected if the domestic law of the relevant country/jurisdiction does not required the collection of the TIN issued by such country/jurisdiction)

#### Section 4 – Type of Controlling Person

(**ONLY** to be completed by an individual who is a Controlling Person of an entity which is a Passive NFE or an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution)

For Joint or multiple Controlling Person(s) please complete a separate *“Individual (Including Controlling Persons) Self-Certification for FATCA and CRS form* for **each** Controlling Person.

Please Confirm the type of Controlling Person applicable under CRS that applies to you/the Account holder by ticking the appropriate box	Please Tick	Entity Name
Controlling Person of a legal person – control by ownership		
Controlling Person of a legal person – control by other means		
Controlling Person of a legal person – senior managing official		
Controlling Person of a trust – settlor		
Controlling Person of a trust – trustee		
Controlling Person of a trust – protector		
Controlling Person of a trust – beneficiary		
Controlling Person of a trust – other		
Controlling Person of a legal arrangement (non-trust) – settlor-equivalent		
Controlling Person of a legal arrangement (non-trust) – trustee-equivalent		
Controlling Person of a legal arrangement (non-trust) – protector-equivalent		
Controlling Person of a legal arrangement (non-trust) – beneficiary equivalent		
Controlling Person of a legal arrangement (non-trust) – other-equivalent		

**\*Section 5: Declaration and Undertakings:**

I declare that the information provided in this form is, to the best of my knowledge and belief, accurate and complete.

I acknowledge and consent to the fact that the information contained in this form and information regarding the Account Holder may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information.

I undertake to advise the recipient promptly and provide an updated Self-Certification form within 30 days where any change in circumstances occurs which causes any of the information contained in this form to be incorrect.

**Data Protection - Customer Information Notice :**

The Common Reporting Standard (CRS), formally referred to as the Standard for Automatic Exchange of Financial Account Information, is an information standard for the automatic exchange of information (AEOI), developed in the context of the Organisation for Economic Co-operation and Development (OECD).

The standard requires that Financial Institutions in participating jurisdictions gather certain information from account holders (and, in particular situations, also collect information in relation to relevant Controlling Persons of such account holders).

Under CRS account holder information (and, in particular situations, information in relation to relevant Controlling Persons of such account holders) is to be reported to the relevant tax authority where the account is held, which, if a different country to that in which the account holder resides, will be shared with the relevant tax authority of the account holder's resident country, if that is a CRS-participating jurisdiction.

Information that may be reported includes name, address, date of birth, place of birth, account balance, any payments including redemption and dividend/interest payments, Tax Residency(ies) and TIN(s).

Further information is available on the OECD website: <http://oecd.org/tax/automatic-exchange/>  
And on the Irish Revenue website - <https://www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx>

\*Authorised Signature: \_\_\_\_\_

\*Print Name: \_\_\_\_\_

\*Date: (dd/mm/yyyy): \_\_\_\_\_

\*Capacity (if Controlling Person): \_\_\_\_\_

## APPENDIX II

### Entity Self-Certification for FATCA and CRS

#### **Instructions for completion and Data Protection notice.**

*We are obliged under Section 891E, Section 891F, and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this application form you are providing personal information, which may constitute personal data within the meaning of the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2003. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Fund, with the Irish tax authorities, the Revenue Commissioners. They in turn may exchange this information, and other financial information with foreign tax authorities, including tax authorities located outside the EU.*

If you have any questions about this form or defining the account holder's tax residency status, please speak to a tax adviser or local tax authority.

For further information and guidance on FATCA or CRS please refer to the Irish Revenue or the OECD website at:

<http://www.revenue.ie/en/business/aeoi/index.html>

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/> in the case of CRS only.

*If any of the information below about the account holder's tax residence or FATCA/CRS classification changes in the future, please ensure that we are advised of these changes promptly.*

**Account holders that are Individuals or Controlling Persons should not complete this form and should complete the form entitled "Individual (including Controlling Persons) Self-Certification for FATCA and CRS".**

**(Mandatory fields are marked with an \*)**

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#### **\*Section 1: Account Holder Identification**

**\*Account holder Name:** \_\_\_\_\_ (the "Entity")

**\*Country of Incorporation or Organisation:** \_\_\_\_\_

**\*Current (Resident or Registered) Address:**

Number: \_\_\_\_\_ Street: \_\_\_\_\_

City, town, State, Province or County: \_\_\_\_\_

Postal/ZIP Code: \_\_\_\_\_ Country: \_\_\_\_\_

**Mailing address (if different from above):**

Number: \_\_\_\_\_ Street: \_\_\_\_\_

City, town, State, Province or County: \_\_\_\_\_

Postal/ZIP Code: \_\_\_\_\_ Country: \_\_\_\_\_

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Please tick either (a), (b) or (c) below and complete as appropriate.

U.S. TIN: \_\_\_\_\_

Or

**b) The Entity is not a Specified U.S. Person** (Please also complete Sections 3, 4 and 5)

Or

**c) The Entity is a US person but not a Specified U.S. Person** (Please also complete Sections 4 and 5) ☐

Indicate exemption:

**\*Section 3: Entity's FATCA Classification** (the information provided in this section is for FATCA, please note your FATCA classification may differ from your CRS classification in Section 5):

### 3.1 Financial Institutions under FATCA:

If the Entity is a *Financial Institution*, please tick one of the below categories and provide the Entity's GIIN at 3.2 or indicate at 3.3 the reason why you are unable to provide a GIIN.

I.	<i>Irish Financial Institution or a Partner Jurisdiction Financial Institution</i>	<input type="checkbox"/>
II.	<i>Registered Deemed Compliant Foreign Financial Institution</i>	<input type="checkbox"/>
III.	<i>Participating Foreign Financial Institution</i>	<input type="checkbox"/>

**3.2 Please provide the Entity's *Global Intermediary Identification number (GIIN)***

.       .   .

**3.3 If the Entity is a *Financial Institution* but unable to provide a *GIIN*, please tick one of the below reasons:**

I.	<p>The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN</p> <p>Please provide the sponsor's name and sponsor's GIIN :</p> <p>Sponsor's Name: _____</p> <p>Sponsor's GIIN: [ ][ ][ ][ ][ ][ ] . [ ][ ][ ][ ][ ][ ] . [ ][ ] - [ ][ ][ ][ ]</p> <p>∞NOTE: this option is only available to Sponsored Investment Entities in Model 1 IGA jurisdictions. Sponsored Investment Entities that do not have U.S. reportable accounts are not required to register and obtain a GIIN with the IRS unless and until U.S. reportable accounts are identified.</p>	
II.	<p><b>The Entity is an Exempt Beneficial Owner,</b></p> <p>Please tick and confirm the category of Exempt Beneficial Owner:</p> <ul style="list-style-type: none"> <li>I.   <input type="checkbox"/> Government Entity</li> <li>II.   <input type="checkbox"/> International Organisation</li> <li>III.   <input type="checkbox"/> Foreign Central Bank</li> <li>IV.   <input type="checkbox"/> Exempt Retirement Fund</li> <li>V.   <input type="checkbox"/> Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners.</li> </ul>	<input type="checkbox"/>





**\*Section 4: Common Reporting Standard (“CRS”) Declaration of Tax Residency**  
**(Note that Entities may have more than one country of Tax Residency)**

Please indicate the Entity’s country of tax residence for CRS purposes, (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers (“TIN”)). Please refer to the OECD CRS Web Portal for AEOI for more information on Tax Residence and TIN’s.

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>

If the Entity is not tax resident in any jurisdiction (e.g., because it is fiscally transparent), please indicate that below and provide its place of effective management or country in which its principal office is located.

**NOTE:** Under the Irish legislation implementing the CRS, provision of a Tax ID number (TIN) is required to be provided unless:

- a) You are tax resident in a Jurisdiction that does not issue a TIN  
Or  
b) You are tax resident only in a non-reportable Jurisdiction (i.e. Ireland or the USA)

Country of Tax Residency	Tax ID Number	If TIN unavailable Select (A, B or C) and check box below

If a TIN is unavailable, please tick the appropriate box as follows;

- ☐ **Reason A** - The country/jurisdiction where the Account Holder is resident does not issue TINs or TIN equivalents to its residents
- ☐ **Reason B** - The Account Holder is otherwise unable to obtain a TIN (*Please explain why you are unable to obtain a TIN*)
- 
- ☐ **Reason C** - No TIN is required. (Note: This should only be selected if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction)

## \*Section 5: Entity's CRS Classification

(The information provided in this section is for CRS. Please note an Entity's CRS classification may differ from its FATCA classification in Section 3 above).

In addition please note that the information that the Entity has to provide may differ depending on whether they are resident in a participating or non-participating CRS Jurisdiction.

For more information please see the OECD CRS Standard and associated commentary.

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

### 5.1 Financial Institutions under CRS:

If the Entity is a *Financial Institution*, **Resident in either a Participating or Non-Participating CRS Jurisdiction** please review and tick one of the below categories that applies **and** specify the type of Financial Institution below.

**Note:** Please check the Irish Revenue AEOI portal at the time of completion of this form to confirm whether your country of Tax Jurisdiction is considered Participating or Non-Participating for the purposes of CRS Due-Diligence in Ireland.

<https://www.revenue.ie/en/companies-and-charities/documents/aeoi/participating-jurisdictions.pdf>

I.	<b>A Reporting Financial Institution resident in a participating CRS jurisdiction</b>	<input type="checkbox"/>
II.	<b>A Financial Institution Resident in a Non-Participating Jurisdiction</b> (Please also tick the box that applies)  <input type="checkbox"/> <b>An Investment Entity resident in a Non-Participating Jurisdiction and managed by another Financial Institution</b> (If this box is ticked, please indicate the name of any Controlling Person(s) of the Entity in <b>section 6 below</b> and complete a separate individual self-certification forms for each of your Controlling Persons)  <input type="checkbox"/> <b>An Investment Entity resident in a Non-Participating Jurisdiction that is not managed by another Financial Institution</b>  <input type="checkbox"/> <b>Other Financial Institution</b> , including a Depository Financial Institution, Custodial Institution or Specified Insurance Company	<input type="checkbox"/>
III.	<b>Non-Reporting Financial Institution under CRS.</b> <b>Specify the type of Non-Reporting Financial Institution below:</b>  <input type="checkbox"/> Governmental Entity <input type="checkbox"/> International Organization <input type="checkbox"/> Central Bank <input type="checkbox"/> Broad Participation Retirement Fund <input type="checkbox"/> Narrow Participation Retirement Fund <input type="checkbox"/> Pension Fund of a Governmental Entity, International Organization, or Central Bank <input type="checkbox"/> Exempt Collective Investment Vehicle <input type="checkbox"/> Trust whose trustee reports all required information with respect to all CRS Reportable Accounts <input type="checkbox"/> Qualified Credit Card Issuer <input type="checkbox"/> Other Entity defined under the domestic law as low risk of being used to evade tax. Specify the type provided in the domestic law:  _____	<input type="checkbox"/>

**5.2 Non Financial Institution ("NFE") under CRS:**

If the Entity is a *not defined as a Financial Institution under CRS* then please tick one of the below categories confirming if you are an Active NFE or Passive NFE.

I.	<b>Active NFE</b> – a corporation the stock of which is regularly traded on an established securities market.  Please provide the name of the established securities market on which the corporation is regularly traded: _____	<input type="checkbox"/>
II.	<b>Active NFE</b> – if you are a Related Entity of a regularly traded corporation. Please provide the name of the regularly traded corporation that the Entity is a Related Entity of: _____  Please provide details of the securities market on which the Entity is regularly traded: _____	<input type="checkbox"/>
III.	<b>Active NFE</b> –a Government Entity or Central Bank	<input type="checkbox"/>
IV.	<b>Active NFE</b> –an International Organisation	<input type="checkbox"/>
V.	<b>Active NFE –other</b> than those listed in I, II, III or IV above. (for example a start-up NFE or a non-profit NFE)	<input type="checkbox"/>
VI.	<b>Passive NFE</b> –If this box is ticked please also complete <b>Section 6.1</b> for each of the Controlling Person(s) of the Entity and a separate <i>"Individual (including Controlling Person's Self-Certification for FATCA and CRS form"</i> as indicated in section 6.2 for each Controlling Person(s)	<input type="checkbox"/>

## Section 6: Controlling Persons

**NB: Please note that each Controlling Person must complete a separate *"Individual (including Controlling Persons) FATCA and CRS Self-Certification"* form.**

**If there are no natural person(s) who exercise control of the Entity then the Controlling Person will be the natural person(s) who hold the position of senior managing official of the Entity.**

*For further information on Identification requirements under CRS for Controlling Persons, see the Commentary to Section VIII of the CRS Standard.*

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

### 6.1 Controlling Person(s) of the Account Holder:

If you have ticked a Passive NFE with Controlling Persons in **either the FATCA or CRS Classification sections above**, then please also complete this section for each of the Controlling Person(s) of the account holder and provide a separate *"Individual (including Controlling Persons) FATCA and CRS Self-Certification"* form for each Controlling person as per 6.2 below:

**Indicate the name of all Controlling Person(s) of the Account Holder:**

I.	
II.	
III.	

**Note: In case of a trust**, Controlling Persons means the settlor(s), the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiary(ies), **AND** any other natural person(s) exercising ultimate effective control over the trust. With respect to an Entity that is a legal person, if there are no natural person(s) who exercise control over the Entity, then the Controlling Person will be the natural person who holds the position of senior managing official of the Entity.

**6.2 Complete a separate *"Individual (including Controlling Persons) Self-Certification for FATCA and CRS"* form for each Controlling Person listed in Section 6.1.**

## **\*Section 7: Declarations and Undertakings**

**I/We** declare (as an authorised signatory of the Entity) that the information provided in this form is, to the best of my/our knowledge and belief, accurate and complete.

**I/We acknowledge and consent** to the fact that the information contained in this form and information regarding the Account Holder may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information.

**I/We** on behalf of the Entity undertake to advise the recipient promptly and provide an updated Self-Certification form within 30 days where any change in circumstance (for guidance refer to Irish Revenue or OECD website) occurs which causes any of the information contained in this form to be incorrect.

**\*Authorised Signature(s):**

\_\_\_\_\_  
**\*Print Name(s):**

\_\_\_\_\_  
**\*Capacity in which declaration is made:**

\_\_\_\_\_  
**\*Date: (dd/mm/yyyy):** \_\_\_\_\_

## APPENDIX III

### DATA PROTECTION NOTICE

*This notice sets out how the Fund will process personal information (as a Data Controller) and how the Administrator as a data controller in its own right will process personal information in certain circumstances.*

In accordance with the Data Protection Legislation, the Fund being a data controller, must provide you with information on how the personal data that you provide as part of your subscription to shares in the Fund will be processed by the Fund, its service providers and delegates and their duly authorised agents and any of their respective related, associated or affiliated companies.

Where your details are provided to the Fund as a consequence of your investment in the Fund, then the Fund, acting as a data controller may itself (or through a third party such as the Administrator acting in its capacity as the Fund's administrator) process your personal information or that of your directors, officers, employees and/or beneficial owners. When processing your personal information, there may also be times where the Administrator will act as a data controller. In circumstances where the Administrator acts as a data controller in respect of the information that has been provided to it by you, all rights afforded to you as a data subject under the GDPR shall be exercisable by you solely against the Administrator.

In connection with this, please note the following:

#### **Purposes of Processing and Legal basis for processing**

Your personal data may be processed by the Fund or the Administrator (or any of their affiliates, agents, employees, delegates or sub-contractors) for the following purposes:

- to facilitate the opening of your account with the Fund, the management and administration of your holdings in the Fund and any related account on an on-going basis (the “**Services**”) which are necessary for the performance of your contract with the Fund, including without limitation the processing of redemption, conversion, transfer and additional subscription requests and the payment of distributions;
- in order to carry out anti-money laundering checks and related actions which the Fund or the Administrator considers appropriate to meet any legal obligations imposed on the Fund or the Administrator relating to, or the processing in the public interest or to pursue the Fund's or the Administrator's legitimate interests in relation to, the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and to prevent the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an on-going basis, in accordance with the Fund and the Administrator's anti-money laundering procedures;
- to report tax related information to tax authorities in order to comply with a legal obligation;
- to monitor and record calls and electronic communications for (i) processing and verification of instructions, (ii) investigation and fraud prevention purposes, (iii) for crime detection, prevention, investigation and prosecution, (iv) to enforce or defend the Fund and its affiliates', itself or through third parties to whom it delegates such responsibilities or rights in order to comply with any legal obligation imposed on the Fund, (v) to pursue the Fund's legitimate interests in relation to such matters or (vi) where the processing is in the public interest;
- to disclose information to other third parties such as service providers of the Fund, auditors, regulatory authorities and technology providers in order to comply with any legal obligation imposed on the Fund or the Administrator or in order to pursue the legitimate interests of the Fund or the Administrator;
- to monitor and record calls for quality, business analysis, training and related purposes in order to pursue the legitimate interests of the Fund to improve its service delivery;
- to retain AML and other records of individuals to assist with the subsequent screening of them by the Administrator including in relation to other funds or clients of the Administrator in pursuance of the Administrator's legitimate interests; and which are necessary to comply with the Fund or the Administrator's legal obligations and/or which are necessary for the Fund or the Administrator's legitimate interests indicated above and/or the processing is in the public interest.

Further information relating to any balancing test undertaken by the Administrator or the Fund as applicable to rely on legitimate interests as a grounds in respect of such processing is available upon request. Please note that where your personal data is processed for purposes of legitimate interests, you have a right to object to such processing and the Fund and its appointed service providers will no longer process the personal data unless it can be demonstrated that there are compelling legitimate grounds for the processing which override your interests, rights and freedoms or for the establishment, exercise or defence of legal claims.

## **Profiling and Screening**

The Fund and its appointed service providers may engage in PEP screening and financial sanctions screening programs defined by the European Union (“EU”), the United Nations (“UN”), Her Majesty’s Treasury (“HMT”) and the Office of Foreign Assets Control (“OFAC”) for the purposes of complying with the Criminal Justice (Money Laundering and Terrorist Financing) Act 2010 as may be amended or replaced from time to time and with UN, EU and other applicable sanctions regimes. The implementation of such PEP screening and financial sanctions screening programmes may result in the Fund or its service providers refusing an application for Shares in the Fund or delaying or refusing to make any redemption payment or distribution payment to you if you, your directors or any beneficial owner of your Shares appear on such screening programmes. In the event that you are identified as a PEP as a result of the screening process, you may be required to provide additional information and/or documentation to the Fund or its service providers. Such processing, which may reveal your political opinion, is considered lawful on the grounds of substantial public interest permitted under Article 9(2)(g) of the GDPR.

## **Undertaking in connection with other parties**

By accepting to provide personal data to the Fund, you undertake to be authorised to disclose to the Fund relevant information applicable to the beneficial owner of the investment, to your directors and authorised signatories and to persons that own, directly or indirectly, an interest in the Fund. In this respect you confirm that you have provided these persons with all the information required under applicable data protection law, notably regarding their data protection rights, and received from these persons their authorisation for the processing and transfer of their personal data to us.

## **Recipients of Data and International Transfer of Data**

The Fund may disclose your personal information as follows:

- to its service providers, including the Administrator, and their affiliates, and other third party service providers engaged by the Fund in order to process the data for the above mentioned purposes; and
- to competent authorities (including tax authorities), courts and bodies as required by law or requested or to affiliates for internal investigations and reporting;

Specifically, the Administrator may disclose personal information to its affiliates located in jurisdictions outside the European Economic Area (EEA) being

- the USA, for the purposes of IT service support, data storage and system access management and maintenance; email retention and archiving; call recording and monitoring and
- India and the Philippines, for the purposes of supporting activities related to Fund administration including transfer agency, investor servicing, transaction processing, reporting and record keeping.

Such countries may not have the same data protection laws as your jurisdiction. The Fund has authorised the Administrator as its agent to put in place Standard Contractual Clauses with relevant parties to whom personal data will be transferred. Please contact the Fund at [dataprivacy@carnegroup.com](mailto:dataprivacy@carnegroup.com) for copies of the Standard Contractual Clauses that have been entered into on behalf of the Fund.



## Retention period

The Fund and the Administrator will retain your personal information for as long as required for the Fund or the Administrator to perform the Services or perform investigations in relation to same being at least six years after the period of your investment has ended or the date on which you had your last transaction with the Fund.

## Data Subject Rights

With effect from 25 May 2018, under the GDPR, you have the following rights, in certain circumstances, in relation to your personal information:

- Right to access your personal information.
- Right to rectify your personal information and the right to have any incomplete personal information completed.
- Right to restrict the use of your personal information (in certain specific circumstances).
- Right to request that your personal information is erased (in certain specific circumstances).
- Right to object to processing of your personal information (in certain specific circumstances).
- Right to data portability (in certain specific circumstances).

Where the Fund or the Administrator requires your personal information to comply with AML or other legal requirements, failure to provide this information means the Fund may not be able to accept you as an investor in the Fund, the Fund may be prohibited from making redemption or any applicable dividend payments to you **and/or** or to the extent that the Fund does accept your application and the required personal information is not provided within the specified timeframe and the Fund may be required to discontinue our business relationship with you.

You have the right to lodge a complaint with a supervisory authority in the EU Member State of your habitual residence or place of work or in the place of the alleged infringement if you consider that the processing of personal data relating to you carried out by the Fund or its service providers infringes the GDPR.

## How to contact us

If you have any questions about the use of your personal information by or on behalf of the Fund, please contact the Fund at [dataprivacy@carnegroup.com](mailto:dataprivacy@carnegroup.com).