

**Fax this completed form to  
Carolyn Investment Funds plc on +353 1 613 0401  
and send hard copy to:**

CAROLYN INVESTMENT FUNDS PLC  
c/o RBC Investor & Treasury Services Ireland Limited  
4<sup>th</sup> Floor, One George's Quay Plaza, George's Quay,  
Dublin 2, Ireland  
Tel: +353 1 613 0400

**Please complete in CAPITAL LETTERS**

## 1. Shareholder registration and address

Company / Trustee / Scheme Name / Individual

Correspondence address

City \_\_\_\_\_ Country \_\_\_\_\_

Tel \_\_\_\_\_ Fax \_\_\_\_\_

Email \_\_\_\_\_

Registered Address (if different from Correspondence address)

City \_\_\_\_\_ Country \_\_\_\_\_

Tel \_\_\_\_\_ Fax \_\_\_\_\_

Email \_\_\_\_\_

Account Number if existing Shareholder \_\_\_\_\_

First Registered Shareholder

Designation (if applicable)

First Registered Shareholder

Registered/Permanent Address (include postcode and country)

Correspondence Address if different)

Joint Registered Shareholder

Registered/Permanent Address (include postcode and country)

Tax Identification Number (for individuals)

Telephone Number (include country code)

Fax Number (include country code)

Email Address

Date of Birth \_\_\_\_\_ Country of Birth \_\_\_\_\_

Nationality \_\_\_\_\_ Occupation \_\_\_\_\_

Employment Sector \_\_\_\_\_ Estimated Annual Income \_\_\_\_\_

## 2. Application details for investment

Please indicate the Sub-Fund of the Company in which you would like to invest and the subscription amount or the number of shares you would like to apply for:

### James Hambro Harrier Adventurous Fund

Share Class	Amount	No. Shares
Class A (GBP) Distributing Shares (ISIN: IE00BMTM9T21)		
Class B (GBP) Accumulating Shares (ISIN: IE00BMTM9V43)		

*Please note that the minimum initial subscription amount and minimum hold amount for the Class A and Class B Shares is GBP25,000. These amounts may be waived or reduced at the Directors' discretion*

### James Hambro Harrier Balanced Fund

Share Class	Amount	No. Shares
Class A (GBP) Distributing Shares (ISIN: IE00BMTM9P82)		
Class B (GBP) Accumulating Shares (ISIN: IE00BMTM9Q99)		

*Please note that the minimum initial subscription amount and minimum hold amount for the Class A and Class B Shares is GBP25,000. These amounts may be waived or reduced at the Directors' discretion.*

### James Hambro Harrier Capital Growth Fund

Share Class	Amount	No. Shares
Class A (GBP) Distributing Shares (ISIN: IE00BMTM9M51)		
Class B (GBP) Accumulating Shares (ISIN: IE00BMTM9N68)		

*Please note that the minimum initial subscription amount and minimum hold amount for the Class A and Class B Shares is GBP25,000. These amounts may be waived or reduced at the Directors' discretion.*

### James Hambro Harrier Cautious Fund

Share Class	Amount	No. Shares
Class A (GBP) Distributing Shares (ISIN: IE00BMTM9R07)		
Class B (GBP) Accumulating Shares (ISIN: IE00BMTM9S14)		

*Please note that the minimum initial subscription amount and minimum hold amount for the Class A and Class B Shares is GBP25,000. These amounts may be waived or reduced at the Directors' discretion*

### 3. Bank Account Details

#### Funds being remitted from

Bank: \_\_\_\_\_  
Address: \_\_\_\_\_  
Account Name: \_\_\_\_\_  
Sort Code: \_\_\_\_\_  
Account Number: \_\_\_\_\_  
SWIFT: \_\_\_\_\_  
REF: \_\_\_\_\_

#### Redemptions to be remitted to (if different from above):

Bank: \_\_\_\_\_  
Address: \_\_\_\_\_  
Account Name: \_\_\_\_\_  
Sort Code: \_\_\_\_\_  
Account Number: \_\_\_\_\_  
SWIFT: \_\_\_\_\_  
REF: \_\_\_\_\_

### 4. Subscription payment details

Please see attached appendix 1 for the appropriate bank details

### 5. Dividends

The Company will declare dividends in the share classes that are designated as "distributing". For share classes that are designated as "accumulation" or "accumulating", please note that net income attributable to these share classes will be reinvested on shareholders' behalf. Should this section not be completed, dividends will be automatically reinvested in additional shares in the relevant share class(es)

#### Dividends from the Company

Please can you state whether you require any dividends declared to be paid in:

Cash: \_\_\_\_\_  
or  
Re-invested: \_\_\_\_\_

#### Payment instructions to be remitted to (if different from redemptions)

Bank: \_\_\_\_\_  
Address: \_\_\_\_\_  
Account Name: \_\_\_\_\_  
Sort Code: \_\_\_\_\_  
Account Number: \_\_\_\_\_  
Swift: \_\_\_\_\_  
Ref: \_\_\_\_\_

### 6. Identification

(a) Retail investors for whom the following documentation requirements apply -

- \* ID proof in the form of a Passport, Driving License or National ID Card
- \* Address proof in the form of a Utility Bill or Bank / Credit Card Statement (issued within the past 3 months)
- \* If the investor if domiciled in a Non-Equivalent country we will also require a statement from a reputable financial institution

(b) For Banks & Financial Institutions regulated in an Equivalent Country the following requirements apply –

- \* Evidence of regulation via the webpage of the regulatory authority
- \* Signatory List

(c) For Companies domiciled in Non-Equivalent Countries & entities not regulated in Equivalent Countries the following requirements would be applicable -

- \* Signatory List
  - \* Certificate of Incorporation & Memorandum & Articles of Association
  - \* List of shareholders on company letterhead including %'s held
  - \* Full Identification documents for any persons or entities holding more than 25% of the shares
  - \* An original beneficial ownership declaration (template attached) completed & signed by any parties holding more than 25% of the shares
  - \* A list of directors & ID's for two directors / signatories and proof of address in the form of a bill/bank statement from within the last 6 months
- A simple copy or print-out from the company website of the latest audited financial report or equivalent

(d) The following documentation would be appropriate for Nominee Companies owned by Designated Persons –

- \* Signatory List (for the Nominee and the Parent Company)
  - \* A Letter of Assurance (template attached) completed & signed by the regulated parent company of the nominee
- Evidence of regulation of the parent company via the webpage of the regulatory authority

\* All documentation not in original form must be originally certified by either a notary, a solicitor, a chartered or certified public accountant or a signatory of a regulated entity in an equivalent country (if this option is chosen, we will require a Signatory List for the entity in question to also be provided). Please note that this is not a complete list and additional KYC may be requested where applicable

## 7. Return of Values (Investment Undertakings) Regulation 2013

*\*Only applicable for Irish Residents (that are not Exempt Irish Investors) and/or persons who are Ordinarily Resident in Ireland*

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 Company must collect the following additional information from any applicants<sup>1</sup> which are Irish Resident or Ordinarily Resident in Ireland (that are not excepted unit holders within the meaning of the Regulations):

<b>Tax Reference Number (TRN) / PPS Number<sup>2</sup></b>	
--	--

Furthermore, the Regulation requires the Company to seek appropriate documentation from the applicant to verify the above TRN or PPS Number. Any one of the following additional documents (copy or original) is sufficient;

- 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 contain your name, address and tax reference number will also be 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 or it's duly appointed delegates as a data processor for the Company in accordance with the Data Protection Acts 1988 to 2018 and the EU's General Data Protection Regulation 2016/679. Your information provided herein will be processed for the purposes of complying with the Regulations and this may include disclosure to the Irish Revenue Commissioners.*

<sup>1</sup> Where an applicant is an intermediary and that applicant is the registered unit holder, reporting obligations under the regulations may be carried out on the basis that the intermediary is the unit holder. For these purposes, intermediary has the same meaning as in Section 739B (1) TCA 1997.

<sup>2</sup> A PPS Number is required if the relevant applicant is an individual.

## 8. General Data Protection Regulation and Data Privacy Statement

The Company is the controller of the personal data collected via the fund application form. Where your details are provided to the Company as a consequence of your investment in a Sub-Fund, then the Company, acting as a data controller may itself (or through a third party such as the Administrator, the Investment Managers or the Distributor) process your personal data or that of your directors, officers, employees and/or beneficial owners.

### About Other Data Controllers

When processing your personal data, there may also be times where other service providers to the Company may act as data controllers. In circumstances where other service providers to the Company act as data controllers in respect of the information that has been provided to them, all rights afforded to you as a data subject under GDPR shall be exercisable by you solely against these other service providers.

In connection with this, please note the following:

### Purposes of Processing and Legal Basis for Processing

Your personal data may be processed by or on behalf of the Company, in its capacity as controller for the following purposes:

- to facilitate the opening of your account with the Company, the management and administration of your holdings in the Sub-Fund and any related account on an on-going basis (the “**Services**”) which are necessary for the performance of your contract with the Company, including without limitation the processing of redemption, conversion, transfer and additional subscription requests and the payment of distributions;
- complying with our legal and regulatory obligations regarding our dealings with you including under applicable law regarding anti-money laundering, taxation, the regulation of collective investment schemes or the provision of financial services;
- 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 rights of the Company 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 Company, (v) to pursue the Company’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 Company, auditors, regulatory authorities and technology providers in order to comply with any legal obligation imposed on the Company or in order to pursue the legitimate interests of the Company;
- to monitor and record calls for quality, business analysis, training and related purposes in order to pursue the legitimate interests of the Company to improve its service delivery;
- to update and maintain records and fee calculations for the purposes of the management and administration or your holdings in the Sub-Fund;
- to carry out statistical analysis and market research for the purposes of allowing us to improve and/or tailor our services to you and assist us to grow our assets under management; and
- to communicate with you by way of notice pursuant to applicable legislation or the Company’s legislation for the purposes of complying with our legal obligations.

In addition, your personal data may be processed in circumstances which are necessary to comply with the Company’s legal obligations.

The legal basis that the Company relies on to process your personal data are:

- That it is necessary to comply with our legal obligations
- That it is necessary for the purposes of our legitimate interests or the legitimate interests of a third party to whom we provide your personal data. We will not process your personal data for these purposes if our or the third party’s legitimate interests should be overridden by your own interests or fundamental rights and freedoms. The legitimate interests pursued by us in this regard include:
  - Conducting our business in a responsible and commercially prudent manner and dealing with any disputes that may arise;
  - Preventing, investigating or detecting theft, fraud or other criminal activity; and
  - Pursuing our corporate and social responsibility objectives.
- Where you are an individual investor and that this is necessary to take steps at your request prior to entering into our contract with you and for the performance of our contract with you.

Your consent is not required to process your personal data for the purposes referenced above.

Further information relating to the balancing test undertaken by the Company in respect of such processing is available upon request.

## Recipients of Data and International Transfer of Data

As noted above, the Company may disclose your personal data as follows:

- to its service providers, including without limitation the Administrator, the Depositary, the Investment Managers and their affiliates, delegates, sub-contractors and agents, and other third party vendors 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.

The disclosure of personal data to the third parties set out above may involve the transfer of data to the USA, the UK and other jurisdictions outside the European Economic Area (EEA) in accordance with the requirements of the GDPR. Such countries may not have the same data protection laws as your jurisdiction. The Company and its service providers may transfer personal data to countries outside of the EEA where EU Commission approved Standard Contractual Clauses or other appropriate safeguards permitted under data protection legislation have been put in place with relevant parties to whom personal data will be transferred. Please contact us, as set out in the “How to Contact Us” section below, should you wish to obtain information concerning such safeguards.

## Retention Period

The Company will retain your personal data for as long as required to perform the Services or perform investigations in relation to same depending on whether additional legal/regulatory obligations mandate that the Company retains your personal data. Notwithstanding this, your personal data will be retained for at least six years after the period of your investment has ended or the date on which you had your last transaction with us.

## 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 data:

- Right to access your personal data.
- Right to rectify any inaccuracies in your personal data.
- Right to restrict the use of your personal data (in certain specific circumstances).
- Right to request that your personal data is erased (in certain specific circumstances).
- Right to object to processing of your personal data (in certain specific circumstances).
- Right to data portability (in certain specific circumstances).
- Right to have any incomplete personal data completed.
- Where the legal basis for processing your data is that it is necessary for the performance of a contract with you, the right to receive your personal data, which you provided to us, in a structured, commonly used and machine-readable formator to require us to transmit that data to another controller.

Where the Company or the Administrator, the Depositary, the Investment Managers or the Distributor on behalf of the Company, require information, which includes your personal data, to process an investment in Shares or to comply with Anti-Money Laundering or other legal requirements, failure to provide this information means the Company may not be able to accept you as an investor in the Sub-Fund or process your redemption request. Or to the extent that the Company does accept your application, failure to provide this information means the Company may not be able to accept the investment or may have to restrict the ability of a Shareholder to redeem the Shares held, receive any dividends declared in relation to the Shares or otherwise deal with the Shares as desired, or 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, 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 Company or its service providers infringes the GDPR.

## How to Contact Us

If you have any questions about the use of your personal data by or on behalf of the Company please contact the Company at [tim@caroloncapital.com](mailto:tim@caroloncapital.com).

## 9. Declarations and Confirmations

Capitalized terms used but not defined in this Application Form have the meanings given to them in the Company’s Prospectus or the Sub-Fund’s Supplement thereto.

The undersigned hereby certifies as follows in connection with the initial application for Shares and any subsequent applications:

- I. I/We confirm that I/we have received and understood a copy of the Prospectus and any relevant Supplement(s) for Carolon Investment Funds plc (the “Company”) current at the date of this application (the “Prospectus”), the relevant key investor information documents (“KIID”). I/We acknowledge that this application is made solely on the terms of the Prospectus and the material contracts referred to therein together (where applicable) with the most recent annual report and accounts of the Company and (if issued after such report and accounts) its most recent unaudited semi-annual report, and subject to the provisions of the Company’s Memorandum and Articles of Association from time to time in force.

II. I/We warrant that I am/we are duly authorised to sign this Application Form and to subscribe for or redeem the Shares in the Company and that by virtue of my/our subscribing for, holding or redeeming Shares in the Company, I/we will not be in breach of any laws or regulations of any competent jurisdiction and I/we hereby indemnify the Company, the Manager, the Investment Manager, the Directors, the Depository, the Administrator or their authorised agents or delegates and other Shareholders for any loss liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result, directly or indirectly suffered by them as a result of any misrepresentation or breach of any warranty, condition, covenant or agreement contained herein or in any other document delivered by the undersigned to the Company.

III. I/We declare that:

- a. this application does not violate any laws or regulations in the country/territory in which I am/we are domiciled;
- b. this application is not made by or for any US Persons (as such expression is defined in the Prospectus).

IV. I/We do not intend selling or transferring any Shares which I/we may subscribe for to any Person who is a US Person (as such expressions are defined in the Prospectus).

V. I/We agree to:

- a. provide the declaration and warranties contained herein to the Company and at such times as the Company may request and provide such certificates, documents, co-operation or other evidence as the Company may reasonably require to substantiate such representations;
- b. notify the Company immediately if I/we become aware that any of the declarations and warranties contained herein is/are no longer accurate and complete in all respects and to abide by any directions from the Company or the Administrator arising as a result.

VI. I/we hereby confirm that the Company, the Depository and the Administrator 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 writing and/or by email and/or by facsimile and/or any other permitted format. I/We hereby indemnify the Company, the Depository and the Administrator and agree to keep each of them indemnified against any loss of any nature whatsoever arising to each of them as a result of any of them acting upon such instructions. The Depository and the Administrator may rely conclusively upon and shall incur no liability in respect of any transfer, payment or any other action taken or not 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.

VII. I/We hereby undertake to observe and be bound by the provisions of the Memorandum and Articles of Association (as amended from time to time) of the Company and apply to be entered in the Register of Shareholders as the holder/holders of the Shares issued in relation to this application.

VIII. I/We hereby acknowledge that:

- a. the Company, the Depository and the Administrator reserve the right to seek evidence of identity to comply with applicable money laundering regulations (including such documentation as is set out in Appendix 4 hereto) and taxation requirements. In the case of delay or failure to provide documentation and information as required, no redemption offers shall be processed;
- b. any failure to provide complete identification and verification documentation at the account opening stage will result in my/our account being blocked for both redemptions and distribution payments pending receipt of the outstanding documentation. I/We acknowledge that I/we may be classified as a non-compliant investor. Furthermore, where such documentation remains outstanding for 120 days from the date of the initial subscription all transactions including additional subscriptions may be blocked pending receipt of the outstanding documentation;
- c. any failure to provide complete identification and verification documentation upon request at any other stage during the course of the business relationship will result in my/our account being blocked for both redemptions and distribution payments pending receipt of the outstanding documentation. I/We acknowledge that I/we may be classified as a non-compliant investor. Furthermore, where such documentation remains outstanding for 120 days from the date of the initial request for documentation all transactions including additional subscriptions may be blocked pending receipt of the outstanding documentation;
- d. the Investment Manager and/or the Directors have the right to discontinue the business relationship with me/us upon my/our being classified as a non-compliant investor or a non-compliant legacy investor.
- e. due to the changing nature of anti-money laundering laws and regulations and the possible extensions of applicable rules, the Administrator may update and amend its procedures from time to time to comply with such amendments.

IX. I/We hereby indemnify the Company, the Depository, the Investment Manager and the Administrator and agree to keep each of them indemnified against any loss accruing as a result of any failure to process this application, if the information

required by any of them has not been provided by me/us.

X. I/We hereby acknowledge that in the event payment in cleared funds is not received in respect of a subscription by the relevant Settlement Date as outlined in the Prospectus, the Company may cancel the allotment of Shares and impose such charges and remedies as are outlined in the Company's Memorandum and Articles of Association and Prospectus. I/We hereby indemnify the Company and the Investment Manager against any loss of any nature whatsoever arising in the event payment in cleared funds is not received in respect of a subscription by the relevant Settlement Date as outlined in the Prospectus.

XI. I/We acknowledge that the Company or its service providers also reserve the right to delay or refuse to make any redemption payment or distribution to a Shareholder without notice if any of the Company or its service providers suspects or is advised that the payment of any redemption or distribution moneys to such Shareholder might result in a breach or violation of any applicable anti-money laundering or other laws or regulations including financial sanctions laws or regulations by any person in any relevant jurisdiction, or such refusal is considered necessary or appropriate to ensure the compliance by the Company or its service providers with any such laws or regulations in any relevant jurisdiction. I/we hereby hold the Company and its service providers harmless and indemnify them against any loss arising as a result of a failure to process the application if such information has been required 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 us to the Company or its service providers. I/we shall notify the Company immediately if any of the representations made in the Application Form are no longer accurate and complete in any respect, including without limitation the representations made in respect of our PEP status.

XII. I/We declare that I am/we are over 18 years of age (only relevant to non-corporate investors). I/We have the capacity and authority to make the investment pursuant to this Application Form whether this investment is in my/our name or is made on behalf of another person or institution. I/We confirm that I/we am/are duly authorised to complete this form and to make the representations and give the indemnities referred to herein. I/We 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.

XIII. I/We will comply with such beneficial ownership notices issued by or on behalf of the Company seeking beneficial ownership information. I/we understand that it is an offence where I/we fail to comply with such beneficial ownership notices or where I/we make a false statement in respect of same. I/we understand that where I/we am/are a beneficial owner of the Company, I/we must notify the Company where the Company's beneficial ownership register does not contain my/our details and where I/we have not received a beneficial ownership notice from the Company, and/or where I/we meet the definition of a beneficial owner as defined in the Beneficial Ownership Regulations<sup>3</sup>.

XIV. I/We agree to provide these representations to the Company and its Directors at such times as either of them may request and to provide on request such certifications, documents or other evidence as the Company and/or its Directors may reasonably require to substantiate such representations.

XV. I/We hereby certify that I am/we are aware of the risks involved in the proposed investment as set out in the Prospectus including the relevant Supplement and the KIID. I/We can bear the loss of my/our entire investment in the Fund.

XVI. I/We confirm that I am/we are in agreement with the distribution policy as outlined in the Prospectus.

XVII. I/we acknowledge that the Company 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.

XVIII. 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).

XIX. 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 Company 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 Company has been received to its satisfaction and the redemption monies/dividend payments have been paid to me/us.

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

- (i) 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 Company 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;
- (ii) 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 Company 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;
- (iii) in the event of an insolvency of the relevant Sub-Fund or the Company, there is no guarantee that the Sub-Fund or the Company 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;
- (iv) 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.

XXI. In the event that Shares are allotted / issued notwithstanding that cleared funds have not been received within the usual time limits by the Company as set out in the Prospectus, I/we acknowledge that the Company may cancel the allotment / issue of my / our Shares and I/we will be liable to pay to the Company interest at such rate as may be determined by the Directors from time to time and/or other losses, charges or expenses suffered or incurred by the Company, the Manager, the Investment Manager, the Administrator, the Depositary or their delegates as a result of late payment or non-payment by me/us of subscription monies

XXII. (In respect of joint applicants only) we direct that on the death of one of us the Shares for which we hereby apply to be held in the name of and to the order of the survivor or survivors of us or the executor or administrator of such survivor or survivors.

XXIII. In signing this Application Form I/we hereby confirm that we have read and understood Section 8 "General Data Protection Regulation and Data Privacy Statement".

XXIV. I/We acknowledge that the Company intends to take such steps as may be required to satisfy any obligations imposed by (i) the Foreign Account Tax Compliance Act ("FATCA") 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 or the IGA from 1 July 2014.

Furthermore, I/We hereby acknowledge that the Company intends to take such steps as may be required to satisfy any obligations imposed by (i) the OECD's Standard for Automatic Exchange of Financial Account Information in Tax Matters ("the Standard"), which therein contains the Common Reporting Standard, as applied in Ireland by means of the relevant international legal framework and Irish tax legislation and (ii) EU Council Directive 2014/107/EU, amending Directive 2011/16/EU as regards mandatory automatic exchange information in the field of taxation ("DAC2"), as applied in Ireland by means of the relevant Irish tax legislation, so as to ensure compliance or deemed compliance (as the case may be) with the Standard/CRS and the DAC2 from 1 January 2016 (hereafter collectively referred to as "CRS").

In order for the Company to comply with the above FATCA and CRS obligations, I/we agree to provide to the Company, the Investment Manager and the Administrator 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 Company, the Investment Manager and the Administrator immediately of any such change and further agree to immediately take such action as the Company, the Investment Manager and the Administrator may direct, including where appropriate, redemption of my/our Shares



in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Company, the Investment Manager and the Administrator. 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 Company, the Investment Manager and the Administrator 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 Company, Investment Manager or Administrator 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 Company, Investment Manager or Administrator. 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 Company, and that the Company 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 Company, the Investment Manager, the Administrator and the Depository against any loss suffered by them or other Shareholders in the Company in connection with any obligation or liability to so deduct, withhold or account.

I/We confirm that we have accurately and correctly completed the relevant self-certification form included at **Appendix 2** and/or **Appendix 3** (as applicable). I/We further confirm that if any information included in the self-certification form subsequently becomes inaccurate or incorrect we will notify the Company, the Investment Manager and the Administrator immediately of any such change and agree to immediately take such action as the Company, the Investment Manager and/or the Administrator may direct, including where appropriate, redemption of our Shares.

I/We agree to waive any provision of any privacy, banking secrecy or other law or regulation of any jurisdiction and/or the terms of any confidentiality agreement, arrangement or understanding that would, absent such a waiver, prevent the Company's compliance with FATCA and CRS requirements.

XXV. I/we acknowledge that the Company intends to take such steps as may be required to satisfy any obligations imposed by Council Directive (EU) 2018/822 (amending Directive 2011/16/EU), as applied in Ireland by means of the relevant Irish tax legislation ("DAC6"). I/we further acknowledge that this may, in specific circumstances, require the Company or any party that falls to be considered an "intermediary" for the purposes of DAC6 to exchange certain of our information (including details of our investment in the Company) to the Irish Revenue Commissioners and other relevant tax authorities. I/we hereby agree to the transmission of such data by the relevant party to the Irish Revenue Commissioners and/or other relevant tax authorities, as is required to comply with DAC6.

In order for the Company to comply with the above DAC6 obligations, I/we agree to provide to the Company, the Investment Manager, the Administrator or any party that falls to be considered an "intermediary" for the purposes of DAC6 for a particular transaction, any necessary information 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 DAC6.

XXVI. I/we hereby acknowledge that I/we should consult our own tax and legal advisers about the applicability of FATCA, CRS, DAC6 and any other reporting requirements with respect to our own situation.

XXVII. I/we acknowledge that I/we have been made aware of and have read the Data Protection Notice which provides an outline of my/our data protection rights and the Company's data protection obligations as they relate to my/our investment in the Company, and which is set out in the section titled "General Data Protection Regulation and Data Privacy Statement" in this Application Form.

#### XXVIII. Declaration of Residence outside Ireland

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. Terms used in this declaration are defined in the Prospectus. (See heading "Irish Taxation").

#### **(Delete below as appropriate)**

##### 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 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 Irish Resident nor Ordinarily Resident in Ireland, and should I/we/the company\* become Irish Resident I will/we will\* so inform you, in writing, accordingly.

**or**

##### Declaration as Intermediary

I/we\* declare that I am/we are\* applying for Shares on behalf of persons:  
who will be beneficially entitled to the Shares; and, who, to the best of my/our\* knowledge and belief,

are neither Irish 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\* hold shares/units, becomes Irish Resident.

*\*Delete as appropriate*

XXIX. I/We declare that the information contained in the declarations completed above is true and correct.

### **Authorised signatories** (Declarants)

<b>Name</b>	<b>Signature</b>	<b>Capacity of Signatory</b>	<b>Date</b>
-------------	------------------	------------------------------	-------------

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

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

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

Notes:

- i) Copies of the Prospectus and the most recently published annual and semi-annual reports of the Company are freely available from the Administrator, 4th Floor, One George's Quay Plaza, George's Quay, Dublin 2, Ireland.
- ii) The Company is regulated by the Central Bank of Ireland.
- iii) Non-Resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
- iv) To be valid, Application Forms (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by each applicant. In the case of joint applicants, each must sign. 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.
- v) If this Application Form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, such power of attorney or a duly certified copy thereof must accompany it.
- vi) If the Applicant is an Exempt Irish Investor it should contact the Administrator who will provide it with the appropriate declaration which must be made to confirm its status.
- vii) Definitions of an "Intermediary", "Irish Resident" and "Ordinarily Resident in Ireland" are set out in the Prospectus.
- viii) If payment in full in cleared funds for a subscription has not been received by the time for receipt of such monies, or in the event of non-clearance, any allotment of Participating Shares may be cancelled. Notwithstanding cancellation of the application, the Directors may charge the applicant for any expenses incurred by them or the Company for any loss to the Company arising out of such non-receipt or non-clearance.
- ix) No share certificates will be issued.

## APPENDIX 1 – Payment Instructions

Please find hereafter payment instructions to be used for subscription payments to the **Carolon Investment Funds plc** collection account opened at RBC Investor & Treasury Services Luxembourg (FETALULL).

### PAYMENT BY SWIFT- Either MT103 or MT202 can be used.

- **MT103**
  - Please pay attention to process all payments with fees “OUR” in field 71A.
  - All payments are to be processed within RBC Investor & Treasury Services Cut-off time.

	Field 56A	Field 57A	Field 59		
CCY	Our correspondent BIC	Beneficiary bank BIC	Account number	Beneficiary Account name	Cut off (*)
USD	BOFAUS3N	FETALULL	LU113417220036749800	Carolon Investment Funds collection account	17.00
EUR	BOFAGB22	FETALULL	LU533418220036748800	Carolon Investment Funds collection account	14.30
GBP	BOFAGB22	FETALULL	LU423413220036741100	Carolon Investment Funds collection account	14.00
SEK	ESSESESS	FETALULL	LU353410220036740600	Carolon Investment Funds collection account	14.00

➤ (\*) RBC Investor & Treasury Services cut-off is indicated in Irish time

- MT202
- Please pay attention to use field 58D with the details outlined below only. Failure to follow this format may result in your payment being unidentifiable and could lead to its return.
- All payments are to be processed within RBC Investor & Treasury Services Cut-off time.

	Field 56A	Field 57A	Field 59		
CCY	Our correspondent BIC	Beneficiary bank BIC	Account number	Beneficiary Account name	Cut off (*)
USD	BOFAUS3N	FETALULL	LU113417220036749800	Carolyn Investment Funds collection account	SD 17.00
EUR	BOFAGB22	FETALULL	LU533418220036748800	Carolyn Investment Funds collection account	SD 14.30
GBP	BOFAGB22	FETALULL	LU423413220036741100	Carolyn Investment Funds collection account	SD 14.00
SEK	ESSESESS	FETALULL	LU353410220036740600	Carolyn Investment Funds collection account	SD 14.00

➤ (\*) RBC Investor & Treasury Services cut-off is indicated in Irish time

➤ NOTE for EUR Payments: In order to profit as much as possible from local clearing, it is recommended that you route your payment via one of the following of our Bank of America EUR correspondent banks:

Code Swift	Bank Name
BOFAGB22	Bank of America London
BOFAFRPP	Bank of America Paris
BOFADEFX	Bank of America Frankfurt
BOFAIT2X	Bank of America Milan
BOFAES2X	Bank of America Madrid
BOFABE3X	Bank of America Antwerp
BOFAIE3X	Bank of America Dublin
BOFANLNX	Bank of America Amsterdam

#### PAYMENT BY CHAPS

Where possible, we actively encourage investors and distributors to pay subscription proceeds by SWIFT as outlined above. However, in the case where the SWIFT network is not available to you in the UK, for GBP currency only please make your subscription payment as per the following CHAPS format

Beneficiary: RBC Investor & Treasury Services Bank Luxembourg  
 Account number: 2533 5028  
 Sort code: 16-50-50

We would like to remind you that any wrongly formatted, non-STP payment instruction or any payment instruction not remitted within our above deadlines, may lead to fees and interest claims that will be charged to yourselves.

Do not hesitate to contact our phone: + 353 1 4406 555 in case you need any further information.

## Appendix 2 - 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 2018). 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 \*)

---

### \*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: \_\_\_\_\_

**\*Section 2: FATCA Declaration:**

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

**a)** The Entity is a **Specified U.S. Person** and the Entity's U.S. Federal Taxpayer Identifying number (U.S. TIN) is as follows:

**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. Please provide the sponsor's name and sponsor's GIIN :</p> <p><b>Sponsor's Name:</b> _____</p> <p><b>Sponsor's GIIN:</b> □□□□□□.□□□□□□.□□.□□□□</p> <p><b>NOTE:</b> 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>	<input type="checkbox"/>
----	--	--------------------------



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

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.	<p><b>A Financial Institution Resident in a Non-Participating Jurisdiction.</b> (Please also tick the box that applies)</p> <p><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)</p> <p><input type="checkbox"/> <b>An Investment Entity resident in a Non-Participating Jurisdiction that is not managed by another Financial Institution</b></p> <p><input type="checkbox"/> <b>Other Financial Institution</b>, including a Depository Financial Institution, Custodial Institution or Specified Insurance Company</p>	<input type="checkbox"/>
III.	<p><b>Non-Reporting Financial Institution under CRS. Specify the type of Non-Reporting Financial Institution below:</b></p> <p><input type="checkbox"/> Governmental Entity</p> <p><input type="checkbox"/> International Organization</p> <p><input type="checkbox"/> Central Bank</p> <p><input type="checkbox"/> Broad Participation Retirement Fund</p> <p><input type="checkbox"/> Narrow Participation Retirement Fund</p> <p><input type="checkbox"/> Pension Fund of a Governmental Entity, International Organization, or Central Bank</p> <p><input type="checkbox"/> Exempt Collective Investment Vehicle</p> <p><input type="checkbox"/> Trust whose trustee reports all required information with respect to all CRS Reportable Accounts</p> <p><input type="checkbox"/> Qualified Credit Card Issuer</p> <p><input type="checkbox"/> Other Entity defined under the domestic law as low risk of being used to evade tax.</p> <p>Specify the type provided in the domestic law:</p> <p>_____</p>	<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.	<p><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:</p> <p>_____</p>	<input type="checkbox"/>
II.	<p><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:</p> <p>_____</p> <p>Please provide details of the securities market on which the Entity is regularly traded;</p> <p>_____</p>	<input type="checkbox"/>
III.	<p><b>Active NFE</b> – a Government Entity or Central Bank</p>	<input type="checkbox"/>
IV.	<p><b>Active NFE</b> – an International Organisation</p>	<input type="checkbox"/>
V.	<p><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)</p>	<input type="checkbox"/>
VI.	<p><b>Passive NFE</b> - If this box is ticked please also complete Section 6.1 for each of the Controlling Person(s) of the Entity and a separate “Individual (including Controlling Persons) FATCA and CRS Self-Certification” form as indicated in section 6.2 for each Controlling Person(s)</p>	<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 3 - Individual (including Controlling Person's) 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 2018. 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/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 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 \*)**

---

#### \*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 require 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 Non-Financial Entity 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 4 – AML Requirements to be completed by all Investors**

**Notes for assistance in completion:**

**Please complete all sections as directed. Please note failure to fully complete this information may lead to delays in account opening**

**Failure to provide requested information & documentation at any stage may lead to the discontinuation of business relationship. This means that your account will be blocked for all activity ( all transactions) and your account will be marked as “ discontinued” until such time as documentation is forthcoming**

**1. Individuals**

**1.2. Account Holder 1**

Occupation:

Business Area:

- Bar/Night-clubs/Restaurants/Hotels
- Brokers
- Car parks
- Casinos/Gambling
- Casinos/Games/Entertainment parks
- Check cashers
- Commerce of alcohol and cigarettes
- Commerce of arms/Weapons and munitions
- Commerce of art works
- Commerce of boats and planes
- Commerce of luxury cars
- Commerce of luxury goods (jewellery/horses/...)
- Commerce of minerals
- Convenience store
- Hotels/Restaurants/Cafes
- Import-Export
- Money transmitters and currency change
- Nuclear
- On-line business
- Precious metals/Gold/Jewellery
- Real estate
- Sale by distance
- Taxi
- Travel agencies
- Travel/Tourism
- Other: please specify

Employer/ business name if self employed:

Nationality – please provide details of any dual citizenship held or previously held:

Passport Number:

Issuing Country:

Expiry Date:

### 1.3. Account Holder 2 – if applicable

Occupation:

Business Area:

- Bar/Night-clubs/Restaurants/Hotels
- Brokers
- Car parks
- Casinos/Gambling
- Casinos/Games/Entertainment parks
- Check cashers
- Commerce of alcohol and cigarettes
- Commerce of arms/Weapons and munitions
- Commerce of art works
- Commerce of boats and planes
- Commerce of luxury cars
- Commerce of luxury goods (jewellery/horses/...)
- Commerce of minerals
- Convenience store
- Hotels/Restaurants/Cafes
- Import-Export
- Money transmitters and currency change
- Nuclear
- On-line business
- Precious metals/Gold/Jewellery
- Real estate
- Sale by distance
- Taxi
- Travel agencies
- Travel/Tourism
- Other: please specify

Employer/ business name if self employed:

Nationality – please provide details of any dual citizenship held or previously held:

Passport Number:

Issuing Country:

Expiry Date:

### 2. Corporate Investor Information (including Financial institutions )

- Bank
- Nominee
- Corporate
- Pension Fund
- Investment/Mutual Fund
- Other Financial Institution
- Foundation/Association
- Government entity
- Trust
- Partnership
- Insurance Company
- Other (please specify):

Business activity:



### 3. ACCOUNT INFORMATION

#### 3.1. Bank Account Details\*

##### 3.1.1. Subscription payments

These are mandatory and are related to the bank and accounts from which the subscription amounts will be paid. The account must be in the name(s) of the Account Holder(s) or the account holder must be identified.

Bank:	Bank SWIFT / BIC / Sort Code:
Account holder / Name of the account:	IBAN Number

In case payments are made through a correspondent bank, please provide the following information:

Bank:	Bank SWIFT / BIC / Sort Code:
Account holder / Name of the account:	IBAN Number

Please note that in order to prevent third party payments, we require subscription payments to come from a bank account in the name of the registered account holder.

#### **Note for Financial Institutions and Intermediaries :**

In order to comply with EU Regulation 2015/847, and FATF SR VII, we require the following information to be included for all subscription wires made to the Fund.

For MT 103 , Field 50a is to be used for Ordering Customer's information (either option below, as appropriate)

<b>TAG</b>	<b>Field Name</b>	<b>Information to include</b>
50a (option K)	Ordering Customer	The Payer's account number, name and address
50a (option A)	Ordering Customer	The Payer's account number and the BIC

For MT 202 (Field 52)

<b>TAG</b>	<b>Field Name</b>	<b>Information to include</b>
52A	Ordering Institution	The Ordering Institution's identifier code (BIC)

##### 3.1.2. Redemption payments

These are mandatory and used for the payment of redemption proceeds. The account must be in the name(s) of the account holder(s).

Bank:	Bank SWIFT / BIC / Sort Code:
Account holder / Name of the account:	IBAN Number

In case payments must be made through a correspondent bank, please provide the following information:

Bank:	Bank SWIFT / BIC / Sort Code:
Account holder / Name of the account:	IBAN Number

\* Please be aware that payments to, or for the accounts of third parties are not accepted. Only where the investor is under 18 years, payments will be made to the legal guardian.

**4. TYPE OF INVESTMENT**

I/we confirm that the investment into the Fund:

Is made on my/our own behalf and is not in favour of a third party

If ticked - Please proceed to section 5

Is made on behalf of third party and that the account will reflect:

a Pooled Account (reflecting a pool of underlying clients typically with a generic designation such as "Clients account" or with a designation that makes reference to a region, product or multiple specific customers)

a Segregated Account (a specific account for a single underlying third party)

In such case, please select either one option below:

the designation of the account will refer to the underlying client name

the designation of the account is coded (the designation contains an internal reference, numbers or combination of letters which do not allow an external party to identify the underlying client)

Please indicate whether the account is used to transact "*advised*" or "*execution-only*" business. Per account only one type is possible. If both types of transactions are used, please be advised that two different accounts need to be created. Please note that the information provided is subject to clause **Error! Reference source not found.** of the General Terms and Conditions.

Advised business

Execution-only business

**5. EXPECTED VOLUMES & FREQUENCY ( BANKS/ NOMINEES DO NOT NEED TO COMPLETE)**

Please complete the below section with your expectations in terms of investment in the fund.

**The expected volumes and frequency provided will not form any kind of commitment from the account holder, the beneficial owners or the intermediary.**

**5.1. Expected frequency of trading**

<input type="checkbox"/> Single transaction	<input type="checkbox"/> Daily	<input type="checkbox"/> Weekly	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly	<input type="checkbox"/> Semi-annual	<input type="checkbox"/> Annual	<input type="checkbox"/> Ad-hoc
---	--------------------------------	---------------------------------	----------------------------------	------------------------------------	--------------------------------------	---------------------------------	---------------------------------

**5.2. Expected investment amount \***

<input type="checkbox"/> Individuals	Expected Total Investment	EUR
	Expected Total Investment:	EUR
<input type="checkbox"/> Insurance Companies, Pension Funds, Investment Funds, Listed Companies	Expected Total Investment:	EUR
	Expected Total Investment:	EUR
<input type="checkbox"/> Other types of investors	Expected Total Investment:	EUR

\* mandatory data

**6. Ultimate Economic Beneficiary- Applies to all investor types excluding individual/ retail investors**

**6.1. Ultimate Economic Beneficiary information 1<sup>1</sup>**

An ultimate economic beneficiary is the final beneficiary of the investment and who owns – directly or indirectly – more than 25% of the value of the shares subscribed. Please note for Trusts it includes all Trustees, beneficiaries, settlor and protector where applicable.

**Important:** In case of indirect ownership, please provide details of the beneficiary layers and we will advise what additional information is required

Please provide the information if any of the account holder or the ultimate economic beneficiary(ies) is/are either:

<input type="checkbox"/> a person holding a legislative, administrative or judicial office, whether appointed or elected:	If applicable, please describe:
<input type="checkbox"/> a person exercising a public function, including for a public agency or public enterprise:	
<input type="checkbox"/> an official or agent of a public international organisation	
<input type="checkbox"/> a person or company manifestly close to or connected with the above persons	

**6.2. Ultimate Economic Beneficiary details**

<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Ms (please tick the right choice)			
Surname(s)		First Name	
Date of birth (DD/MM/YYYY) / /	Place & Country of birth	Occupation and area of activity:	Nationality
Passport / ID Number: (circle the right choice)	Issuing Country:	Expiration Date (DD/MM/YYYY) / /	Double Nationality: <input type="checkbox"/> Never Renounced <input type="checkbox"/> Yes, which: <input type="checkbox"/>
Registered Address* Street Number:	Registered Address Town/Village:	Registered Address Post Code:	Registered Address Country:
Mailing Address if different from above Street Number	Mailing Address Town/Village:	Mailing Address Post Code:	Mailing Address Country:
Telephone:	Fax:	E-Mail: @	Mobile-Phone:

\* P.O. Box and “in care of” addresses are not valid registered address. These are acceptable for mailing purposes.

Signature of the ultimate economic beneficiary

Date and place of signature

**7. ECONOMIC ORIGIN OF THE MONIES INVESTED**

**7.1. Where investing in own name and on own behalf:**

The Account Holder declares that the origin of the funds used for subscription is coming from: (please tick the right choice)

- |                          |   |          |
|--------------------------|---|----------|
| <input type="checkbox"/> | Inheritance (please provide some details)                       | Details: |
| <input type="checkbox"/> | Sale of real estate (please provide some details)               |          |
| <input type="checkbox"/> | Redemption from other investments (please provide some details) |          |
| <input type="checkbox"/> | Savings on salary   |          |
| <input type="checkbox"/> | Treasury investment (Corporate)                                 |          |
| <input type="checkbox"/> | Other (please describe)   |          |

Main country of origin of the funds invested:

\_\_\_\_\_

Signature of the account holder

Signature of the account holder 2

**7.2. Where investing in own name but on behalf of third party:**

The Account Holder declares that the origin of the funds used for subscription is coming from: (please tick the right choice)

- |                          |   |          |
|--------------------------|---|----------|
| <input type="checkbox"/> | Retail Customers                        | Details: |
| <input type="checkbox"/> | Please tick if High Net Worth Customers |          |
| <input type="checkbox"/> | Institutional Customers                 |          |
| <input type="checkbox"/> | Other (please describe)                 |          |

Main country of origin of Client base:

\_\_\_\_\_

**Signature of the account holder**

**Signature of the account holder 2**

## DECLARATION BY THE ACCOUNT HOLDER

The following declaration is to be signed by each Account Holder:

- Joint or Common owners: The declaration must be signed by all owners individually.
- Minors: The declaration must be signed by the guardian on behalf of the Minor.
- Corporate: The declaration must be signed by a legal representative of the company, supported by documentary evidence of the authorisation to sign on behalf of the corporate.

### The Account Holder

1. Declares to be over 18 years old and having full capacity to subscribe, hold and deal in shares of the Fund
2. Understands that its application is subject to verification for receipt and acceptance by the Fund, the Company, the Registrar or any other agent appointed by them;
3. Declares and agrees that any further application for shares by it shall be (i) made or be deemed to be made in accordance with the then relevant documentation and (ii) understood as reiteration of all information made herein;
4. Hereby confirms that the money or assets invested by it are neither directly nor indirectly the proceeds of any criminal act
5. Declares to have received, read, understood and received the applicable Key Investor Information document(s) at the time of the signature of this application form related to the share-classes or sub-funds of the Fund.
6. Declares to agree to provide upon request of the Fund, The Company, the Registrar or any agent they may use, the necessary supporting identification documentation as requested by Irish Law
7. Declares that the information contained in this application form is correct at the time of completion and undertakes to promptly inform the Registrar of any changes
8. Declares it has been advised about and taken knowledge of the applicable General Terms and Conditions

Signature of the account holder or Company representative

Signature of the second account holder (if any) or company representative

Date and place of signature

Date and place of signature

Name:

Name:

Title:

Title:

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

**GUIDE TO COMPLETING THIS FORM**

- Part I** This section must be completed by all applicants and transferees.
- Part II** This section should be completed by any applicant which is a **Recognised Regulated Entity** i.e. a **bank, provider of financial services or nominee company** acting on its own account and which is authorised and regulated for money laundering purposes in the European Union, Australia, Brazil, Canada, Channel Islands, Hong Kong, Iceland, India, Isle of Man, Japan, Liechtenstein, Mexico, Norway, Singapore, South Africa, South Korea, Switzerland, 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 and Futuna or the USA (each a Prescribed Country).
- Part III** This section is only applicable to individual & joint account investors investing directly into the Company, i.e. not through an intermediary.
- Part IV** This section is applicable to nominees which fall within the definition of Recognised Regulated Entities, where the nominee is acting on behalf of third parties and where the nominee appears on the shareholder register of the Company.
- Part V** This section is applicable to intermediaries which fall within the definition of Recognised Regulated Entities, where the intermediary is acting on behalf of investors and the name of the investors appears on the shareholder register of the Company.
- Part VI** This section is applicable where an unregulated nominee company is acting for investors and the unregulated nominee is owned by a Recognised Regulated Entity.
- Part VII** This section is applicable where an unregulated intermediary is acting for investors and the unregulated intermediary is owned by a Recognised Regulated Entity.
- Part VIII** This section is applicable to other investors investing directly into the Company.
- Note:** **In the case of joint account holders, the additional documentation is required for each applicant.**

**PART I – All applicants and transferees**

Full name(s) and full current permanent address/registered office of applicants(s)/transferee(s):

*Mr / Mrs / Miss / Ms / Company Name*

*Address / Registered Office*

*Date of birth (if applicable)*

*Country of Birth / Registration*

**DECLARATION** – 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.

*Signature 1*

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

*Signature 2*

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

**In the case on joint holders, ALL holders must complete this declaration.**

**PART II – Regulated Financial Company acting on its own account**

Please tick (✓) the box below if appropriate:

The applicant is a Recognised Regulated Entity (as previously defined) acting on its own account.

If so, please provide proof of regulatory status.

If you are acting on behalf of a third party, see PART IV below.

**PART III – Individuals and Joint Holders**

If you, as applicant(s) or transferee(s) is/are an Individual(s) please supply the following documents. In the case of joint account holders, please supply the relevant documentation in respect of all holders.

1. A copy photographic identity document (e.g. Passport/Driver's Licence, National Identity Card)
2. A copy non-photographic identity document within the last six months (e.g. Utility Bill)

**PART IV – Regulated Nominee acting on behalf of investors where the nominee's name appears on the shareholder register of the Company**

If a Recognised Regulated Entity is acting as a nominee for investors and the nominee appears on the shareholder register of the Company the following document is required:

1. Proof of regulatory status of the Recognised Regulated Entity

**PART V – Intermediary acting on behalf of an investor and the name of the investor appears on the shareholder register of the Company**

If a Recognised Regulated Entity is acting as an intermediary on behalf of an investor and the name of the investor appears on the shareholder register of the Company the following document is required:

1. Proof of regulatory status of the Recognised Regulated Entity
2. Standard reliance letter (please see Appendix Letter A)

**PART VI – Unregulated nominee acting on behalf of investors where the nominee's name appears on the shareholder register of the Company and the unregulated nominee is owned by a Recognised Regulated Entity**

If the Nominee Company is unregulated and is acting as a nominee for investors the following documents are required:

1. Documentation in accordance with the legal form of the Nominee Company and
2. Proof of regulatory status of Recognised Regulated Entity and Confirmation Letter from the Recognised Regulated Entity that the nominee is a wholly owned subsidiary and applies the parent's AML policy (please see Appendix Letter B).

**PART VII – Unregulated intermediary is acting for investor(s) and the intermediary is owned by a Recognised Regulated Entity and the name of the investor(s) appears on the shareholder register of the Company**

If the unregulated intermediary is unregulated and is acting as an intermediary for an investor(s) the following documents are required;

1. Documentation in accordance with the legal form of the relevant investor; or
2. Standard reliance letter (please see Appendix Letter C).

## PART VIII – Other Investors

If you, as applicant or transferee, fall under one of the investor categories outlined below please provide documents evidencing the requested information.

### Listed Company

For a Listed Company in a Prescribed Country, Proof of Listing on a recognised stock exchange in a Prescribed Country and an Authorised Signatory List. Otherwise see 1-10 below.

1. Proof of listing.
2. Full name.
3. Registered number.
4. Registered office address.
5. Principal business address.
6. Details of Directors.
7. Proof of identity of two Directors or one Director and one authorised signatory in accordance with Part III above.
8. Verify (by providing documentation as per entity type) any beneficial owners who 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 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. Verification of identity from:
  - a. Search of the relevant company registry; and/or
  - b. Copy of Certificate of incorporation or equivalent; and/or
  - c. Copy of Memorandum and Articles of Association or equivalent; and/or
  - d. Copy of latest audited financial statements.
10. Authorised signatory list.

### Private and Unlisted Company

1. Full name.
2. Registered number.
3. Registered office address.
4. Principal business address.
5. Details of directors.
6. Proof of identity of two directors or one director and one authorised signatory in accordance with Part III above.
7. Verify (by providing documentation as per entity type) any beneficial owners who 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 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).
8. Verification of identity from:
  - a. Search of the relevant company registry; and/or
  - b. Copy of Certificate of incorporation or equivalent; and/or
  - c. Copy of Memorandum and Articles of Association or equivalent; and/or
  - d. Copy of audited financial statements.
9. Authorised signatory list.

### Partnership

1. Full name.
2. Registered office address.
3. Principal business address.
4. Details of all partners (where not a Partnership Fund); or
5. If a Partnership Fund, identify and verify identity of General Partner and partners who own more than 25% of the partnership capital, profit or voting rights or otherwise exercise control over the management of the Partnership Fund and listing of directors, if appropriate. 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).
6. Verification of identity of General Partner or two partners or one partner and one authorised signatory in accordance with Part III above.
7. Constitutional Document (e.g. Partnership Agreement).
8. Authorised signatory list.



## **LLC**

1. Full name.
2. Registered office address.
3. Principal business address.
4. Details of Managing Members.
5. Verification of identity of two Managing Members or one Managing Member and one authorised signatory in accordance with Part III above.
6. Verify (by providing documentation as per entity type) any members who own more than 25% of the share capital, profit or voting rights or otherwise exercise control over the management of the LLC. 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).
7. Constitutional Document (e.g. Certificate of formation).
8. Operating agreement.
9. Authorised signatory list.

## **Collective Investment Scheme**

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. Verify (by providing documentation as per entity type) any investors who own more than 25% of the share capital.
8. Authorised signatory list.

## **Trust, Foundation or similar entity**

1. Full name of trust.
2. Registered address of trust.
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. Nature/purpose of the Trust etc.
6. Details of all trustees.
7. Verification of identity of two trustees or one trustee and one authorised signatory in accordance with Part III above.
8. Details of settler.
9. Verify (by providing documentation as per entity type) any beneficial owners who own more than 25% of the share capital or voting rights or otherwise exercises control over the trust. 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).
10. Authorised signatory list.

## **Pension Scheme**

For an employee sponsored pension scheme in the EU proof of registration from the relevant tax authorities and authorised signatory list.

Otherwise items 1-6 below.

1. Full name.
2. Registered office address.
3. Authorised signatory list.
4. Confirmation of registration (as appropriate) from the relevant tax authorities or pensions board or items 5 and 6 below.
5. Names of Trustees/Directors/Governors/Board Members or equivalent.
6. Constitutional/Formation Document (e.g. Trust Deed).
7. Verification of identity of two controllers (Trustees/Directors/Governors/Board Members etc) in accordance with Part III above.

### **Charity**

Extract from the relevant Charities Register e.g. UK Charities Commission or 1-9 below.

1. Full name.
2. Nature/purpose including the nature of the funding.
3. Registered office address.
4. Principal business address.
5. Authorised signatory list.
6. Details of Trustees/Directors/Governors/Board Members or equivalent.
7. Verification of identity of two Trustees/Directors/Governors/Board Members or one Trustee/Director/Governor/Board Member and one authorised signatory in accordance with Part III above.
8. Details of beneficiaries (where ascertainable).
9. Constitutional/Formation Document.

### **Club or Society**

1. Full name.
2. Registered office address.
3. Nature/Purpose including the nature of funding.
4. Confirmation of the legal status.
5. Constitutional/Formation Document (e.g. Trust Deed) and/or copy of audited financial statements (if available).
6. List of officers.
7. Verification of identity of two officers of the Club/Society or one officer and one authorised signatory in accordance with Part III above.
8. Authorised signatory list.

### **Public Body**

For a Public Body in a Prescribed Country background from a reliable source (e.g. internet search) and Authorised Signatory List. Otherwise see 1-9 below.

1. Full name.
2. Nature and status.
3. Registered office address.
4. Name of the home state authority and nature of its relationship with public body.
5. Ownership of the entity.
6. Names of main public body officials.
7. Verify (by providing documentation as per entity type) 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. 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).
8. Authorised signatory list.
9. Appropriate background information on the entity (e.g. via internet search).

### **School, College or University**

1. Full name.
2. Registered office address.
3. Authorised signatory list.
4. Verification of identity from relevant registers and/or from obtaining appropriate background information on the entity (e.g. via internet search).
5. Verification of identity of two officials or one official and one authorised signatory in accordance with Part III above or 6 and 7 below.
6. Confirmation of ownership of the entity. In particular, confirmation of public ownership or independent ownership.
7. Names of main officials.

NOTE: The Company or the Administrator may require further documentation to be provided upon request.

## Appendix Letter A

[On Company Letterhead of Recognised Regulated Entity]

[Date]

[Insert Name of Fund or Manager]

[Fund/Manager Address]

[Insert Name and Address of Administrator]

Investor Name: Insert "All" if this letter is required to cover all investors introduced by this Recognised Regulated Entity

Re: Investors in [Insert Name of Fund]

Customer Due Diligence: Anti-Money Laundering/Counter Terrorist Financing

Dear Sirs,

[Full Legal Name of Recognised Regulated Entity] is licensed and regulated by [Regulator and licence No] in respect of the conduct of all our financial business activities including for the purposes of anti-money laundering and terrorist financing.

[Recognised Regulated Entity] is bound by and complies with the due diligence requirements as set out in regulations and/or guidance issued on the Prevention of Money Laundering and Countering the Financing of Terrorism under [Name of legislation].

[Recognised Regulated Entity] verifies the identity of all its clients ("the introduced investor(s)") who have invested in the Fund and we make the following representations and undertakings:

### Customer Due Diligence

1. We have conducted Customer Due Diligence (and where appropriate Enhanced Customer Due Diligence) on the introduced investor (s) and, where applicable, the principal beneficial owners of the introduced investor(s);
2. We will conduct such verification and due diligence of any new investors and beneficial owner(s), where applicable;
3. We have access to, retain and verify, to the extent required by regulation, the identity, including the true name and proof of current permanent residence of the introduced investor(s);
4. We will keep Customer Due Diligence Records up to date and will inform the Administrator if the status of [name of investor] changes;
5. In the event that the introduced investor(s) is a corporate or other entity we use all reasonable efforts to verify the identity of the ultimate beneficial owners or beneficiaries of that entity, obtain constitutional documents, a list of directors and executive officers (or identifying information relating to those directors and officers) and evidence that the persons executing documents on behalf of the introduced investor(s) are properly authorised;
6. [We confirm that no one person ultimately owns or ultimately controls 25% or more of the investing entity and that should this status change we will notify the Administrator as soon as practicable] or [We confirm that the below listed persons ultimately own or control 25% or more of the investing entity and that should this status change we will notify the Administrator as soon as practicable]. (Please list names, dates of birth and addresses of all such persons).
7. In the event we are unable to verify the identity of an introduced investor(s) we will inform you as soon as it is reasonably practical;
8. To the best of our knowledge, we are satisfied that the introduced investor(s), and, where applicable the beneficial owner(s), are engaged in legitimate business activities and that their funds and assets are derived from legitimate sources. We are unaware of any activities on the part of the introduced investor(s) which could lead us to believe that such introduced investor(s) is involved in criminal conduct, money laundering or terrorist activities;

9. To the extent that the introduced investor(s) or beneficial owner(s) is a bank, including a branch, agency or office of a bank, we have taken and will take reasonable measures to establish that the bank has a physical presence or is an affiliate or a regulated entity. We will not accept investments from or on behalf of [foreign] shell banks.
10. To the extent that we know or have reason to believe that the introduced investor(s) or beneficial owner(s) is/are current or former Politically Exposed Person(s) ("PEP") or an immediate family member or a close associate of such a PEP, we have conducted appropriate due diligence of the introduced investor(s)/beneficial owner(s). We undertake to inform you as soon as reasonably practicable of any PEPs which have been determined in this manner.

#### Suspicious Activity

11. We will monitor transactions of our clients to identify possible suspicious activity. If we identify any unusual or suspicious activity of any introduced investor and beneficial owner, we will notify your MLRO as appropriate;

#### OFAC/EU Sanctions Representation and Warranties

12. We have confirmed and verified that none of the introduced investor(s), persons controlling or controlled by the introduced investor(s), or persons having a beneficial interest in the introduced investor(s) is; named on a list of prohibited entities and individuals maintained and updated by the OFAC (Office of the Foreign Assets Control) or EU (Composite list of persons and organisations against whom sanctions have been imposed), or is prohibited pursuant to the sanctions programs administered by the OFAC or EU. We will recheck the names of each introduced investor and Beneficial Owner against OFAC and EU Lists as these lists are from time to time amended or if there is a change in ownership or control of the introduced investor(s);
13. If we determine in the future that an introduced investor or beneficial owner becomes subject to sanctions or is included on the OFAC or EU Lists, we will advise you of this in order for appropriate measures to be taken, including blocking of any assets of the introduced investor(s);

#### General Provisions

14. We acknowledge that the Administrator and the Fund are placing reliance on [insert Legal Name of Recognised Regulated Entity] for the purposes of meeting its due diligence obligations (except for ongoing monitoring) in respect of the introduced investor(s), and where applicable the beneficial owners;
15. We will retain and maintain documentary evidence of the identity of the introduced investor(s), and where applicable the beneficial owners, for a period of at least five years from the cessation of our relationship with the introduced investor;
16. We undertake that prior to the destruction of such documents and information; we will ensure that the relevant documents and information are provided to you, where there is a continuing relationship between investors and [Insert Name of Administrator and the Name of the Fund].
17. We agree to furnish you with the documentary evidence retained by us concerning the introduced investor(s) promptly upon request. In the event of any inquiry from a regulator or a competent law enforcement agency, we agree to provide you with all the necessary information to satisfy the request;
18. We undertake to advise you immediately, should at any time in the future, our licence or registration as noted above, be altered or revoked.

Yours sincerely,

[To be signed by MLRO/Compliance Officer of Recognised Regulated Entity]

## Appendix Letter B

[On Company Letterhead of Recognised Regulated Entity]

[Date]

[Insert Name of Fund or Manager]

[Fund/Manager Address]

[Insert Name and Address of Administrator]

Investor Name: Insert Full Legal Name of Nominee Company

Re: Investment by [Insert Full Legal Name of Nominee Company] in the Fund  
Customer Due Diligence: Anti-Money Laundering/Counter Terrorist Financing

Dear Sirs,

[Full Legal Name of Nominee Company] is a wholly owned subsidiary of [Full Legal Name of Recognised Regulated Entity], which is licensed and regulated by [Regulator and licence No] in respect of the conduct of all our financial business activities including for the purposes of anti-money laundering and terrorist financing.

[Recognised Regulated Entity] is bound by and complies with the due diligence requirements as set out in regulations and/or guidance issued on the Prevention of Money Laundering and Countering the Financing of Terrorism under [Name of legislation].

[Full Legal Name of Nominee Company] has implemented our AML Policy and Procedures. As such we can confirm that [Full Legal Name of Nominee Company] conducts Customer Due Diligence (and where appropriate Enhanced Customer Due Diligence) on all of its clients and, where applicable the principal beneficial owners of such clients in accordance with [Name of legislation].

Yours sincerely,

[To be signed by MLRO/Compliance Officer of Recognised Regulated Entity]

[Insert Name of Recognised Regulated Entity]

## Appendix Letter C

[On Company Letterhead of Recognised Regulated Entity]

[Date]

[Insert Name of Fund or Manager]

[Fund/Manager Address]

[Insert Name and Address of Administrator]

Investor Name: Insert "All" if this letter is required to cover all investors introduced by this [Insert Full Legal Name of Unregulated Intermediary]

Re: Investors in [Insert Name of Fund]  
Customer Due Diligence: Anti-Money Laundering/Counter Terrorist Financing

Dear Sirs,

[Full Legal Name of Unregulated Intermediary] is a wholly owned subsidiary of [Full Legal Name of Recognised Regulated Entity], which is licensed and regulated by [Regulator and licence No] in respect of the conduct of all our financial business activities including for the purposes of anti-money laundering and terrorist financing.

[Recognised Regulated Entity] is bound by and complies with the due diligence requirements as set out in regulations and/or guidance issued on the Prevention of Money Laundering and Countering the Financing of Terrorism under [Name of legislation].

[Full Legal name of Recognised Regulated Entity] verifies the identity of all the clients introduced by the unregulated intermediary and who have invested in the Fund and hereby makes the following representations, warranties and undertakings:

### Customer Due Diligence

1. We have conducted Customer Due Diligence (and where appropriate Enhanced Customer Due Diligence) on the clients introduced to the Fund by the unregulated intermediary and, where applicable, the principal beneficial owners of such client(s);
2. We will conduct such verification and due diligence of any new clients introduced by the Fund by the unregulated intermediary and on any beneficial owner(s), where applicable;
3. We have access to, retain and verify, to the extent required by regulation, the identity, including the true name and proof of current permanent residence of the client(s);
4. We will keep Customer Due Diligence Records up to date and will inform the Administrator if the status of [name of client] changes;
5. In the event that the client is a corporate or other entity we use all reasonable efforts to verify the identity of the ultimate beneficial owners or beneficiaries of that entity, obtain constitutional documents, a list of directors and executive officers (or identifying information relating to those directors and officers) and evidence that the persons executing documents on behalf of the client(s) are properly authorised;
6. [We confirm that no one person ultimately owns or ultimately controls equal to or more than 25% of the investing entity and that should this status change we will notify the Administrator as soon as practicable] or [We confirm that below listed persons ultimately own or control equal to or more than 25% of the investing entity and that should this status change we will notify the Administrator as soon as practicable. (Please list names, dates of birth and addresses of all such persons).]
7. In the event we are unable to verify the identity of a client we will inform you as soon as it is reasonably practical;
8. To the best of our knowledge, we are satisfied that the client(s), and, where applicable the beneficial owner(s), are engaged in legitimate business activities and that their funds and assets are derived from legitimate sources. We are unaware of any

activities on the part of the client(s) which could lead us to believe that such client(s) is involved in criminal conduct, money laundering or terrorist activities;

9. To the extent that the client(s) or beneficial owner(s) is a bank, including a branch, agency or office of a bank, we have taken and will take reasonable measures to establish that the bank has a physical presence or is an affiliate or a regulated entity. We will not accept investments from or on behalf of [foreign] shell banks.
10. To the extent that we know or have reason to believe that the client(s) or beneficial owner(s) is/are current or former Politically Exposed Person(s) (“PEP”) or an immediate family member or a close associate of such a PEP, we have conducted appropriate due diligence of the client(s)/beneficial owner(s). We undertake to inform you as soon as reasonably practicable of any PEPs which have been determined in this manner.

#### Suspicious Activity

11. We will monitor transactions of our clients to identify possible suspicious activity. If we identify any unusual or suspicious activity of any client and beneficial owner, we will notify your MLRO as appropriate;

#### OFAC/EU Sanctions Representation and Warranties

12. We have confirmed and verified that none of the client(s), persons controlling or controlled by the client(s), or persons having a beneficial interest in the client(s) is; named on a list of prohibited entities and individuals maintained and updated by the OFAC (Office of the Foreign Assets Control) or EU (Composite list of persons and organisations against whom sanctions have been imposed), or is prohibited pursuant to the sanctions programs administered by the OFAC or EU. We will recheck the names of each client and Beneficial Owner against OFAC and EU Lists as these lists are from time to time amended or if there is a change in ownership or control of the client(s);
13. If we determine in the future that client or beneficial owner becomes subject to sanctions or is included on the OFAC or EU Lists, we will advise you of this in order for appropriate measures to be taken, including blocking of any assets of the client(s);

#### General Provisions

14. We acknowledge that the Administrator and the Fund are placing reliance on [insert Legal Name of Recognised Regulated Entity] for the purposes of meeting its due diligence obligations (except for ongoing monitoring) in respect of client(s), and where applicable the beneficial owners;
15. We will retain and maintain documentary evidence of the identity of the client(s), and where applicable the beneficial owners, for a period of at least five years from the cessation of our relationship with the client;
16. We undertake that prior to the destruction of such documents and information; we will ensure that the relevant documents and information are provided to you, where there is a continuing relationship between the client(s) and the Administrator/Fund.
17. We agree to furnish you with the documentary evidence retained by us concerning the client(s) promptly upon request. In the event of any inquiry from a regulator or a competent law enforcement agency, we agree to provide you with all the necessary information to satisfy the request;
18. We undertake to advise you immediately, should at any time in the future, our licence or registration as noted above, be altered or revoked.

Yours sincerely,

[To be signed by MLRO/Compliance Officer of Recognised Regulated Entity]

[Insert Name of Recognised Regulated Entity]