



# THE STONEHAGE FLEMING GROUP

STONEHAGE FLEMING  
POOLED INVESTMENTS (IRELAND) PLC

NOT FOR USE BY US PERSONS

MAY 2018

c/o Link Fund Administrators (Ireland) Limited  
2nd Floor 2 Grand Canal Square Grand Canal Harbour Dublin 2, Ireland

t: +353 1400 5300 f: +353 1400 5350 e: [dublinta@linkgroup.ie](mailto:dublinta@linkgroup.ie)

Hours of Operation: 9.00am - 5.30pm (Irish Time)

## INSTRUCTIONS FOR COMPLETING THE APPLICATION FORM

Your application (this “Application”) to invest in the Shares of a sub-fund (each a “Fund” and together (the “Funds”) of Stonehage Fleming Pooled Investments (Ireland) Plc (the “Company”) should be made by sending this Application Form (the “Application Form”) to the details noted on the cover page.

Link Fund Administrators (Ireland) Limited (the “Administrator”), acting on the Company’s behalf, must receive an original completed Application Form for each initial subscription together with relevant Anti-Money Laundering documents\*. Where an application is made by fax, the original signed Application Form must be mailed to the Company at the address noted on the cover page.

Applicants (the “Applicants”) must read the Company’s Prospectus (the “Prospectus”), relevant Supplement and the relevant Key Investor Information Document (each, a “KIID”) before completing this Application Form.

This Application Form is the property of the Company and may not be tampered with or amended without the consent of the Company. Any breach of the foregoing may render the Application Form void.

Please enter all details (s) using block capitals.

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\* Anti-money Laundering documentation requirements are outlined in Appendix 1

\*\* If FATCA / CRS certification has been provided for this Fund previously this information will not be required again unless the data previously supplied is no longer accurate.



## GENERAL INFORMATION

The Company reserves the right to reject any application in whole or in part, without giving any reason for such rejection in which event any application moneys will be returned without interest, expenses or compensation by transfer to the Applicant's designated bank account at the risk of the Applicant.

If the amount paid does not correspond to a specific number of Shares, the Company will issue such number of Shares, calculated to two decimal places, as may be subscribed for with the application moneys and will not return any remainder to the Applicant.

## CONTRACT NOTES

It is anticipated that contract notes will normally be sent to Applicants *as soon as possible, and no later than the first business day following execution*. Please ensure that appropriate email contact details are provided.

## IMPORTANT

It is the responsibility of the Applicant to check the accuracy of information provided to you in any confirmation of ownership, any valuation statements and other reports issued by, or on behalf of, the Company. You should contact the Administrator immediately in the event that you believe the information to be incorrect. It will be assumed that you have received Contract Notes and that the details contained therein are correct unless you contact the Administrator within 24 hours of the date of issue. The Company's liability and ability to change contract notes will be restricted after this time: however, the Company reserves the right to correct errors at any time and will endeavour to ensure errors are corrected.

## SUBSCRIPTIONS

Where permitted by the Company, subsequent subscription applications may be submitted by electronic means, for example, by way of an electronic messaging network for facilitating the exchange of electronic trading communications between financial organisations or other similar secure network, each a "Message Network".

Neither initial nor subsequent subscription applications submitted by email will be accepted.

Payment in respect of subscriptions must be received in cleared funds by the Administrator no later than 3 Business Days following the relevant Dealing Day.

## REDEMPTIONS

Redemption requests may be submitted by way of a signed form sent to the Company at the address noted on the cover page, fax to the Company at +353 1 400 5350, written communication or by electronic means, for example by way of a Message Network, prior to the Dealing Deadline for any Dealing Day as set out in the Prospectus and/or relevant Supplement, provided that no redemption payment will be made from an investor holding until cleared funds have been received in respect of the original subscription for Shares, the original subscription application form and all documentation required by or on behalf of the Company (including any documents in connection with anti-money laundering procedures) has been received from the investor by the Administrator on behalf of the Company and the anti-money laundering procedures have been completed. Failure to comply with the above will result in redemption proceeds not being paid.

Redemption requests submitted by email will not be accepted.

Shareholders and prospective investors should note that all or part of the fees and expenses of the Company may be charged to the capital of the Company. Thus, on redemptions of holdings shareholders may not receive back the full amount invested.

## DISTRIBUTIONS

The Company may pay distributions to Shareholders out of the capital assets of the relevant Fund (if provided for in the Prospectus and/or the relevant Supplement). The effect of any such payment out of capital is that capital will be eroded to allow dividends to be paid, thereby reducing the potential for future capital growth. This cycle may continue until all capital is depleted.

## QUERIES

All queries regarding the completion of the Application Form should be addressed to the Company c/o the Administrator and specifying the Company and the Fund to which the query relates. The Administrator can be contacted by phone at +353 1 400 5300 or email at [Dublinta@linkgroup.ie](mailto:Dublinta@linkgroup.ie).

Terms defined in the Prospectus have the same meaning in this Application Form.



## APPLICANT DETAILS

Please note that by completing this Application Form you are providing personal data to the Company for the purposes of applying for Shares in the relevant Fund(s). This data will be used for the purposes set out in the Company's data privacy statement, which is set out in Appendix 4 hereto and is otherwise available upon request.

The Applicant Name(s) will be the registered name as reflected on the share register.

Applicant Name 1	<input type="text"/>
Applicant Name 2 (Joint Holder)	<input type="text"/>

All communications will be delivered to the *correspondence* details of the first named shareholder

## APPLICANT 1

### REGISTERED ADDRESS

Street Address	<input type="text"/>		
Town / City	<input type="text"/>	Postcode	<input type="text"/>
Country	<input type="text"/>		

## APPLICANT 2

### REGISTERED ADDRESS

Street Address	<input type="text"/>		
Town / City	<input type="text"/>	Postcode	<input type="text"/>
Country	<input type="text"/>		

### CORRESPONDENCE DETAILS

Street Address	<input type="text"/>		
Town / City	<input type="text"/>	Postcode	<input type="text"/>
Country	<input type="text"/>		
Telephone	<input type="text"/>		
Fax	<input type="text"/>		
Email Address(es)	<input type="text"/>		
	<input type="text"/>		

PLEASE TICK THE FOLLOWING BOX IF YOU WOULD LIKE YOUR ADVISOR / INTERMEDIARY TO RECEIVE COPIES OF ALL REPORTING RELATING TO YOUR ACCOUNT



## INVESTMENT ADVISOR / INTERMEDIARY DETAILS

Name of Advisor/Intermediary	<input type="text"/>
Company Registration Number	<input type="text"/>
Is the Company Regulated?	YES <input type="checkbox"/> NO <input type="checkbox"/>
Regulator Name	<input type="text"/>

## CORRESPONDENCE DETAILS

Street Address	<input type="text"/>		
Town / City	<input type="text"/>	Postcode	<input type="text"/>
Country	<input type="text"/>		
Telephone	<input type="text"/>		
Fax	<input type="text"/>		
Email Address(es)	<input type="text"/>		
	<input type="text"/>		

## SOURCE OF FUNDS

For all subscriptions  $\geq$  \$/£50,000 on behalf of individual investors please confirm the origin of the money subscribed into the fund using the options below:

Savings	<input type="checkbox"/>
Employment Income	<input type="checkbox"/>
Proceeds of Sale	<input type="checkbox"/>
Gift or Inheritance	<input type="checkbox"/>
Company Profits	<input type="checkbox"/>
Other (Please specify)	<input type="text"/>



## INVESTMENT DETAILS

FUND / CLASS NAME	ISIN	INVESTMENT AMOUNT		
<b>STONEHAGE FLEMING GLOBAL BEST IDEAS EQUITY FUND</b>				
Class A	IE00BCLYMB94	\$	<input type="text"/>	<input type="text"/> Shares
Class B	IE00BCLYMC02	\$	<input type="text"/>	<input type="text"/> Shares
Class C	IE00BCLYMD19	£	<input type="text"/>	<input type="text"/> Shares
Class D	IE00BCLYMF33	£	<input type="text"/>	<input type="text"/> Shares
Class E	IE00BDB5NR23	\$	<input type="text"/>	<input type="text"/> Shares
Class F	IE00BDB5NS30	£	<input type="text"/>	<input type="text"/> Shares
Class G	IE00BDB5NT47	\$	<input type="text"/>	<input type="text"/> Shares
Class H	IE00BDB5NV68	£	<input type="text"/>	<input type="text"/> Shares
Class I	IE00BDB5NW75	€	<input type="text"/>	<input type="text"/> Shares
Class J	IE00BDB5NX82	CHF	<input type="text"/>	<input type="text"/> Shares
<b>STONEHAGE FLEMING GLOBAL MULTI-ASSET PORTFOLIO</b>				
Class A	IE00BYZ6S628	\$	<input type="text"/>	<input type="text"/> Shares
Class B	IE00BYZ6S735	\$	<input type="text"/>	<input type="text"/> Shares
Class C	IE00BYZ6S842	£	<input type="text"/>	<input type="text"/> Shares

## DISTRIBUTION OPTION

Please tick as appropriate. If no selection is made all dividends will be automatically reinvested.

**Please reinvest all dividends into shares of the same class in the relevant fund**

**Please pay all dividends to the bank details supplied**

No dividends will be paid on any Accumulation share classes.



## INVESTOR BANK DETAILS

All Redemption / Distribution proceeds will be paid to the account details below. No third party payments will be made. Redemption proceeds will be paid in the currency of denomination of the relevant Share Class. Please ensure that the bank details provided below are able to receive payments in the relevant currency.

Bank Name	<input type="text"/>
Bank Address	<input type="text"/>
BIC / SWIFT	<input type="text"/>
Sort Code	<input type="text"/>
IBAN	<input type="text"/>
Account Number	<input type="text"/>
Account Name	<input type="text"/>
Intermediary/ Correspondent Bank	<input type="text"/>
BIC / SWIFT	<input type="text"/>

Subscription monies must come from an account in the name of the registered investor, the details of which must be verified by the Administrator. If the bank details to be used for transferring subscription monies are different from those listed above please provide the details below.

Bank Name	<input type="text"/>
Bank Address	<input type="text"/>
BIC / SWIFT	<input type="text"/>
Sort Code	<input type="text"/>
IBAN	<input type="text"/>
Account Number	<input type="text"/>
Account Name	<input type="text"/>

**PLEASE BE ADVISED THAT ANY AMENDMENT TO THE DETAILS PROVIDED ABOVE WILL REQUIRE VERIFICATION BY THE ADMINISTRATOR PRIOR TO ACCEPTANCE.**

For Individuals/Joint holders the following are required prior to accepting the new details:

**New/Amended Redemption bank details:** A signed instruction confirming the bank details change including the reason for the change AND an original/certified copy of a bank statement for the new details dated within the previous 3 months.

**New/Amended Subscription bank details only:** Written confirmation of the bank details change including the reason for the change AND a copy of a bank statement for the new details dated within the previous 3 months.



## INVESTMENT SETTLEMENT DETAILS

Listed below are the bank details to which the Applicant's money should be settled in full by wire transfer. The Applicant's bank must be instructed at the time of application to forward the appropriate remittance by the fastest available means to reach the relevant bank account listed below (based on the currency of the investment) for value not later than 3 Business Days following the relevant Dealing Day on which the application is to be effective. Payment, net of charges, should be sent to the details below. **Please note that for all non-USD Investments, both the Intermediary Bank details and the Beneficiary bank details must be provided when instructing the transfer.** In addition, for non-USD payments where both the Intermediary and Beneficiary account details are required, please note that most personal online banking platforms will not facilitate this. Should you have any problems entering these details, please contact your bank.

	FOR USD INVESTMENTS	FOR GBP INVESTMENTS
Beneficiary Bank Name	The Bank of New York Mellon, New York	
Bank Address	225 Liberty Street, New York, NY 10286	
Sort Code		
SWIFT	IRVTUS3N	
Account Name	Stonehage Fleming Pooled Investments (Ireland) PLC	
Account Number	8901315753	8033020814
Intermediary Bank Name		The Bank of New York Mellon, London
Bank Address		One Canada Square, Canary Wharf, London EC14 5AL
Intermediary SWIFT		IRVTGB2X

	FOR EUR INVESTMENTS	FOR CHF INVESTMENTS
Bank Name	The Bank of New York Mellon, New York	
Bank Address	225 Liberty Street, New York, NY 10286	
Sort Code		
SWIFT	IRVTUS3N	
Account Name	Stonehage Fleming Pooled Investments (Ireland) PLC	
Account Number	8033020822	8033020806
Intermediary Bank Name	The Bank of New York Mellon, Frankfurt	Credit Suisse, Zurich
Intermediary SWIFT	IRVTDEFX	CRESCHZZ80A
Account Number with Intermediary	4688009710	CH3904835098464083000





## DECLARATION OF RESIDENCE OUTSIDE OF 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.

### PLEASE TICK ONE

#### DECLARATION ON OWN BEHALF

I/we\* declare that I am/we are\* applying for the shares on my own/our own behalf/on behalf of a company\* and that I am/we are/the company is entitled to the shares in respect of which this declaration is made and that

- I am/we are/the company is\* not currently resident or ordinarily resident in Ireland, and
- Should I/we/the company\* become resident in Ireland I/we\* will so inform the Company, in writing, accordingly.

\* Delete as appropriate

#### 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 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, each application 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(s) shares, becomes resident in Ireland.

\* Delete as appropriate

### IMPORTANT NOTES

1. Declarations of Residence outside of Ireland are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
2. To be valid, the Declaration of Residence outside of Ireland must be signed by the Applicant. Where there is more than one Applicant, each person must sign. If the Applicant is a company, it must be executed under seal or signed by duly authorised signatories
3. If the Declaration of Residence outside of Ireland is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature.
4. 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.
5. Definitions of an “Intermediary” and the concepts of “Residence in Ireland” and “Ordinary Residence in Ireland” are set out on the next page.

Date

Signed

Capacity of authorized signatory (if applicable)

In the case of joint holders, ALL Applicants must complete this declaration.



## DEFINITIONS RELATING TO THE DECLARATION OF RESIDENCE

### INTERMEDIARY

An “Intermediary” means a person who:

- carries on a business which consists of, or includes, the receipt of payments from an investment undertaking resident in the State on behalf of other persons;
- holds units in an investment undertaking on behalf of other persons.

### RESIDENCE

#### Residence - Individual

An individual will be regarded as being resident in Ireland for a tax year if he/she is present in Ireland:

1. for a period of at least 183 days in that tax year; or
2. for a period of at least 280 days in any two consecutive tax years, provided that the individual is present in Ireland for at least 31 days in each period.

In determining days present in Ireland, an individual is deemed to be present if he/she is in Ireland at any time during the day.

#### Residence - Company

A company which has its central management and control in Ireland is resident in Ireland irrespective of where it is incorporated. A company which does not have its central management and control in Ireland but which is incorporated in Ireland is resident in Ireland except where:

1. the company or a related company carries on a trade in Ireland, and either the company is ultimately controlled by persons resident in a Member State of the EU or countries with which Ireland has a double taxation treaty, or the company or a related company are quoted companies on a Recognised Exchange in the EU or in a treaty country under a double taxation treaty; or
2. the company is regarded as not resident in Ireland under a double taxation treaty between Ireland and another country.

The exemption in 1 above, does not apply where it would result in an Irish incorporated company that is managed and controlled in a relevant territory (other than Ireland), but would not be resident in that relevant territory as it is not incorporated there, not being resident for tax purposes in any territory.

The Finance Act 2014 (of Ireland) amended the above residency rules for companies incorporated on or after 1 January 2015. These new residency rules will ensure that companies incorporated in Ireland and also companies not so incorporated but that are managed and controlled in Ireland, will be tax resident in Ireland except to the extent that the company in question is, by virtue of a double taxation treaty between Ireland and another country, regarded as resident in a territory other than Ireland (and thus not resident in Ireland). For companies incorporated before this date these new rules will not come into effect until 1 January 2021 (except in limited circumstances).

**It should be noted that the determination of a company’s residence for tax purposes can be complex in certain cases and potential investors are referred to the specific legislative provisions that are contained in Section 23A of the Taxes Consolidation Act, 1997 (of Ireland), as amended.**

### ORDINARY RESIDENCE - INDIVIDUAL

The term “ordinary residence” as distinct from “residence”, relates to a person’s normal pattern of life and denotes residence in a place with some degree of continuity.

An individual who has been resident in Ireland for three consecutive tax years becomes ordinarily resident with effect from the commencement of the fourth tax year.

An individual who has been ordinarily resident in Ireland ceases to be ordinarily resident at the end of the third consecutive tax year in which s/he is not resident. Thus, an individual who is resident and ordinarily resident in Ireland in the tax year 1 January 2011 to 31 December 2011 and departs from Ireland in that tax year will remain ordinarily resident up to the end of the tax year in 1 January 2014 to 31 December 2014.



## RETURN OF VALUES (INVESTMENT UNDERTAKINGS) REGULATIONS 2013

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

In order to satisfy the RoV 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 RoV Regulations):

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

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

In addition, any printed documentation issued by the Irish Revenue Commissioners or by the Department of Social Protection which contains your name, address and TRN 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 its duly appointed delegates as Data Processor for the Company in accordance with the Data Protection Acts 1988 to 2003 (as may be amended or supplemented from time to time) and from 25 May 2018, the EU’s General Data Protection Regulations 2016/679 (the “GDPR” (together the “Data Protection Legislation”). In particular, all the relevant security measures will be taken to ensure an adequate level of protection of the personal data against unauthorised access, accidental loss or destruction. Your information provided herein will be processed for the purposes of complying with the RoV Regulations and this may include disclosure to the Irish Revenue Commissioners.

## FATCA / CRS CERTIFICATION

**Please read these instructions before completing the relevant form.**

Irish tax regulations require us to collect information about each investor’s tax residence status. If you have any questions about your tax residency, please contact your tax advisor. For further information please refer to the Irish Revenue website or the OECD website per the below links:

- <http://www.revenue.ie/en/business/aeoi/index.html>
- <http://www.oecd.org/tax/automatic-exchange/>

Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor’s interests in the Fund with relevant tax authorities. This form is intended to request information only where such request is not prohibited by Irish law.

We shall treat the information on this form as valid and correct unless we are informed of a change in circumstances relating to the account holder’s tax status or other fields included on this form.

Individual investors must complete the Individual Self-Certification form and any investor which is a corporate entity, other form of legal entity or a partnership should complete the Entity Self-Certification form.

Please note that where there are joint account holders each investor is required to complete a separate self-certification form.

<sup>1</sup> Where the Applicant is an intermediary and that Applicant will be or is, as applicable, the registered Shareholder, reporting obligations under the RoV Regulations may be carried out on the basis that the intermediary is the Shareholder. For these purposes, intermediary has the same meaning as in Section 739B (1) of the Taxes Consolidation Act, 1997 of Ireland, as amended, (the “Taxes Act”) the basis that the intermediary is the Shareholder. For these purposes, intermediary has the same meaning as in Section 739B (1) of the Taxes Act.

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



## INDIVIDUAL SELF-CERTIFICATION

All individuals must complete Sections 1, 2 and 4 in BLOCK CAPITALS. Section 3 should be completed only if you are completing the form as a Controlling Person of an Entity.

### SECTION 1: INVESTOR / CONTROLLING PERSON IDENTIFICATION

Investor / Controlling Person Name

Place of Birth (town or city)

Country of Birth  Date of Birth

#### RESIDENTIAL ADDRESS

House Name / Number

Street

City, Town, State, Province or County

Post Code

Country

#### MAILING ADDRESS (if different from above)

House Name / Number

Street

City, Town, State, Province or County

Post Code

Country

### SECTION 2: DECLARATION OF TAX RESIDENCY

Please indicate all countries in which you are resident for tax purposes and the associated tax reference numbers in the table below. If you are a US citizen or resident in the United States for tax purposes, please include the United States in this table along with your US Tax Identification Number.

**Country of Tax Residency (and citizenship if U.S.)**

**Tax ID Number / TIN**



### SECTION 3: CONTROLLING PERSON TYPE

This section should only be completed by any 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.

**TICK AS APPROPRIATE:**

- 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 4: 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 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 where any change in circumstances occurs which causes any of the information contained in this form to be incorrect.

Authorised Signature

Capacity in which Declaration is made

Date



## ENTITY SELF-CERTIFICATION

Please complete all sections in BLOCK CAPITALS.

### SECTION 1: INVESTOR IDENTIFICATION

Investor Name (the "Entity")

Country of Incorporation:

#### REGISTERED ADDRESS

Number

Street

City, Town, State, Province or County

Postal Code

Country

#### MAILING ADDRESS (if different from above)

Number

Street

City, Town, State, Province or County

Postal Code

Country

### SECTION 2: DECLARATION OF TAX RESIDENCY

Please complete the following table indicating (i) where the Account Holder is tax resident and (ii) the Account Holder's Taxpayer Identification Number (TIN) for each country indicated.

Country of Tax Residency	Tax ID Number / TIN
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>



### SECTION 3: U.S. PERSONS

Please tick one box only in this section. If you are non-U.S. tax resident proceed to Section 4.

The Entity is a Specified U.S. Person (if selected proceed to Section 5)

The Entity is U.S. person but not a Specified U.S. person (if selected proceed to Section 5)

### SECTION 4: FATCA CLASSIFICATION (NON-U.S. PERSONS)

(i) If the Entity is a Financial Institution please tick one of the below categories, and provide the entity's Global Intermediary Identification number (GIIN), if applicable.

Irish Financial Institution or a Partner Jurisdiction Financial Institution

Registered Deemed Compliant Foreign Financial Institution (FFI)

Participating Foreign Financial Institution

Non-Participating Foreign Financial Institution

Exempt Beneficial Owner

Deemed Compliant Foreign Financial Institution (FFI)

Excepted Foreign Financial Institution

Please provide the Global Intermediary Identification number (GIIN)

(ii) If the Entity is not a Financial Institution please confirm the Entity's FATCA status by ticking one of the boxes below.

Active Non-Financial Foreign Entity (incl Excepted Non-Financial Foreign Entity)

Passive Non-Financial Entity (if selected Section 6 must be completed)

### SECTION 5: COMMON REPORTING STANDARD (CRS) CLASSIFICATION

All entities MUST complete this section. Please tick only ONE box in this section.

Financial Institution (this includes Non-Reporting Financial Institutions)

A professionally managed Investment Entity outside of a CRS Participating Jurisdiction (if selected Section 6 must be completed)

Active Non-Financial Entity:

(i) a corporation the stock of which is regularly traded on an established securities market or a Related Entity of such a corporation

(ii) a Government Entity

(iii) an International Organisation

(iv) Active Non-Financial Entity - other than (i)-(iii)

Passive Non-Financial Entity (if selected Section 6 must be completed)



## SECTION 6: CONTROLLING PERSONS

Please indicate the name of any controlling person(s) of the account holder and provide an individual self-cert for each controlling person(s).


## SECTION 7: DECLARATION AND UNDERTAKING

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

Authorised Signature

--	--

Capacity in which Declaration is made

--	--

Date

--	--





## DISCLOSURE STATEMENTS

1. I/We acknowledge that Shares in the Company are issued in the name(s) and address set out above in registered form. Proof of title is evidenced by reference to the Register.
2. I/We, the undersigned, declare that I/we am/are over the age of 18, not a US Person as defined in the Prospectus, and that I/we am/are not acting on behalf of a US Person(s) or for the beneficial interest of a US Person(s), nor do I/we intend selling or transferring any Shares which I/we may purchase to any person who is a US Person, and will promptly notify the Administrator if I/we should become a US person. I/We agree to substantiate the foregoing representation upon request to the satisfaction of the Company.
3. I/We warrant that I/we have the right and authority to make the investment contemplated by this Application Form, whether the investment is my/our own or is made on behalf of another person or entity and that I/we are/will not be in breach of the Prospectus, Supplement, and/or any laws or regulations of any relevant jurisdiction.
4. I/We hereby confirm that the Company, the Directors, the Manager and the Administrator acting on behalf of the Company, are each authorised and instructed to accept and execute any subsequent instructions in respect of the Shares to which this Application relates given by me/us in written form, by facsimile and / or electronic dealing facilities where applicable and in the case of joint account holders which are given by such means jointly by the applicants (“Instructions”). I/We acknowledge that facsimile instructions and / or electronic dealing facilities may not be a secure means of communication, and are aware of the risks involved. I/We hereby indemnify the Company, the Directors, the Manager 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 my/our Instructions. The Company, the Directors, the Manager and the Administrator may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, Instructions or other instrument believed, in good faith, to be genuine or to be signed by properly authorised persons.
5. I/We understand that the tax disclosures set forth in the Prospectus are of a general nature and may not cover the jurisdiction in which I am /we are subject to taxation and that the tax consequences of my/our purchase of Shares depend on my/our individual circumstances.
6. I am not/We are not subscribing for Shares on behalf of one or more (i) employee benefit plans (“ERISA Plans”) subject to Title I of United States Employee Retirement Income Security Act of 1974, as amended (“ERISA”), (ii) retirement plans covering only self-employed individuals and individual retirement accounts or otherwise defined as a “plan” in Section 4975(e)(1) of the United States Internal Revenue Code of 1986, as amended (collectively “Qualified Plans”), or (iii) entities deemed to hold the assets of an ERISA Plan or Qualified Plan.
7. I/We hereby undertake to observe and be bound by the provisions of the Prospectus and any supplement applicable to the Fund in which I/we invest and the Memorandum & Articles of Association of the Company and apply to be entered in the Register of Shareholders as the registered holder/holders of the Shares issued in relation to this application.
8. I/We hereby acknowledge that the Prospectus and KIID in issue for the relevant Fund or Class may, at the discretion of the Directors, be provided by means of a website or by Electronic Delivery (which includes email delivery to the email address set out herein or as otherwise agreed with the Administrator from time to time) and that a paper copy will be provided free of charge on request. I/We agree that the Company has offered the choice of receipt of the Prospectus and relevant KIIDs by way of a website or by Electronic Delivery or in paper format and unless I request a paper copy, I/we agree that the Prospectus and relevant KIIDs may be provided by way of Electronic Delivery. I/ We further acknowledge that the Company is required to provide the relevant KIID or KIIDs prior to each subsequent subscription for or conversion of Shares in the relevant Class or other Classes in other Funds. I/ we hereby acknowledge that I/we have received or accessed by electronic means, the KIID in good time prior to making any application for shares and that I/we have read same. I/we also consent to accessing the KIID by electronic means before making any subsequent and/or future subscriptions for Shares in any Class and/or Fund.
9. I/We acknowledge that the Company, the Administrator acting on behalf of the Company and any delegate may require certain customer due diligence documentation in order to comply with all Anti-Money Laundering and Counter Financing of Terrorism regulatory and legislative requirements in force in Ireland which would include but are not limited to proof of identity of the Applicant and beneficial owner (where applicable), address and source of funds before processing applications and redemption requests, and the Company and/or the Administrator and its delegate shall be held harmless and indemnified against any loss occurring due to the failure to process this application, if such information as has been required by the parties hereto has not been provided by me/us within the timescales provided.
10. I/We shall provide the Company with any additional information and documentation which it may reasonably request in connection with tax or Anti-Money Laundering and Counter Financing of Terrorism or other similar requirements in order to substantiate any representations made by me/us or otherwise and I/We authorise the Company or its delegates to disclose such information relating to this application to such persons as they consider appropriate.
11. I/We acknowledge and agree that, where I/we fail to meet any of the Company’s verification and identification policies as applied from time to time in the Company’s compliance with all applicable Anti-Money Laundering and Counter Financing of Terrorism laws and regulations imposed upon me/us, the Administrator, after notification to the Directors



where relevant, may suspend any dealings on the account in respect of my/our holding in the Company until I/we comply with such applicable verification and identification standards.

12. I/We hereby acknowledge that I/we have read and fully considered and understood the Prospectus, the relevant Supplement, the relevant KIID in connection with this Application for Shares in the Company and 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 that I/we have evaluated my/our investment in the Company in the light of my/our financial condition and resources. I/We confirm that I/we am/are aware of the risks involved in investing in the Company and that an inherent risk in this investment is the potential to lose all of my/our investment. I/We hereby further acknowledge that I/we am/are applying for Shares on the basis of the Prospectus, the relevant Supplement and the relevant KIID and that I/we have not relied on any representations or statements made or information provided by or on behalf of the Company other than information contained in the Prospectus, the relevant Supplement and the relevant KIID.
13. I/We hereby accept such lesser number of Shares, if any, than may be specified above in respect of which this application/transfer may be accepted.
14. (In respect of Joint applicants only) We direct that on the death of one of us, the Shares for which we hereby apply be held in the name of and to the order of the survivor(s) or the estate of the last remaining survivor. I/We acknowledge and agree that in the event of the death of one or more of us the Administrator will require further documentation in relation to any proposed change of name or authority to act in respect of the Shares for which we hereby apply including without limitation a copy of the relevant Death Certificate, Grant of Probate or copy of a valid will.
15. In accordance with the provisions of the Data Protection Legislation, I/we acknowledge and are informed that personal data given in this Application Form (or otherwise provided in connection with an application to subscribe for Shares in a Fund, on application or at any other time, including without limitation my/our name, age, contact details, bank account details, transactions and the invested amount, and any information regarding the dealing in Shares (subscription, conversion, redemption and transfer) (the "Personal Data"), will be collected, recorded, stored, adapted, transferred and processed, by electronic means or otherwise, by the Company as a "data controller" under the Data Protection Legislation, and as further described in the Company's data privacy statement, which is set out in Appendix 4 hereto and is otherwise available upon request.
16. I/We hereby represent that I/we and the persons we represent as agent or nominee or our beneficial owners or persons who control us or are controlled by us is/are not a prohibited country, territory, individual or entity listed on any EU Sanctions list or a foreign shell bank and subscription monies are not directly or indirectly derived from activities that may contravene Irish or international laws and regulations, including anti-money laundering laws and regulations.
17. I/We agree to indemnify and hold harmless the Company, the Investment Manager, the Manager, the Administrator, the Custodian, the Distributor and their respective directors, officers, employees, and agents against any loss, liability, cost or expense (including without limitation legal fees, taxes and interest) that may result directly or indirectly, from any breach of any representation, warranty, condition, covenant or agreement contained herein or in any other document delivered by me/us to the Company, the Investment Manager, the Manager, the Administrator, the Custodian or Distributor. Each of the indemnified parties referred to in this undertaking is an intended third party beneficiary of this undertaking. In the case of delay or failure to provide satisfactory information, each of the Company, the Manager or Administrator, may take such action (including declining to accept an application) as they think fit.
18. I/We have made arrangements for payment to be made to the relevant bank account(s) specified above for subscriptions.
19. I/We acknowledge that the Company reserves the right to reject any application in whole or part without assigning any reason therefore.
20. I/We understand that the confirmations, representations, declarations, indemnities and warranties made or given herein are continuous and apply to all subsequent subscriptions of Shares by me/us in the Company.
21. I/We understand and agree that in normal circumstances any redemption proceeds will only be paid to a bank account from which the subscription money has been remitted from and held in my/our name with a recognised financial institution. I/We acknowledge that if I/We request the Administrator to pay redemption proceeds to an account or bank the details of which differ from those held on file I/we understand that payment cannot be effected until such time as the relevant documentation as specified by the Administrator regarding the change is forwarded by me.
22. I/We acknowledge that the Company reserves the right to cancel without notice any contract for which payment has not been received by the relevant settlement date and to recover any losses incurred.
23. I/We understand that while an initial application will be actioned upon receipt of a fax I/we undertake to confirm this by forwarding an original copy of the completed application form used on initial subscription. I/We acknowledge that redemption proceeds may not be paid out until the original of the application form used on initial subscription together with all documentation required by the Company and the Administrator, including all documentation required for anti-money laundering purposes has been received by the Administrator.
24. I/We hereby acknowledge that any notice, information or document may be served by the Company on me/us in the manner specified from time to time in the Prospectus and, for the purposes of the Electronic Commerce Act 2000 as amended, if I have provided an email address or fax number



to the Company or its delegate, consent to any such notice or document being sent to me/us by fax or electronically to the fax number or email address previously identified to the Company or its delegate which I/We acknowledge constitutes effective receipt by me/us of the relevant notice or document. I/We acknowledge that I am/we are not obliged to accept electronic communication and may at any time choose to revoke my/our agreement to receive communications by fax or electronically by notifying the Company in writing at the above address provided that my/our agreement to receive communications by fax or electronically shall remain in full force and effect pending receipt by the Company of written notice of such revocation.

25. I/We acknowledge the restrictions on dealing as disclosed in the Prospectus and the right of the Company to act at its discretion in order to protect the Company from market timing, excessive trading or other activity which it believes is harmful to the Company.
26. If any of the foregoing representation, warranties or covenants ceases to be true or if the Company, Manager and /or Administrator no longer reasonably believes that it has satisfactory evidence as to their truth, notwithstanding any other agreement to the contrary, the Company, Manager and /or Administrator may be obliged to freeze my/our investment, either by prohibiting additional investments, declining or suspending any redemption requests and/or segregating the assets constituting the investment in accordance with applicable regulations, or my/our investment may immediately be redeemed by the Company or the Manager, and the Company, Manager and /or Administrator may also be required to report such action and disclose my/our identity to a relevant authority. In the event that the Company, Manager and /or Administrator is required to take any of the foregoing actions, I/we understand and agree that I/we shall have no claim against the Company, the Manager, the Investment Manager, the Administrator and their respective affiliates, directors, officers, members, partners, employees, shareholders and agents from any damages as a result of any of the aforementioned actions.
27. I/We agree to provide these confirmations to the Company at such times as the Company may request, and to provide on request such certifications, documents or other evidence as the Company may require to substantiate such representations to the satisfaction of the Company.
28. I/We agree to notify the Company immediately if I/we become aware that any of the confirmations are no longer accurate and complete in all respects and agree immediately either to have redeemed or to tender to the Company for redemption all of my / our Shares.
29. 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 Fund are channeled and managed through the Umbrella Cash Accounts.
30. 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 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 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).
31. 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 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 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.
32. 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 relevant Fund may be obliged to make good any losses suffered by the investor (in its capacity as a general creditor of the relevant Fund), in which case such loss will need to be discharged out of the assets of the relevant Fund and therefore will represent a diminution in the net asset value per Share for existing Shareholders of the relevant 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 relevant Fund may be obliged to make good any losses suffered by the investor/ Shareholder (in its capacity as



a general creditor of the relevant Fund), in which case such loss will need to be discharged out of the assets of the relevant Fund and therefore will represent a diminution in the net asset value per Share for existing Shareholders of the relevant Fund;

- iii. in the event of an insolvency of the Company or the relevant Fund, there is no guarantee that the Company or the relevant Fund will have sufficient funds to pay unsecured creditors in full. Investors who have forwarded subscription monies in advance of a Dealing Day and which are held in the Umbrella Cash Account and investors/Shareholders due redemption/dividend monies which are held in the Umbrella Cash Account will rank equally with all other unsecured creditors of the relevant 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 Fund of the Company, recovery of any amounts to which a relevant Fund is entitled, but which may have been used by such other insolvent Funds 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 Fund may have insufficient funds to repay the amounts due to the relevant Fund.
33. 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 set out in the Prospectus or 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 Depositary or their delegates as a result of late payment or non-payment by me/us of subscription monies.
34. I/We acknowledge that I/we must disclose to the Fund and Administrator, both at the time of initial subscription into the Fund and upon any change thereafter, any Shareholder or person or entity or beneficial owner that is or is acting, directly or indirectly for the Shareholder who is a politically exposed persons (“PEP”), and immediate family members, and close associates of such persons. I/We acknowledge that such investment will only be permitted following the completion of further due diligence.

## ANTI-MONEY LAUNDERING

Applicants must read and complete the relevant sections.

We require detailed verification of each Applicant's and investor's identity for anti-money laundering purposes, in accordance with the Criminal Justice (Money Laundering & Terrorist Financing) Act 2010.

The information in Appendix 1 will provide you with the minimum requirements for different types of Applicants, for example individuals and corporate entities. It is strongly recommended that you contact the Administrator for full list of identification / verification documents before you send the instructions to place a subscription.

The Company reserves the right to request any further documentation it requires to satisfy its obligations under anti-money laundering procedures or legislation.

## SIGNATURE

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

I / We\* declare that I / we have read and fully understand all terms, representations, and conditions in this form.

(\* delete as applicable).

Applicant / Authorised Signatory Name

Capacity of Authorised Signatory (if applicable)

Signature

Date

Applicant / Authorised Signatory Name

Capacity of Authorised Signatory (if applicable)

Signature

Date

Applicant / Authorised Signatory Name

Capacity of Authorised Signatory (if applicable)

Signature

Date

Applicant / Authorised Signatory Name

Capacity of Authorised Signatory (if applicable)

Signature

Date

## IMPORTANT

To be valid Application Forms must be signed by each Applicant and received by the Administrator. In the case of a legal entity, Applications Forms should be executed under seal or signed by duly authorised signatories provided that a copy of the authorised signatories list together with sample signatures and details of any signing protocol accompanies the Application Form. If this Application Form is signed under power of attorney such power of attorney or a copy thereof must accompany it. The right is reserved to reject any Application Form in whole or in part or to seek such further information as the Company may require to satisfy itself in regard to the identity and legal capacity of any Applicant.



## APPENDIX I - ANTI-MONEY LAUNDERING REQUIREMENTS

Please refer to notes section at the end of this Appendix for important additional information related to the account opening process including details of the Country Groups referred to in the requirements list.

### INDIVIDUAL / JOINT HOLDERS

#### INDIVIDUALS DOMICILED IN COUNTRY GROUP A

1. Copy of Passport/Driver's Licence or other form of government issued identity card with photograph and signature included
2. 1 x copy of confirmation of address in investor's name dated within the last 3 months (utility bill, tax statement, bank statement or equivalent)
3. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor
4. For all subscriptions of  $\geq 50,000$  (EUR/USD/GBP/SGD): Description of the origin of the money subscribed into the relevant Fund, for example, savings from employment income, proceeds of sale, inheritance, company profits etc. Please complete 'Source of Funds' section on page 6 of the application form

#### INDIVIDUALS DOMICILED IN COUNTRY GROUP B

1. Certified copy of Passport/Driver's Licence or other form of government issued identity card with photograph and signature included
2. 1 x original or certified copy of confirmation of address in investor's name dated within the last 3 months (utility bill, tax statement, bank statement or equivalent)
3. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor
4. For all subscriptions of  $\geq 50,000$  (EUR/USD/GBP/SGD): Description of the origin of the money subscribed into the relevant Fund, for example, savings from employment income, proceeds of sale, inheritance, company profits etc. Please complete 'Source of Funds' section on page 6 of the application form

#### INDIVIDUALS DOMICILED IN ALL OTHER COUNTRIES

1. Certified copy of Passport/Driver's Licence or other form of government issued identity card with photograph and signature included
2. 2 x original or certified copy of confirmation of address in investor's name dated within the last 3 months (utility bill, tax statement, bank statement or equivalent)
3. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor
4. For all subscriptions of  $\geq 50,000$  (EUR/USD/GBP/SGD): Description of the origin of the money subscribed into the relevant Fund, for example, savings from employment income, proceeds of sale, inheritance, company profits etc. Please complete 'Source of Funds' section on page 6 of the application form

### CORPORATE ENTITY\*

#### CORPORATE ENTITY DOMICILED IN COUNTRY GROUP A OR B

1. Certified copy of Certificate of Incorporation and any Change of Name Certificate
2. Certified copy of Memorandum and Articles of Association, statute or equivalent constitutional document of the corporate entity
3. Description of the nature of business conducted
4. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor
5. A certificate of incumbency or other list certified by the company secretary, registered agent or a director of the corporate entity, giving the names, dates of birth and country of residence of ALL directors. If the director is another corporate entity we will require the same information as above on its directors.
6. A list of all authorised signatories certified by the company secretary or directors, samples of all signatures, details of any signing protocol



7. A list of all beneficial owners of 25%+ of the share capital, and the beneficial owners of the monies invested (if different), plus verification of ID and address (based on country group) for each individual person. An additional requirement as per point 4 of the Individual Person section applies to any beneficial owner of the money invested
8. Verification of ID and address (based on country group) for at least 2 directors, or 1 director and 1 authorised signatory, or 2 authorised signatories
9. If other legal entities own more than 25% each of the subscribing entity, the information as per point 1 or 2 and 7 of this section must be given for these entities

#### **CORPORATE ENTITY DOMICILED IN ALL OTHER COUNTRIES**

1. Points 1-7 above
2. Verification of ID and address (based on country group) for at least 2 directors, and all authorised signatories
3. Original / certified copy of Certificate of Good Standing from relevant company registrar or most recent audited accounts
4. If other legal entities own more than 25% each of the subscribing entity, the information as per point 1 or 2 and 7 (Country Group A or B) must be given for these entities in addition to an original / certified copy of Certificate of Good Standing or most recent audited accounts for each entity (entities not based in Country Group A or B)

\* Please contact the Administrator directly in relation to corporate entities with securities listed on a regulated market.

### **PARTNERSHIP OR OTHER UNINCORPORATED BUSINESS**

#### **PARTNERSHIP OR OTHER UNINCORPORATED BUSINESS DOMICILED IN COUNTRY GROUP A OR B**

1. Certified copy of Constitutional Document (e.g. Partnership Agreement / Operating Agreement or equivalent)
2. Description of the nature of business conducted
3. A letter confirming the name of General Partner / Managing Member / Chief Executive Officer, or all Directors giving the dates of birth and country of residence for all. If General Partner, Managing Member or Director is a corporate entity we will require a letter confirming the names, dates of birth and country of residence of all its directors
4. A list of all authorised signatories certified by General Partner / Managing Member / Chief Executive Officer or directors, samples of all signatures, details of any signing protocol
5. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor
6. Verification of ID and address (based on country group) for General Partner / Managing Member / Chief Executive Officer / Director and at least 1 other authorised signatory (if any)
7. A list of all beneficial owners of 25%+ of the entity and beneficial owners of the monies invested (if different) plus Verification of ID and address (based on country group) for each individual person. An additional requirement as per point 4 of the Individual Person section applies to any beneficial owner of the money invested. If the beneficial owner is a corporate entity we will require information as detailed in point 1 or 2 and 7 of the Corporate Entity section above

#### **PARTNERSHIP OR OTHER UNINCORPORATED BUSINESS DOMICILED IN ALL OTHER COUNTRIES**

1. Points 1 – 5 above
2. Verification of ID and address (based on country group) for General Partner / Managing Member / Chief Executive Officer / Director and all authorised signatories (if any)
3. If the beneficial owner is a corporate entity, point 1 or 2 and 7 of the corporate entity section (Country Group A or B) above, and an original / certified copy of Certificate of Good Standing or most recent audited accounts for each entity (entities not based in Country Group A or B)

### **TRUSTS**

#### **TRUST DOMICILED IN COUNTRY GROUP A**

1. Copy of Trust Deed and any supplementary agreements thereto (if the Trust is a pension scheme approved by an appropriate pension regulator, a proof of approval is required instead)
2. Written details on the purpose for which the Trust was established unless the Trust is an approved pension scheme as above
3. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor



4. List of trustees and:
  - a. If the trustees are individual persons verification of ID and address (based on country group) for all
  - b. If the trustee is a corporate entity, the information as per 1 or 2 and 5 of the Corporate Entity section above plus verification of ID and address (based on country group) for at least 2 directors. If the Trust is an approved pension scheme / the trustee company is a regulated entity, personal information on directors will not be required – the list of directors’ names will suffice
5. Verification of ID and address (based on country group) for settlor of the Trust and confirmation of the source of assets used to establish the Trust
6. Verification of ID and address (based on country group) for all beneficiaries and protector (if any). If a beneficiary is a legal entity, information as per 1 or 2 and 7 of the Corporate Entity section (Country Group A or B) must be given for this entity
7. A list of all authorised signatories certified by the Trustee(s), samples of all signatures, details of any signing protocol and verification of ID and address (based on country group) for all authorised signatories. (Personal information on all authorised signatories is not required if the Trust is a pension scheme approved by an appropriate pension regulator)

#### TRUST DOMICILED IN COUNTRY GROUP B

1. Certified copy of Trust Deed and any supplementary agreements thereto (if the Trust is a pension scheme approved by an appropriate pension regulator, a proof of approval is required instead)
2. Written details on the purpose for which the Trust was established unless the Trust is an approved pension scheme as above
3. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor
4. List of trustees and:
  - a. If the trustees are individual persons verification of ID and address for (based on country group) for all
  - b. If the trustee is a corporate entity, the information as per 1 or 2 and 5 of the Corporate Entity section above plus verification of ID and address (based on country group) for at least 2 directors. If the Trust is an approved pension scheme / the trustee company is a regulated entity, personal information on directors will not be required – the list of directors’ names will suffice
5. Verification of ID and address (based on country group) for settlor of the Trust and confirmation of the source of assets used to establish the Trust
6. Verification of ID and address for (based on country group) all beneficiaries and protector (if any). If a beneficiary is a legal entity, information as per 1 or 2 and 7 of the Corporate Entity section must be given for this entity
7. A list of all authorised signatories certified by the Trustee(s), samples of all signatures, details of any signing protocol and verification of ID and address (based on country group) for all authorised signatories (Personal information on all authorised signatories is not required if the Trust is a pension scheme approved by an appropriate pension regulator)

#### TRUST DOMICILED IN ALL OTHER COUNTRIES

1. Point 1 – 3 above (Country Group B)
2. List of trustees and:
  - a. If the trustees are individuals verification of ID and address (based on country group) for all
  - b. If the trustee is a corporate entity, the information as per 1 or 2 and 5 of the Corporate Entity section above plus verification of ID and address (based on country group) for at least 2 directors. ( If the Trust is an approved pension scheme / the trustee company is a regulated entity, personal information on directors will not be required – the list of directors’ names will suffice)
3. Verification of ID and address (based on country group) for settlor of the Trust and confirmation of the source of assets used to establish the Trust
4. Verification of ID and address (based on country group) for all beneficiaries and protector (if any). If a beneficiary is a legal entity, information as per 1 or 2 and 7 of the Corporate Entity section must be given for this entity in addition to an original / certified copy of Certificate of Good Standing or most recent audited accounts for each entity (entities not based in Country Group A or B)
5. A list of all authorised signatories certified by the Trustee(s), samples of all signatures, details of any signing protocol and verification of ID and address (based on country group) for all authorised signatories (Personal information on all authorised signatories is not required if the Trust is a pension scheme approved by an appropriate pension regulator)





## FINANCIAL INSTITUTIONS

### FINANCIAL INSTITUTION DOMICILED IN COUNTRY GROUP A OR B

1. Name of the relevant regulatory body
2. A list of all authorised signatories, samples of all signatures and details of any signing protocol
3. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor
4. Confirmation from Investors domiciled in secrecy jurisdictions that any suspicious transactions will be reported to their regulator.

### FINANCIAL INSTITUTION DOMICILED IN ALL OTHER COUNTRIES

1. Point 1 – 3 above
2. The entity is also required to complete Appendix 2b or provide all the below confirmations:
  - Written confirmation that the entity is supervised / monitored by an appropriate regulator for its compliance with appropriate anti-money laundering and CFT legislation / regulations with regard to verifying the identity of underlying investors and beneficial owners where applicable
  - Details of the anti-money laundering and CFT legislation and regulations that the entity complies with
  - Acknowledgement that the Company in respect of the relevant Fund is placing reliance on the entity for its client due diligence purposes
  - Undertaking that the entity will provide the due diligence documentation / information retained by the entity concerning its client (s) and where applicable beneficial owners of the relevant Fund, as soon as practicable, upon request (any undertakings which are conditional to local laws will not be accepted)
3. List of directors of the entity
4. Confirmation of the ownership structure of the entity

## REGULATED ENTITIES (OTHER THAN FINANCIAL INSTITUTIONS)

### REGULATED ENTITIES DOMICILED IN COUNTRY GROUP A OR B

1. Same details as per point 1 to 3 of the Financial Institution section above (Country Group A or B)
2. The entity is also required to complete Appendix 2b or provide all the below confirmations:
  - Written confirmation that the entity is supervised / monitored by an appropriate regulator for its compliance with appropriate anti-money laundering and CFT legislation / regulations with regard to verifying the identity of underlying investors and beneficial owners where applicable
  - Details of the anti-money laundering and CFT legislation and regulations that the entity complies with
  - Acknowledgement that the Company in respect of the relevant Fund is placing reliance on the entity for its client due diligence purposes
  - Undertaking that the entity will provide the due diligence documentation / information retained by the entity concerning its client (s) and where applicable beneficial owners of the relevant Fund, as soon as practicable, upon request (any undertakings which are conditional to local laws will not be accepted)

**Note:** If the above confirmations and/or Appendix 2b cannot be provided, the full Customer Due Diligence documentation on the entity and underlying beneficial owners investing into the relevant Fund will be required.

### REGULATED ENTITIES DOMICILED IN ALL OTHER COUNTRIES

1. Points 1 and 2 above
2. List of names, addresses and dates of births of the beneficial owners of 25%+ of the monies invested



## NOMINEE COMPANY OWNED AND OPERATED BY A REGULATED FINANCIAL INSTITUTION

### NOMINEE COMPANY OWNED AND OPERATED BY A REGULATED FINANCIAL INSTITUTION DOMICILED IN COUNTRY GROUP A OR B

1. Copy of Certificate of Incorporation and any Change of Name Certificate
2. List of directors' names
3. All details and confirmations as detailed in Appendix 2a

### NOMINEE COMPANY OWNED AND OPERATED BY A REGULATED FINANCIAL INSTITUTION DOMICILED IN ALL OTHER COUNTRIES

1. Points 1 – 2 above
2. The regulated Financial Institution is also required to complete Appendix 2b
3. Verification of ID and address (based on country group) for at least 2 directors
4. Names, addresses and dates of birth of the beneficial owners of 25%+ of the monies invested

## OCCUPATIONAL PENSION SCHEMES (WHERE CONTRIBUTIONS ARE MADE BY EMPLOYER/DEDUCTIONS FROM WAGES)

### OCCUPATIONAL PENSION SCHEMES DOMICILED IN COUNTRY GROUP A OR B

1. Proof of approval by an appropriate Pensions Board / Tax
2. A list of all authorised signatories, samples of all signatures, details of any signing protocol
3. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor
4. Copy of Constitutional/Formation Document (e.g. Trust Deed)

### OCCUPATIONAL PENSION SCHEMES DOMICILED IN ALL OTHER COUNTRIES

1. Points 1 – 3 above
2. List of trustees / administrators / directors of the scheme
3. Certified copy of Constitutional/Formation Document

## REGISTERED CHARITIES / FOUNDATIONS AND OTHER NON-PROFIT ORGANISATIONS

### REGISTERED CHARITIES / FOUNDATIONS AND OTHER NON-PROFIT ORGANISATIONS DOMICILED IN COUNTRY GROUP A

1. Copy of the relevant Revenue/Tax Authority approval or proof of registration status from the relevant Charities register or equivalent
2. Details on the nature/purpose of the Charity/Organisation
3. A list of all authorised signatories, samples of all signatures, details of any signing protocol
4. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor
5. If the Charity is not registered with the relevant Charities register we will require the following:
  - a. List of names of Trustees/ Directors/ Governors/ Board members or equivalent
  - b. Verification of ID and address (based on country group) for 2 Trustees/ Directors/ Governors/ Board Members or equivalent or 1 Trustee/ Directors/ Governor/ Board Member and 1 authorised signatory (if any)
6. Copy of constitutional/formation document
7. List of beneficial owners of 25%+ of the share capital

## REGISTERED CHARITIES / FOUNDATIONS AND OTHER NON-PROFIT ORGANISATIONS DOMICILED IN COUNTRY GROUP B

1. Certified copy of the relevant Revenue/Tax Authority approval or proof of registration status from the relevant Charities register or equivalent
2. Details of the nature/purpose of the Charity/Organisation
3. A certified copy of a list of all authorised signatories, samples of all signatures, details of any signing protocol
4. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor
5. If the Charity is not registered with the relevant Charities register we will require the following:
  - a. List of names of Trustees/ Directors/ Governors/ Board members or equivalent
  - b. Verification of ID and address (based on country group) for 2 Trustees/ Directors/ Governors/ Board Members or equivalent or 1 Trustee/ Directors/ Governor/ Board Member and 1 authorised signatory (if any)
6. Certified copy of constitutional/formation document
7. List of beneficial owners of 25%+ of the share capital

## REGISTERED CHARITIES / FOUNDATIONS AND OTHER NON-PROFIT ORGANISATIONS DOMICILED IN ALL OTHER COUNTRIES

1. Point 1 – 4 above
2. Certified copy of Constitutional/ Formation Document
3. List of names of Trustees/Directors/ Governors/ Board members or equivalent
4. Verification of ID and address (based on country group) for 2 Trustees/ Directors/ Governors/ Board Members or equivalent or 1 Trustee/ Directors/ Governor/ Board Member and 1 authorised signatory (if any)
5. Certified copy of most recent audited financial statements
6. List of beneficial owners of 25%+ of the share capital

## COLLECTIVE INVESTMENT SCHEMES

### COLLECTIVE INVESTMENT SCHEMES DOMICILED IN COUNTRY GROUP A OR B

1. Certified copy of Prospectus/ Operating Memorandum of CIS
2. Certified copy of a list of all authorised signatories, samples of all signatures, details of any signing protocol
3. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor
4. All details and confirmations as detailed in Appendix 2b

### COLLECTIVE INVESTMENT SCHEMES DOMICILED IN ALL OTHER COUNTRIES

1. Certified copy of Prospectus/ Operating Memorandum of CIS
2. Certified copy of a list of all authorised signatories, samples of all signatures, details of any signing protocol
3. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor
4. All details and confirmations as detailed in Appendix 2b
5. Names, dates of births and addresses of all beneficial owners of 25%+ of the CIS

## PRIVATE SCHOOLS / COLLEGES / UNIVERSITIES

### PRIVATE SCHOOLS / COLLEGES / UNIVERSITIES BASED IN COUNTRY GROUP A OR B

1. Copy of the registration status from the relevant register
2. List of Trustees/Directors/ administrators
3. A list of all authorised signatories, samples of all signatures, details of any signing protocol
4. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor
5. Names, dates of births and addresses of all beneficial owners holding 25%+ of the assets

6. Confirmation of the ownership structure of the entity
7. Verification of ID and address (based on country group) for 2 Officials or equivalent or 1 Official and 1 authorised signatory (if any)

#### PRIVATE SCHOOLS / COLLEGES / UNIVERSITIES BASED IN ALL OTHER COUNTRIES

1. Certified copy of the registration status from the relevant register
2. List of Trustees/Directors/ administrators
3. A certified list of all authorised signatories, samples of all signatures, details of any signing protocol
4. Details of the bank account from which the subscription money has been / will be remitted from, including a/c number and name, address (BIC / Swift and IBAN may be required). Note that the bank account must, in normal circumstances, be in the name of the registered investor
5. Names, dates of births and addresses of all beneficial owners holding 25%+ of the assets
6. Confirmation of the ownership structure of the entity
7. Verification of ID and address (based on country group) for 2 Officials or equivalent or 1 Official and 1 authorised signatory (if any)

### IMPORTANT NOTES

#### COUNTRY GROUP A

Australia, Belgium, Canada, Cyprus, Denmark, Estonia, Finland, France, Germany, Guernsey, Hong Kong, Hungary, Iceland, Ireland, Isle of Man, Japan, Jersey, Malta, Netherlands, New Zealand, Norway, Portugal, Singapore, Slovenia, Spain, Sweden, Switzerland, United Kingdom, United States of America.

#### COUNTRY GROUP B

Austria, Bulgaria, Czech Republic, Italy, Korea, South, Latvia, Liechtenstein, Lithuania, Luxembourg, Netherland Antilles (incl Curacao, St. Maarten, Bonaire, St. Eustatius, Saba), Poland, Saint Pierre and Miquelon, Slovakia, South Africa.

**Note: Additional documentation may be requested by the Administrator irrespective of the country in which the Applicant is domiciled. Where any change in circumstances occurs which causes any of the information provided in this form to be incorrect, please contact the Administrator immediately.**

#### VERIFICATION OF ID AND ADDRESS:

Verification of ID and address should be consistent with those requirements outlined in the Individuals/Joint Holders section of Appendix 1.

#### CERTIFICATION STANDARDS

The standard requires that a statement such as “I confirm that this is a true copy of the original document, which was seen by me”, is written on the document. The certifier should also include the detail of the capacity in which they are signing the document. Only the “true ink” copies are acceptable (scanned / faxed copies of certified copies will not be accepted). Self-Certification (i.e. a person certifying a copy his own passport) is NOT permitted.

The following are generally accepted to certify documents:

- a notary public / solicitor, an accountant, a police officer, embassy staff, a member of the judiciary, a bank official, a suitably senior employee of another regulated financial institution or any regulated entity permitted to provide certification services.

#### DOCUMENTS IN ANOTHER LANGUAGE

If the document is not in English relevant details may need to be translated and, if this is the case, the certification should also include a statement that the translation is a true translation.

#### ONGOING MONITORING

The Administrator is required to carry out ongoing monitoring to confirm that information previously provided remains valid and correct, hence, the Administrator reserves the right to request updated and in some cases further documentation if deemed necessary.

#### ID DOCUMENTATION FOR INDIVIDUALS

All ID documents provided on behalf of an individual e.g. passport, government issued ID card must include the applicants signature.



**APPENDIX 2A**  
**AML LETTER (NOMINEE COMPANY WITH REGULATED PARENT ENTITY)**

Link Fund Administrators (Ireland) Limited  
2nd Floor  
2 Grand Canal Square  
Grand Canal Harbour  
Dublin 2, Ireland

Date

Investor Name

Please tick box if this letter is to apply to all designations relating to the above mentioned Nominee Company

Regulated Parent Entity Name

Dear Sir or Madam,

We confirm that:

- (i) ..... [Nominee Company Name] is a wholly owned subsidiary of ..... [Regulated Parent Entity Name], an entity authorised and regulated in ..... [Country Name] and is regulated by ..... [Regulatory Body Name] under the ..... [Relevant Law Name].
- (ii) We comply with all Anti-Money Laundering (“AML”) and Counter Terrorist Financing (“CTF”) regulatory and legislative requirements in force in ..... [Country Name] and are supervised / monitored for such compliance by the relevant regulatory/ supervisory authority.
- (iii) ..... [Nominee Company Name] adheres to and complies with the AML policy of its parent entity.
- (iv) We acknowledge that for the purpose of meeting its own customer due diligence obligations the Company is placing reliance on ..... [Regulated Parent Entity Name] for the purposes of meeting the due diligence obligations which it is subject to under Irish law, and we agree to furnish you with the documentary evidence retained by us concerning our client(s) and where applicable beneficial owners, promptly upon request.

**SWISS ENTITIES ONLY**

We confirm that:

We will report all suspicious transactions to the ..... [Regulatory Body Name].

Yours sincerely,

..... [Authorised Signatory of Regulated Parent Entity]



**APPENDIX 2B**  
**AML LETTER (OTHER REGULATED ENTITIES)**

Link Fund Administrators (Ireland) Limited  
2nd Floor  
2 Grand Canal Square  
Grand Canal Harbour  
Dublin 2, Ireland

Date

Investor Name

Please tick box if this letter is to apply to all designations relating to the above mentioned Company

Regulated Entity Name

Dear Sir or Madam,

We confirm that:

- (i) We, ..... *[Regulated Entity Name]*  
are an entity authorised and regulated in ..... *[Country Name]* by  
the ..... *[Regulatory Body Name]* under the  
..... *[Relevant Law Name]*.
- (ii) We comply with all Anti-Money Laundering (“AML”) and Counter Terrorist Financing (“CTF”) regulatory and legislative requirements in force in ..... *[Country Name]* and are supervised / monitored for such compliance by the relevant regulatory/ supervisory authority.
- (iii) We conduct customer due diligence, in the form of the collection of appropriate documentary evidence and other relevant checks on all our clients and where applicable beneficial owners, in line with the requirements specified in the Third Money Laundering Directive or equivalent.
- (iv) We comply with all requirements regarding the retention of customer due diligence and that all documents must be retained for at least ..... years *[Insert number]* after the relationship between us and our client has ended.
- (v) We maintain processes for screening of all clients and where applicable beneficial owners against EU sanction lists and Politically Exposed Persons (“PEP”) lists. If a client / beneficial owner is identified as a Politically Exposed Persons enhanced due diligence will be carried out.
- (vi) We will inform you if an underlying client / beneficial owner (where applicable) invested in the Fund is identified as a PEP or a sanctioned entity.
- (vii) If we believe that a client, beneficial owner and / or a transaction would be deemed suspicious we report such suspicion to the appropriate competent authorities, as obliged by the requirements.
- (viii) We acknowledge that the Company is placing reliance on .....  
*[Regulated Entity Name]* for the purposes of meeting the due diligence obligations which it is subject to under Irish law, and we agree to furnish you with the documentary evidence retained by us concerning our client(s) and where applicable beneficial owners, promptly upon request.

Yours sincerely,

..... *[Authorised Signatory of Regulated Entity]*



## APPENDIX 3 CUSTOMER INFORMATION NOTICE – COMMON REPORTING STANDARD

The Company intends to take such steps as may be required to satisfy any obligations imposed by (i) the Standard for Automatic Exchange of Financial Account Information in Tax Matters (“the Standard”) and, specifically, the Common Reporting Standard (“CRS”) therein or (ii) any provisions imposed under Irish law arising from the Standard or any international law implementing the Standard (to include the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information or the EU Council Directive 2011/16/EU (as amended by Council Directive 2014/107/EU)) so as to ensure compliance or deemed compliance (as the case may be) with the Standard and the CRS therein from 1 January 2016.

The Company is obliged under Section 891F of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to that section to collect certain information about each Applicant’s tax arrangements.

Please note that in certain circumstances the Company may be legally obliged to share this information and other financial information with respect to an Applicant’s interests in the Company with the Irish Revenue Commissioners. In turn, and to the extent the account has been identified as a Reportable Account, the Irish Revenue Commissioners will exchange this information with the country of residence of the Reportable Person(s) in respect of that Reportable Account.

In particular, the following information will be reported by the Company to the Irish Revenue Commissioners in respect of each Reportable Account maintained by the Company;

- The name, address, jurisdiction of residence, tax identification number and date and place of birth, in the case of an individual, of each Reportable Person that is an Account Holder of the account and, in the case of any Entity that is an Account Holder and that, after application of the due diligence procedures consistent with CRS is identified as having one or more Controlling Persons that is a Reportable Person, the name, address, jurisdiction of residence and tax identification number of the Entity and the name, address, jurisdiction of residence, TIN and date and place of birth of each such Reportable Person.
- The account number (or functional equivalent in the absence of an account number);
- The account balance or value as of the end of the relevant calendar year or other appropriate reporting period or, if the account was closed during such year or period, the closure of the account;
- The total gross amount paid or credited to the Account Holder with respect to the account during the calendar year or other appropriate reporting period with respect to which the Reporting Financial Institution is the obligor or debtor, including the aggregate amount of any redemption payments made to the Account Holder during the calendar year or other appropriate reporting period.

Please note that in certain limited circumstances it may not be necessary to report the tax identification number and date of birth of a Reportable Person.

In addition to the above, the Irish Revenue Commissioners and Irish Data Protection Commissioner have confirmed that Irish Financial Institutions (such as the Company) may adopt the “wider approach” for CRS. This allows the Company to collect data relating to the country of residence and the tax identification number from all non-Irish resident Applicants.

The Company can send this data to the Irish Revenue Commissioners who will determine whether the country of origin is a Participating Jurisdiction for CRS purposes and, if so, exchange data with them. Revenue will delete any data for non-Participating Jurisdictions.

The Irish Revenue Commissioners and the Irish Data Protection Commissioner have confirmed that this wider approach can be undertaken for a set 2-3 year period pending the resolution of the final CRS list of Participating Jurisdictions.

Applicants can obtain more information on the Company’s tax reporting obligations on the website of the Irish Revenue Commissioners (which is available at <http://www.revenue.ie/en/business/aeoi/index.html>) or the following link in the case of CRS only:

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

All capitalised terms above, unless otherwise defined above, shall have the same meaning as they have in the Standard.



## APPENDIX 4 DATA PRIVACY STATEMENT

### STONEHAGE FLEMING POOLED INVESTMENTS (IRELAND) PLC

#### DATA PRIVACY STATEMENT

In accordance with the General Data Protection Regulation (697/2016/EU) (the “**GDPR**”) and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2003) as same may be amended from time to time (collectively, “**Data Protection Legislation**”) Stonehage Fleming Pooled Investments (Ireland) Plc (the “**Fund**”) being a data controller, must provide you with information on how the personal data that you provide as part of your subscription to shares in the Fund will be processed by the Fund, its service providers and delegates and their duly authorised agents and any of their respective related, associated or affiliated companies.

As a consequence of your investment, the Fund acting as a data controller may itself (or through third parties acting on behalf of the Fund including but not limited to Link Fund Administrators (Ireland) Limited (the “**Administrator**”), Link Fund Manager Solutions (Ireland) Limited (the “**Manager**”), the company secretary, the money laundering reporting officer, the payroll service provider, local paying agents and representatives and mailing firms appointed by any of the foregoing (together the “**Service Providers**”)) process your personal information or, to the extent that you are a non-natural person, that of your directors, officers, employees, intermediaries and/or beneficial owners. Save where otherwise expressly provided, any reference in this data privacy statement to “you” or “your” in the context of processing personal data of data subjects shall be understood to mean and related to the personal data of your directors, officers, employees, intermediaries and/or beneficial owners as that context may require.

In certain circumstances, Stonehage Fleming Investment Management Limited in its capacity as investment manager and distributor together with any sub-investment managers and sub-distributors that may be appointed from time to time (collectively the “**Investment Manager**”) may itself use your personal data for its own purposes and as a result be considered a data controller of such data. In such circumstances, all rights afforded to you as a data subject under the GDPR shall be solely exercisable against the Investment Manager.

Additionally, BNY Mellon Trust Company (Ireland) Limited (the “**Depository**”) may use your personal data where this is necessary for compliance with a legal obligation to which it is directly subject (i.e. to comply with applicable law in the area of anti-money laundering and counter terrorist financing or where mandated by a court order or regulatory sanction). The Depository, in respect of this specific use of personal data, acts as a data controller. In such circumstances, all rights afforded to you as a data subject under the GDPR shall be solely exercisable against the Depository.

In this regard, please note the following:

#### PURPOSES OF PROCESSING AND LEGAL BASIS FOR PROCESSING

The personal data collected from you or provided by you or on your behalf in connection with your application for shares in the Fund will be collected, stored, disclosed, used and otherwise processed by the Service Providers on behalf of the Fund for the purposes outlined in the table below.

PROCESSING ACTIVITY BY OR ON BEHALF OF THE FUND	LEGAL BASIS FOR PROCESSING
Client identification and the subscription process	Performance of the contract between the Fund and you
Where you are a natural person, managing and administering your holdings in the Fund and any related account on an ongoing basis	Performance of the contract between the Fund and you
Transfer agency	Performance of the contract between the Fund and you
Where you are a natural person, disclosures to the Fund, the Investment Manager and their delegates, agents, members and employees, as applicable, third parties such as auditors, regulatory authorities, tax authorities and technology providers in the context of the day to day operations of the Fund	Performance of the contract between the Fund and you
Where you, as an investor, are a non-natural person, disclosures to third parties such as auditors, regulatory bodies, tax authorities and technology providers in the context of the day to day operations of the Fund	Pursuing the legitimate interests of the Fund in managing and administering the holdings of the non-natural persons in the Fund and any related account on an ongoing basis





PROCESSING ACTIVITY BY OR ON BEHALF OF THE FUND	LEGAL BASIS FOR PROCESSING
<p>Complying with any applicable legal, tax or regulatory obligations imposed on the Fund including legal obligations under the applicable law, the UCITS Regulations, the Central Bank UCITS Regulations, under tax law and under anti-money laundering / counter terrorist financing legislation</p> <p>(i) Carrying out statistical analysis and market research; and</p> <p>(ii) Recording, maintaining, storing and using recordings of telephone calls and electronic communications that you make to and receive from the Fund, the Service Providers and their delegates or duly appointed agents and any of their respective related, associated or affiliated companies for any matters related to investment in the Fund, dispute resolution, record keeping, security and/or training purposes.</p>	<p>Compliance with a legal obligation to which the Fund is subject</p> <p>Pursuing the legitimate interests of the Fund including:</p> <ul style="list-style-type: none"> <li>a) for risk management and fraud prevention purposes, for the evaluation of your financial needs, monitoring your financial situation including for assessing creditworthiness and solvency, to manage litigation and for the Fund's accounting purposes, for effecting processing on behalf of the Fund, for the exercise or defence of legal claims or for the protection of rights of another natural or legal person</li> <li>b) for the purposes of the provision of investor-related services including account administration, handling of orders, management of subscription, redemption and transfer of shares, maintaining the register of investors and distributions, managing distributions including the allocations of profit and loss between investors, internal audit validations, communications and more generally performance of services requested by and operations in accordance with the instructions of the investor.</li> </ul> <p>Further information relating to the balancing test undertaken by the Fund in respect of such processing is available upon request.</p>

The Investment Manager as a data controller of your personal data may also collect, store, disclose, use or otherwise process your personal data for the purposes outlined in the table below.

PROCESSING ACTIVITY BY OR ON BEHALF OF THE FUND	LEGAL BASIS FOR PROCESSING
<p>Retaining your name, address, date of birth, private and/or corporate email address, private and/or corporate telephone number, specific and general financial information, sensitive documentation and other data which relates to your background, circumstances, investment experience, and information pertaining to your employment including obtaining information from public registers with governmental and/or quasi-governmental organisations (e.g. the Financial Conduct Authority), copies of identification documents such as a passport or driving licence, photographs, links to your professional profiles available in the public domain e.g. LinkedIn, Twitter, and/or a corporate website which such information is received in connection with your investment in the Company</p>	<p>Pursuing the legitimate business interests of the Investment Manager including:</p> <ul style="list-style-type: none"> <li>• To enable the Investment Manager to carry out its discretionary investment management and distribution activities;</li> <li>• To enable the Investment Manager to comply with its regulatory and legal record-keeping obligations;</li> <li>• To provide you with periodic updates as to the performance of the Company;</li> <li>• To carry out the obligations arising from any contractual obligations amongst the Investment Manager, you and the Company;</li> <li>• To provide you with the information, products and services that you request from the Investment Manager or that the Investment Manager thinks will be of interest to you because it is relevant to you, your organisation and/or the shares that you hold in the Company;</li> <li>• To provide you with information about other products and services that the Investment Manager offers that are similar to those that you have already been provided with or have enquired about.</li> </ul> <p>Further information relating to the balancing test undertaken by the Investment Manager in respect of such processing is available upon request.</p>



Please note that where personal data is processed for the purposes of legitimate interests, you have a right to object to such processing and the Fund and its appointed Service Providers will no longer process the personal data unless it can be demonstrated that there are compelling legitimate grounds for the processing which override your interests, rights and freedoms or for the establishment, exercise or defence of legal claims.

## **PROFILING AND SCREENING**

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

## **UNDERTAKING IN CONNECTION WITH OTHER PARTIES**

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

## **DISCLOSURES TO SERVICE PROVIDERS AND/OR THIRD PARTIES**

Personal data relating to you which is collected from you or provided by you or on your behalf may be handled by Service Providers appointed by the Fund and its or their duly appointed agents and any of related, associated or affiliated companies within the Stonehage Fleming, Link and BNY Mellon groups for the purposes specified above.

These Service Providers will be obliged to adhere to the data protection laws of the countries in which they operate.

The Fund, the Depositary and the Investment Manager may disclose your personal data to other third parties where required by law or for legitimate business interests. This may include disclosure to third parties such as auditors and the Central Bank of Ireland, regulatory bodies, taxation authorities and technology providers.

## **TRANSFERS ABROAD**

Personal data collected from you or provided by you or on your behalf may be transferred outside of Ireland including to companies situated in countries outside of the European Economic Area (“EEA”) which may not have the same data protection laws as in Ireland. While it is not currently envisaged that such transfer of personal data outside the EEA should take place, it may occur in the future. Should this occur in the future, further information along with the relevant countries outside of the EEA will be available upon request from the Manager.

Where data transfers outside of the EEA take place, the Fund and/or the relevant Service Providers will take the necessary steps to ensure that appropriate safeguards will be put in place to protect the privacy and integrity of such personal data, in particular the implementation of binding corporate rules between companies within the Stonehage Fleming, Link and BNY Mellon groups and/or ensuring the implementation of model contracts by the Service Providers and their affiliates. Please contact the Fund (via the Administrator) should you wish to obtain information concerning such safeguards.

## **DATA RETENTION PERIOD**

The Fund and its appointed Service Providers will retain all information and documentation provided by you in relation to your investment in the Fund for such period of time as may be required by Irish legal and regulatory requirements, being at least seven years, subject to applicable law, after the period of your investment has ended or the date on which you had your last transaction with us.



The Investment Manager and the Depositary will retain all information and documentation provided by you for compliance with any processing carried out on its own behalf as outlined above for a period of six years or to the extent required by and for such period as required by EU law, the laws of an EU member state or the law applicable to the relevant Service Provider.

## YOUR DATA PROTECTION RIGHTS

Please note that you have the following rights under the GDPR. In each case, the exercise of these rights is subject to the provisions of the GDPR:

- (i) You have a right of access to and the right to amend and rectify your personal data.
- (ii) You have the right to have any incomplete personal data completed.
- (iii) You have a right to lodge a complaint with a supervisory authority, in particular in the Member State of your habitual residence, place of work or place of the alleged infringement if you consider that the processing of personal data relating to you carried out by the Fund infringes the GDPR.
- (iv) You have a right to be forgotten (right of erasure of personal data).
- (v) You have a right to restrict processing.
- (vi) You have a right to data portability.
- (vii) You also have the right to object to processing where personal data is being processed for direct marketing purposes and also where the Fund is processing personal data for legitimate interests.

Where you wish to exercise any of your data protection rights against the Fund or the Investment Manager or the Depositary, please contact us via the details provided below under “Contact Us”.

The Fund or its Service Provider will respond to your request to exercise any of your rights under the GDPR in writing, as soon as practicable and in any event within one month of receipt of your request, subject to the provisions of the GDPR. The Fund or its Service Provider may request proof of identification to verify your request.

## FAILURE TO PROVIDE PERSONAL DATA

As outlined in the section titled “**Purposes of Processing and Legal Basis for Processing**”, the provision of personal data by you is required for us to manage and administer your holdings in the Fund and so that we can comply with the legal, regulatory and tax requirements referenced above. Where you fail to provide such personal data in order to comply with anti-money laundering/counter terrorist financing or other legal requirements, in certain circumstances, we may be prohibited from making redemption or any applicable dividend payments to you and/or may be required to discontinue our business relationship with you by compulsorily redeeming your shareholding in the Fund.

## CONTACT US

If you have any questions about the Fund’s use of your personal information, please contact the Fund as data controller at Stonehage Fleming Pooled Investments (Ireland) Plc (via the Administrator, as data processor) using the following contact details and your query will be relayed to the appropriate responsible party:

**Email:** [ComplianceDeptDublin@linkgroup.ie](mailto:ComplianceDeptDublin@linkgroup.ie)

**Phone:** 01 4005300

If you have any questions about the Investment Manager’s use of your personal information, please contact the Investment Manager using the following contact details:

**Email:** [sean.osullivan@stonehagefleming.com](mailto:sean.osullivan@stonehagefleming.com)

**Phone:** +44 20 7036 5783.

