

# GenFunds Global plc

## US Application form

### **GENFUNDS GLOBAL PLC (THE “COMPANY”) GA-COURTENAY SPECIAL SITUATIONS FUND (THE “FUND”)**

**Please complete in CAPITAL LETTERS**

#### **1. APPLICATIONS**

Your application to invest in a fund in the Company should be made by sending this Application Form (the “Application Form”) via fax or email with the printed original to follow via post to:-

**Dealing email:** [InvestorDealing@usbank.com](mailto:InvestorDealing@usbank.com)  
**Dealing fax:** + 353 1 523 8390  
**Postal address:** GenFunds Global plc  
c/o U.S. Bank Global Fund Services (Ireland) Limited  
24-26 City Quay  
Dublin 2  
Ireland  
Attention: Shareholder Services

For investor queries please contact: Tel: + 353 1 523 8290  
Email: [GreenAshInvestors@usbank.com](mailto:GreenAshInvestors@usbank.com)

**Applicants (the “Applicants”) must read the Company’s Prospectus, relevant fund Supplement, US Supplement and the relevant Key Information Document 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.**

All applications must be made in writing using the printed Application Form. Please write name(s) using block capitals and fill in the address as indicated. Where there are joint applicants, all correspondence will be sent to the first named Applicant at that address. A completed Application Form must be received by the Administrator no later than 2pm (Irish time) on the Business Day immediately preceding the relevant Dealing Day.

U.S. Bank Global Fund Services (Ireland) Limited (the “Administrator”), acting on the Company’s behalf, must be sent a completed Application Form for each Share issue 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 above address within ten business days.

#### **2. COMPLETING THE FORM**

The main Application Form must be completed in full. Please ensure that both the section headed “**APPLICANT SIGNATURE**” and the section headed “**DECLARATION OF RESIDENCE OUTSIDE OF IRELAND**” and, if applicable, the section headed “**RETURN OF VALUES (INVESTMENT UNDERTAKINGS) REGULATIONS 2013**” have been properly completed and signed before returning this Form to the Administrator.

For all regulated Intermediaries investing on behalf of another person or entity, please ensure that page **26** is fully completed.

Please ensure that the relevant self-certification form as per **Appendix 2** is properly completed, signed and returned to the Administrator.

#### **3. QUERIES**

All queries regarding the completion of the Application Form should be addressed to the Company c/o the Administrator and specifying the fund to which the query relates.

The Administrator can be contacted by phone at +353 1523 8290 or via email at [GreenAshInvestors@usbank.com](mailto:GreenAshInvestors@usbank.com)

#### 4. PAYMENT

##### Payment by SWIFT or Telegraphic Transfer

Applicants may make payment by SWIFT (details of which should be available from your bank). 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 bank listed below no later than 5pm (Irish time) on the fifth Business Day following the relevant Dealing Day.

Payment, net of charges, should be sent to:-

GA-Courtenay Special Situations Fund				
Currency:	EUR	GBP	USD	CHF
Bank:	Citibank Dublin	Citibank Dublin	Citibank Dublin	Citibank Dublin
SWIFT:	CITIE2X	CITIE2X	CITIE2X	CITIE2X
Account name:	USBGFS COLLAC GA-COURTENAY SPEC SITUATIONS	USBGFS COLLAC GA-COURTENAY SPEC SITUATIONS	USBGFS COLLAC GA-COURTENAY SPEC SITUATIONS	USBGFS COLLAC GA-COURTENAY SPEC SITUATIONS
Account number:	31882869	31881846	31881854	33006039
IBAN:	IE40CITI99005131882869	IE16CITI99005131881846	IE91CITI99005131881854	IE45CITI99005133006039
Intermediary Bank:	N/A	N/A	Citibank, NY	N/A
Intermediary SWIFT:	N/A	N/A	CITIUS33	N/A
Ref:	Investor name	Investor name	Investor name	Investor name

## 5. GENERAL INFORMATION

If subscription monies have not been received by the Administrator, for further credit to the Company, within the time period specified above, the directors of the Company may cancel any share allotment made and charge the Applicant for any loss, cost, expense or fees suffered by the Company as a result of such cancellation.

The Company, the Management Company and the Administrator each reserves the right to reject any application in whole or in part, in which event the application money or any balance will be returned 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 as is applicable, calculated to four decimal points, and will not return any remainder to the Applicant.

## 6. 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.

## 7. REDEMPTIONS

Redemption requests may be submitted by fax to the Company at +353 1 523 8390.

## REGISTRATION DETAILS

(please PRINT in CAPITAL LETTERS)

	First Applicant	Joint Applicant (1)	Joint Applicant (2)
Title			
Surname			
First name			
Middle name			
Date of birth			
Registered address			
Correspondence address (if different)			
Phone			
Fax			
Email			
Social Security Number			

## COMPANY / ENTITY

Name of Company / Entity	
Company registration No.	
Are you regulated?	Yes                      No
Regulator name and website	
Registered business address	
Registered address	
Correspondence address (if different)	
Phone	
Fax	
Email	
Type of Entity	Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust <input type="checkbox"/> Other <input type="checkbox"/> (specify*) <small>*If individual Retirement Account ("IRA") of a Shareholder (Beneficial Owner), Trustee or Depository of IRA must countersign on the Applicant Signature Page below.</small>
Jurisdiction of Organisation	
Beneficial Owner	
Taxpayer Identification Number	

## INVESTOR BANK ACCOUNT DETAILS

Name of Bank	
Swift / Sort code	
Bank address	
IBAN	
Account number	
Account Name	
Corresponding bank	
Swift address	

If the investment is in a GBP class, please ensure the bank details provided are CHAPS details.

Subscription monies must come from the account detailed above and all monies will only be paid to the account above. No third party payments will be made.

## INTRODUCING AGENT

Name	
Company Registration No.	
Are you regulated?	Yes No
Regulator name and website	
Registered business address	
Correspondence address (if different)	
Phone	
Fax	
Email	

## GA-COURTENAY SPECIAL SITUATIONS FUND - INVESTMENT DETAILS

Share Class	Amount (Figures)	Amount (in words) of Subscription monies
USD I	\$	The initial minimum investment is GBP 1,000,000 <sup>1</sup>
USD R	\$	The initial minimum investment is GBP 5,000 <sup>1</sup>
EUR I 100% hedged	€	The initial minimum investment is GBP 1,000,000 <sup>1</sup>
EUR R 100% hedged	€	The initial minimum investment is GBP 5,000 <sup>1</sup>
GBP I 100% hedged	£	The initial minimum investment is GBP 1,000,000
GBP R 100% hedged	£	The initial minimum investment is GBP 5000
GBP M (Not publicly available) 100% hedged	£	The initial minimum investment is GBP 1,000
CHF I 100% hedged	CHF	The initial minimum investment is GBP 1,000,000 <sup>1</sup>
CHF R 100% hedged	CHF	The initial minimum investment is GBP 5,000 <sup>1</sup>

<sup>1</sup> Equivalent in Euro, US Dollars or Swiss Francs, as appropriate

## **HEDGED/UNHEDGED SHARE CLASSES**

### **If the share classes are hedged:**

I/we acknowledge that where the Share Classes are shown as 'hedged', they will be hedged against exchange rate fluctuation risks which arise between the denominated currency of the Share Class and the Base Currency of the Fund. I/we further understand that the successful execution of this hedging strategy cannot be assured. I/we also understand that other Share Classes within the Fund may engage in currency hedging transactions in order to hedge currency exposure in respect of that Share Class. Although the Company has taken steps to ensure that the risk of contagion between Share Classes is mitigated by ensuring that the additional risk introduced to the Fund through the use of a derivative overlay is borne by the Shareholders in that Class, this risk cannot be fully eliminated.

### **If the share classes are not hedged:**

I/we hereby acknowledge that where the Share Classes are shown as not hedged, the Share Classes will not be hedged against any exchange rate fluctuation risks/currency exposure arising as a result of the Share Class being denominated in a currency other than the Base Currency of the Fund. I/we also understand that a currency conversion will take place on subscriptions, redemptions, conversions and distributions at prevailing exchange rates and that the value of the Shares acquired by me shall be subject to exchange rate risk in relation to the Base Currency and in relation to the designated currencies of the underlying assets of the Fund. I/we further understand that other Classes of the Fund may engage in currency hedging transactions and that although the Company has taken steps to ensure that the risk of contagion between Classes is mitigated by ensuring that any additional risk introduced to the Fund as a result of the use of a derivative overlay is borne by the relevant Class only, this risk cannot be fully eliminated.

## **DIVIDEND REINVESTMENT**

(Please tick as appropriate)

- Please reinvest all dividends into shares of the same class in the Fund**
- Please pay all dividends to the bank details on page 6 by electronic transfer**

(subject to the minimum payment amounts as set out in the Prospectus)  
(If left incomplete all dividends will be reinvested)

## DISCLOSURE STATEMENT

To: GenFunds Global Plc; U.S. Bank Global Fund Services (Ireland) Limited;

1. I / We acknowledge that shares in the Company are issued in registered form. Proof of title is evidenced by reference to the Register.
2. I / We agree to substantiate the foregoing representation upon request to the satisfaction of the Company.
3. I/We, hereby acknowledge that I/we have been offered the choice of receiving the Prospectus and the relevant key information document relating to the relevant Fund (comprising either (i) a key information document prepared in accordance with Regulation 1286/2104 (“**PRIIPs Regulation**”) or a key investor information document prepared in accordance with the European Communities (Undertakings for Collective Investment in Transferable Securities) Regulations 2011, as amended) (“**UCITS Regulations**”) as applicable (each a “**Key Information Document**”) on paper or in electronic form by means of a website and hereby specifically consent to receiving the Key Information Document in electronic form by way of accessing the latest version of the document online at GreenAshInvestors@usbank.com (or such other website address as may be notified to me/us from time to time)
4. I/We hereby represent that I/we have regular access to the internet. The Key Information Document will be available on GreenAshInvestors@usbank.com and I/we hereby confirm that I/we have also been notified electronically of this website address and the place on the website where the Key Information Document can be accessed.
5. I/We hereby acknowledge that I/we have received or accessed by electronic means the Key Information Document. I/We hereby also confirm that I/we will access the relevant Key Information Document by electronic means before making any subsequent and/or future subscriptions for Shares in any Share Class and/or Fund.
6. Where I/we are investing as agent or nominee, I/we shall provide my/our client(s) with the Key Information Document issued in respect of the relevant Share Class and I/we shall ensure that I/we do so in compliance with the requirements set down in the PRIIPs Regulation or the UCITS Regulations as applicable, as both may be amended, updated or supplemented from time to time and any other applicable laws in any jurisdiction in carrying out this activity. I/We shall maintain records of my/our provision of the Key Information Document to my/our clients and shall furnish such records to the Company, or its delegates, upon request.
7. I/We warrant that I/we have the right and authority to make the investment pursuant to 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. I/we hereby agree to indemnify the Company, the Fund, the Management Company, the Depositary, the Administrator and other Shareholders for any loss suffered by them as a result of this warranty/representation not being true in every respect.
8. I/We hereby confirm that the Company, the Fund, the Directors 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 or electronic dealing facilities where applicable. 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 Fund, the Directors 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 on my/our facsimile instructions or electronic dealing instruction. The Company, the Fund, the Directors 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.
9. 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.
10. I am/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.
11. I/we hereby acknowledge that I/we have read and fully considered and understood the Prospectus, the relevant Supplement, the relevant Key Information Document 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 Key Information Document 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 Key Information Document.

I/We hereby undertake to observe and be bound by the provisions of the Prospectus 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.

12. I/We acknowledge that the Company, the Management Company, the Administrator acting on behalf of the Company and any delegate may require certain 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, address and source of funds before processing applications and redemption requests, and the Company, the Management Company and/or the Administrator and its delegate shall be held harmless and indemnified against any loss ensuing 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 requested. Subscription applications will not be accepted (and any subscription monies received will be returned less interest/charges) if the identification of the investor and/or its beneficial owners<sup>2</sup> (as applicable) has not been completed and/or if all relevant AML Documentation and other documentation has not been received.
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. I/We acknowledge and am/are aware that the Company and each Fund intends to be exempt from registration as an investment company pursuant to an exception from the definition of investment company provided in Section 3(c)(7) of the U.S. Investment Company Act of 1940, as amended (the "1940 Act").
16. I/We have such knowledge, expertise and experience in financial, business and investment matters that I/we am/are capable of evaluating the merits and risks of an investment in the Company. The Company has given me/us the opportunity to ask questions of representatives of the Company concerning the terms and conditions of the offering of the Shares, and to obtain any additional information relating to the Shares to the extent that the Company possesses such information or can acquire it without unreasonable effort or expense.
17. I/We have relied solely upon the advice of my/our own counsel, accountants and other advisers, with regard to the legal, investment, tax and other considerations regarding this investment. I/we have relied solely on written information provided by the Company and I am/we are not relying on any oral statements in making my/our decision.
18. I/We have evaluated the risks of investing in Shares, as described in the "Risk Factors" section of the Prospectus.
19. I/We acknowledge that the Shares are subject to restrictions on transfer, that there is no public market for the Shares, and that no public market for the Shares is expected to develop. I/We further acknowledge that redemptions of Shares may be restricted under certain circumstances. I/We am/are able to bear the economic risks of the investment in Shares and have adequate means of providing for current needs and possible 1 A "beneficial owner" for a corporate entity is an individual who directly or indirectly hold ownership of 25% or more of the shares or voting rights in an entity, or control of the entity. In cases where shareholder(s) are entities with 25% or more ownership or control, please provide the details of Individual(s) who hold beneficial ownership 25% or more. For Trusts or similar arrangements, beneficial owners include the beneficiaries, the settlor, the trustee(s) and the protector (if any). The beneficiaries are the individuals benefiting from the trust or similar legal arrangement. contingencies. I/We could afford a complete loss of this investment.
20. I/We shall not offer, sell, transfer or deliver the Shares directly or indirectly without the prior written consent of the Company, prior to which I/we will deliver (i) an opinion from counsel, satisfactory in form and substance to the Company, to the effect that such offer, sale, transfer or delivery is exempt from the registration requirements of the U.S. Securities Act of 1933, as amended (the "1933 Act") and any applicable state securities laws, (ii) evidence satisfactory in form and substance to the Company that the transferee is an "accredited investor" and "qualified purchaser" and that the transferee is not purchasing the transferred Shares on or through an "established securities

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<sup>2</sup> A "beneficial owner" for a corporate entity is an individual who directly or indirectly hold ownership of 25% or more of the shares or voting rights in an entity, or control of the entity. In cases where shareholder(s) are entities with 25% or more ownership or control, please provide the details of Individual(s) who hold beneficial ownership 25% or more. For Trusts or similar arrangements, beneficial owners include the beneficiaries, the settlor, the trustee(s) and the protector (if any). The beneficiaries are the individuals benefiting from the trust or similar legal arrangement.



market” (as such term is used in Section 7704(b) of the Code and the Treasury regulations thereunder), including (a) any national securities exchange registered under Section 6 of the U.S. Securities Exchange Act of 1934, as amended (the “1934 Act”), or exempted from registration because of the limited volume of transactions, (b) any non-U.S. securities exchange that, under the laws of the jurisdiction where it is organised, satisfies regulatory requirements that are analogous to the regulatory requirements imposed under the 1934 Act, (c) any regional or local exchange, and (d) any interdealer quotation system that regularly disseminates firm buy or sell quotations by identified brokers or dealers, by electronic means or otherwise; (iii) evidence satisfactory in form and substance to the Company that the transferee is not purchasing the transferred Shares on or through a “secondary market or the substantial equivalent thereof” (as such term is used in Section 7704(b) of the Code and the Treasury regulations thereunder); and (iv) an undertaking by the transferee to comply with these restrictions in respect of any further transfers of the Shares.

21. I/We am/are purchasing Shares for investment for my/our own account (or, if I/we am/are a nominee, for the account of the beneficial owner, I/we have so indicated on the Signature Page of this Application Form) and not with any present view towards resale or other distribution of any Shares. I/we have not been organised for the purpose of investing in Shares.
22. I/We, if not a natural person, am/are duly organised, validly existing, and in good standing under the laws of the jurisdiction in which I/we am/are organised and have the power and authority to enter into, and perform my/our obligations under, this Application Form.
23. I/We certify under penalty of perjury (i) that the taxpayer identification number provided on the applicant information pages above is my/our correct taxpayer identification number; and (ii) that I/we am/are not subject to backup withholding, either because I/we have not been notified that I/we am/are subject to backup withholding as a result of a failure to report all interest or dividends, or the U.S. Internal Revenue Service has notified me/us that I/we am/are no longer subject to backup withholding under Section 3406(a)(1)(c) of the Code.
24. I/We acknowledge that this Application Form and the Prospectus are confidential and intended solely for use by me/us for the purpose of enabling me/us to evaluate an investment in the Shares. I/we agree not to duplicate or to furnish particulars of this Application Form or the Prospectus or to divulge any of their contents, to any person other than my/our investment, legal or tax advisors (who may use the information contained in this Application Form and the Prospectus solely for purposes relating to my/our investment in the Company).
25. I/We shall provide the Company or its delegate 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. 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.
26. I/We further warrant and declare that the amounts used to purchase Shares were not and are not directly derived from activities that may contravene applicable laws and regulations, including anti-money laundering and counter terrorist financing legislation. I/We declare that neither it, nor any of its beneficial owners is a politically exposed person (“PEP”)<sup>3</sup>, an immediate family member of a PEP or close associate of such a PEP. I/We further

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<sup>3</sup> A politically exposed person is defined as an individual who is, or has been in the preceding 12 months, a person with a prominent public function, including either of the following individuals (but not including any middle ranking or more junior official);

- (a) a specified official;
- (b) a member of the administrative, management or supervisory body of a state-owned enterprise;
- (c) any individual performing a prescribed function.

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

- (a) a head of state, head of government, government minister or deputy or assistant government minister;
- (b) a member of a parliament;
- (c) a member of a supreme court, constitutional court or other high level judicial body whose decisions, other than in exceptional circumstances, are not subject to further appeal;
- (d) a member of a court of auditors or of the board of a central bank;
- (e) an ambassador, charge d’affaires or high ranking officer in the armed forces;
- (f) a director, deputy director or member of the board of, or person performing the equivalent function in relation to, an international organisation.

\*An “immediate family member” includes any of the following persons:

- (a) any spouse of the politically exposed person;
- (b) any person who is considered to be equivalent to a spouse of the politically exposed person under the national or other law of the place where the person or politically exposed person resides;
- (c) any child of the politically exposed person;
- (d) any spouse of a child of the politically exposed person;

agree to (1) notify the Company and/or the Administrator as soon as practicable if it or any of its beneficial owners is identified as a PEP or an immediate family member, or a close associate of a PEP; and (2) provide the Company and/or the Administrator with any additional documentation that it or they may require from time to time in accordance with current anti-money laundering and counter terrorist financing legislation where it or any of its beneficial owners is identified as a PEP or an immediate family member, or a close associate of a PEP during the course of the business relationship, is established or residing in a high-risk jurisdiction or is otherwise classified as high-risk. Furthermore, I/we hereby acknowledge that the Company or the Administrator will apply enhanced due diligence if it or any of its beneficial owners is deemed to be politically exposed, is established or residing in a high-risk jurisdiction or is otherwise classified as high-risk.

27. I/We hereby undertake to provide information to the Company or the Administrator as may be required for the establishment and maintenance of the Company's beneficial ownership register in accordance with the European Union (Anti-Money Laundering: Beneficial Ownership Of Corporate Entities) Regulations 2019 (S.I. No. 110 of 2019) as may be amended from time to time (the "**Beneficial Ownership Regulations**"). I/We hereby consent to the publication of such information in accordance with the requirements of the Beneficial Ownership Regulations. The applicant will comply with such beneficial ownership notices issued by the Company and/or the Administrator, and/or the Management Company seeking beneficial ownership information concerning the investor as required in accordance with current anti-money laundering and counter terrorist financing legislation. I/We understand that it is an offence where it fails to comply with such beneficial ownership notices or where it makes a false statement in respect of same. The applicant understands that where it is a beneficial owner of the Company, it must notify the Company where the Company's beneficial ownership register does not contain its details and where it has not received a beneficial ownership notice from the Company and/or the Administrator.
28. I/We represent and warrant that all personal data provided by me/us (or on my/our behalf) to the Company, Management Company, Investment Manager or Administrator will be provided in accordance with applicable laws and regulations.

I/We will ensure that all personal data provided to the Company, Management Company, Investment Manager or Administrator is accurate and up-to-date and I/we will notify the Administrator if I/we become aware that any personal data is no longer accurate or up-to-date.

The Company's privacy notice is available at Appendix 3 hereto ("Privacy Notice"). I/We acknowledge receipt of the Privacy Notice and acknowledge my/our personal data being used and processed in accordance with its terms. I agree to provide the Privacy Notice (and updates) to anyone whose personal data I/we have provided to the Company, Management Company, Investment Manager or Administrator in connection with my/our investment in the Company (such as a director, partner, trustee, employee, agent or direct or indirect owner) and anyone else connected to me/us as requested by the Company, Management Company, Investment Manager or Administrator.

By signing this Application Form, I/we consent to the recording of telephone calls made to and received from me/us by the Company, its service providers and delegates and duly appointed agents (including the Administrator) and any of their respective related, associated or affiliated companies for record keeping, security and/or training purposes.

29. I/We further represent that the proposed investment in the Shares by me/us or our beneficial owners, as the case may be, will not directly or indirectly contravene Irish or other applicable laws, rules or regulations, including anti-money laundering laws, rules and regulations (a "**Prohibited Investment**") and no subscription or capital contribution to the Fund by me/us or, if applicable, any beneficial owner will be derived from any illegal or illegitimate activities.
30. I/We understand and agree that the Company prohibits the investment of funds by any persons or entities, directly or indirectly, that is (i) the subject of any sanctions programs administered by the United States (including, without limitation, the Department of the Treasury's Office of Foreign Assets Control and the U.S. Department of State), the European Union and any of its member states, the United Nations Security Council, and any other relevant sanctions authority ("**Sanctions Authority**"), including initial and ongoing screening against sanctions-related lists administered by EU, US OFAC and the UN ("**Sanctions Lists**") or (ii) is otherwise the subject of economic, trade, or financial sanctions, requirements, or embargoes imposed, administered, or enforced from time to time by the EU, US OFAC and the UN; or is (iii) a foreign shell bank (such persons or entities in (i)-(iii) collectively referred to as "**Prohibited Persons**").
31. I/We represent, warrant and covenant that: (i) it is not nor is any person who controls it or is controlled under common control with it, nor any beneficial owner, is a Prohibited Person, and (ii) to the extent it has any

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(e) any person considered to be equivalent to a spouse of a child of the politically exposed person under the national or other law of the place where the person or child resides;

(f) any parent of the politically exposed person;

(g) any other family member of the politically exposed person who is of a prescribed class.

\*A "close associate" of a PEP includes any individual who has a joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations with the PEP or any individual who has a sole beneficial ownership of a legal arrangement set up for the actual benefit of the PEP.

controllers/ beneficial owners (A) it has carried out thorough due diligence to establish the identities of such beneficial owners (to the extent required by applicable law), (B) based on such due diligence, it reasonably believes that no such controllers or beneficial owners are Prohibited Persons, (C) it holds the evidence of such identities and status and will maintain all such evidence for at least five years from the date of its complete redemption from the Company, and (D) it will make available such information and any additional information that the Company may require upon request in accordance with applicable regulations. The Subscriber acknowledges that, if the Subscriber, or any controller or beneficial owner is or becomes named on, or blocked by, any "Sanctions List" or "watch list" (referred to in any of the representations and warranties above), or if the Administrator and/or the Company and/or the Management Company are otherwise required by law, the Administrator and/or the Company and/or the Management Company may freeze its investment, by prohibiting additional investments, declining redemption / distribution requests and/or segregating assets constituting the investment in accordance with applicable law and/or regulations, or the applicant may be required to redeem from the Fund. In such event, I/we shall indemnify the Administrator and/or the Company and/or the Management Company, and hold each of them harmless, against any resulting loss.

32. The Company may also be required to report such action and to disclose the applicant's or the beneficial owner's identity or provide other information with respect to the Subscriber to the Irish police authorities and/or the Irish tax authorities, OFAC, the Central Bank of Ireland or other governmental entities.
33. I/We acknowledge that the Company and/or the Administrator, and/or the Management Company may compulsorily redeem any Shares owned directly or beneficially by any person or persons where any declarations or information is outstanding (including inter alia, any declarations or information required pursuant to anti-money laundering or counter terrorist financing requirements or reporting requirements imposed by any reporting regime (including but not limited to FATCA and/or the CRS).
34. The Subscriber acknowledges that redemptions/distributions will not be processed on non-cleared/verified accounts.
35. I/We agree to indemnify and hold harmless the Company, the Fund, the Management Company, the Investment Manager, the Administrator, the Depository 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 Administrator or the Depository. 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, Management Company or Administrator, may take such action (including declining to accept an application) as they think fit.
36. I/We have made arrangements for payment to be made to the relevant bank account(s) specified above for subscriptions.
37. I/We acknowledge that any failure to provide complete identification and verification documentation at the account-opening stage and upon request at any other stage will result in my/our account being blocked for redemptions and distribution payments pending receipt of such outstanding documentation and I/we may therefore be classified as a 'non-compliant investor'. Where documentation in the required format remains outstanding from the date of my/our initial subscription, all transactions (including additional subscriptions) may be blocked pending receipt of any outstanding documentation. I/we acknowledge that the Investment Manager and/or Board of Directors have the right to discontinue the business relationship with me/us upon my/our being classified as a non-compliant investor.
38. I/We hereby hold the Company, the Administrator and the Management Company harmless and indemnify them against any loss arising as a result of a failure to process any transaction/ make any redemption or distribution payment, if I/we have failed to provide complete identification and verification documentation at the account-opening stage and upon request at any other stage.
39. I/We hereby acknowledge and agree that subscription monies received by the Administrator prior to investment in a Fund will be held in a collection account operated by the Administrator in accordance with the Central Bank (Supervision and Enforcement) Act 2013 (Section 48(1)) Investor Money Regulations 2015 for Fund Service Providers (the "Investor Money Regulations") which requires inter alia that such monies are held on a segregated basis. I/We further acknowledge and agree that monies held in the collection account will be held on trust for and at the risk of the investors on whose behalf such monies are being held. I/we acknowledge and agree that monies held in the collection account are not an asset of the relevant Fund until such time as the monies are transferred to the account of the relevant Fund, that I/we may be exposed to the creditworthiness of the relevant credit institution where the collection account is held (the "Relevant Institution"). I/we accordingly acknowledge and agree that neither the Company nor the Fund shall have any liability or responsibility from any losses arising in the event of the insolvency or other failure of the Relevant Institution.
40. I/We acknowledge that each of the Company, the Management Company and the Administrator reserves the right to reject any application in whole or part without assigning any reason therefore.

41. 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.
42. 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.
43. 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.
44. 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.
45. I/We hereby acknowledge that any notice, information or document may be served by the Company and/or the Management 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, the Management Company or their 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, the Management Company or their 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 and/or the Management 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.
46. 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.
47. If any of the foregoing representation, warranties or covenants ceases to be true or if the Company, the Management Company 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, the Management Company 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 and the Company, the Management Company 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, the Management Company 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 Management Company, 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.
48. I/We agree to provide these confirmations to the Company and/or the Management Company, at such times as the Company and/or the Management Company may request, and to provide on request such certifications, documents or other evidence as the Company and/or the Management Company may reasonably require to substantiate such representations to the satisfaction of the Company and/or the Management Company.
49. 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 a sufficient number of Shares to allow the confirmation to be made.
50. I/We acknowledge that the Company intends to take such steps as may be required to satisfy any obligations imposed by (i) the Foreign Account Tax Compliance Act ("FATCA") or (ii) any provisions imposed under Irish law arising from the inter-governmental agreement between the Government of the United States of America and the Government of Ireland ("IGA") so as to ensure compliance or deemed compliance (as the case may be) with FATCA or the IGA.
51. Furthermore, I/We hereby acknowledge that the Company intends to take such steps as may be required to satisfy any obligations imposed by (i) the OECD's Standard for Automatic Exchange of Financial Account Information in Tax Matters ("the Standard"), which therein contains the Common Reporting Standard, as applied in Ireland by means of the relevant international legal framework and Irish tax legislation and (ii) EU Council Directive 2014/107/EU, amending Directive 2011/16/EU as regards mandatory automatic exchange information in the field of taxation ("DAC2"), as applied in Ireland by means of the relevant Irish tax legislation, so as to ensure compliance

or deemed compliance (as the case may be) with the Standard/CRS and the DAC2 (hereafter collectively referred to as "CRS").

52. In order for the Company to comply with the above FATCA and CRS obligations, I/We agree to provide to the Company, the Administrator, the Investment Manager and Management Company the necessary declarations, confirmations and/or classifications at such times as each of them may request and furthermore provide any supporting certificates or documents as each of them may reasonably require in connection with this investment by reason of FATCA or CRS, as described above, or otherwise. Should any information furnished to any of them become inaccurate or incomplete in any way, I/we hereby agree to notify the Company and the Administrator immediately of any such change and further agree to immediately take such action as the Company may direct, including where appropriate, redemption of our Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Company. If relevant, I/we agree to notify the Company and the Administrator of any change to my/our tax residency status. I/we hereby also agree to indemnify and keep indemnified the Company, the Administrator, the Investment Manager and Management Company against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly as a result of a failure to meet our obligations pursuant to this section or failure to provide such information which has been requested by the Company or the Administrator and has not been provided by me/us, and from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by me/us to the Company, the Administrator, the Investment Manager or Management Company. I/We further acknowledge that a failure to comply with the foregoing obligations or failure to provide the necessary information required may result in the compulsory redemption of our entire holding in the Fund/Company, and that the Company is authorized to hold back from redemption proceeds or other distributions to me/us such amount as is sufficient after the deduction of any redemption charges to discharge any such liability and I/we shall indemnify and keep indemnified the Company, the Administrator, the Investment Manager and Management Company against any loss suffered by them or other Shareholders in the Company in connection with any obligation or liability to so deduct, withhold or account.
53. I/We confirm that we have accurately and correctly completed the relevant self-certification form(s) included at Appendix 2. I/We further confirm that if any information included in the self-certification form subsequently becomes inaccurate or incorrect we will notify the Company and the Administrator immediately of any such change and agree to immediately take such action as the Company may direct, including where appropriate, redemption of our Shares.
54. I/We agree to waive any provision of any privacy, banking secrecy or other law or regulation of any jurisdiction and/or the terms of any confidentiality agreement, arrangement or understanding that would, absent such a waiver, prevent the Company's compliance with FATCA and CRS requirements.
55. I/We acknowledge that the Company, Management Company, Investment Manager and Administrator intend to take such steps as they may be required to satisfy any obligations imposed by Council Directive (EU) 2018/822 (amending Directive 2011/16/EU), as applied in Ireland by means of the relevant Irish tax legislation ("DAC6"). I/We further acknowledge that this may, in specific circumstances, require the Company or any party that falls to be considered an "intermediary" for the purposes of DAC6 to exchange certain of my/our information (including details of my/our investment in the Company) to the Irish Revenue Commissioners and/or other relevant tax authorities. I/We hereby agree to the transmission of such data by the relevant party to the Irish Revenue Commissioners and/or other relevant tax authorities, as is required to comply with DAC6.
56. I/We hereby acknowledge that I/we should consult our own tax advisers about the applicability of FATCA, CRS, DAC6 and any other reporting requirements with respect to our own situation.

## **INTERMEDIARY/ NOMINEE CERTIFICATIONS**

### **Required if beneficial owner is not account owner**

By signing below, the signer certifies that all of the following are true:

- The intermediary has verified the identity of the above named investor (meaning the third-party beneficial owner(s)) consistent with the anti-money laundering regulations of Ireland or, if they are at least equivalent, of the jurisdiction of sale
- The intermediary has documentation to support the investor identification, can produce it on demand and will hold it for five years after the final transaction in this account

- The intermediary has identified all parties owning or controlling 25% or more of the equity or the voting rights of the investor, and all parties that in turn own or control 25% or more of the equity or voting rights of the parties initially described, and agrees to provide documentation on all of these parties that is satisfactory to us upon request
- The intermediary has the power and authority to act on behalf of the investor as concerns all matters regarding this application and investment
- The intermediary indemnifies us from any costs or any damages resulting from any misrepresentation the intermediary makes on this form
- The intermediary agrees to notify us immediately should its relationship to investor end
- The intermediary agrees to provide the beneficial owner(s) with all current standard and local offering documents as and when required by law and regulation, and to maintain adequate records that it has done so
- The signer is authorised to make all of these representations on behalf of the intermediary

## **ANTI-MONEY LAUNDERING**

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

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 place a subscription.

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

## ANTI-MONEY LAUNDERING / FATCA/ CRS

I/We confirm that I/we will accurately and correctly complete, sign and deliver Appendices 1 and 2 to the Company and the Administrator in order to comply with all anti-money laundering regulations, FATCA and CRS. I/we agree to notify the Company and the Administrator immediately if I/we become aware that any of the confirmations in the Appendices are no longer accurate and complete in all respects.

### **Russian Restricted Investors and Belarusian Restricted Investors**

Please complete either Option A **or** Option B

Option A:

By ticking the box below, I/we (or any person or entity on whose behalf Shares in the Fund are being acquired) confirm that they do **not** constitute any of the following:

- (i) Russian national
- (ii) Natural person residing in Russia
- (iii) Legal person, entity or body established in Russia
- (iv) Legal person, entity or body which is owned by a Russian national or a natural person residing in Russia
- (v) Belarusian national
- (vi) Natural person residing in Belarus
- (vii) Legal person, entity or body established in Belarus;
- (viii) Legal person, entity or body which is owned by a Belarusian national or a natural person residing in Belarus

Option B:

By ticking the box below, I/we (or any person or entity on whose behalf Shares in the Fund are being acquired) confirm that they constitute one of the following:

- (i) Russian national or a natural person residing in Russia who is a national of an EEA Member State or Switzerland or who has a temporary or permanent residence permit in an EEA Member State or Switzerland;
- (ii) Belarusian national or a natural person residing in Belarus who is a national of an EU Member State or who has a temporary or permanent residence permit in an EU Member State;

This information is being gathered by the Company in order to comply with applicable obligations imposed on it under Article 5f of Council Regulation (EU) 833/2014 as amended and Article 1(y) of Regulation (EC) No 765/2006 as amended.

## APPLICANT SIGNATURE

The undersigned hereby accepts and agrees to be bound in full by the terms and conditions of this Application Form.

Before submitting this application form or any redemption request, investors should ensure that they have understood fully the entirety of the fees associated with an investment in or redemption from the relevant Fund(s) of the Company which may include but are not limited to a subscription fee, anti-dilution levy and/or annual investment management fee (which may include a performance fee for certain classes), as appropriate. Please refer to the Prospectus for full details of such fees.

<b>First applicant name</b>	
Signature	
Capacity of Authorised Signatory (if applicable)	
Date	
<b>Second applicant name</b>	
Signature	
Capacity of Authorised Signatory (if applicable)	
Date	
<b>Third applicant name</b>	
Signature	
Capacity of Authorised Signatory (if applicable)	
Date	
<b>Fourth applicant name</b>	
Signature	
Capacity of Authorised Signatory (if applicable)	
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, Application Forms should be executed under seal or signed by duly authorised signatories provided that a certified 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.



## DECLARATION OF RESIDENCE OUTSIDE THE REPUBLIC OF IRELAND

Applicants resident outside the Republic of 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.

### (a) 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 Irish Resident or Ordinarily Resident in Ireland, and
- Should I/we/the company\* become Irish Resident I/we\* will so inform the Company and the Administrator, in writing, accordingly.

### (b) Declaration as Intermediary

I/we\* declare that I am/we are\* applying for Shares on behalf of persons:

- who will be beneficially entitled to the Shares; and
- who, to the best of my/our\* knowledge and belief, are neither Irish Resident nor Ordinarily Resident in Ireland.
- I/we\* also declare that:
- unless I/we\* specifically notify you and the Administrator to the contrary at the time of application, all 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 and the Administrator in writing if I/we\* become aware that any person, on whose behalf I/we\* holds Shares, becomes Irish Resident.

\* Delete as appropriate

### 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 signed by the company secretary or another authorised officer.
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 declaration.
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.

I/we the undersigned request that the Shares issued pursuant to this application are registered in the name set out below.

<b>First applicant name</b>	
Signature	
Capacity of Authorised Signatory (if applicable)	
Date	
<b>Second applicant name</b>	
Signature	
Capacity of Authorised Signatory (if applicable)	
Date	
<b>Third applicant name</b>	
Signature	
Capacity of Authorised Signatory (if applicable)	
Date	
<b>Fourth applicant name</b>	
Signature	

Capacity of Authorised Signatory (if applicable)	
Date	

## **RETURN OF VALUES (INVESTMENT UNDERTAKINGS) REGULATIONS 2013**

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

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

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

Furthermore, the Regulations require the Fund to seek appropriate documentation from the applicant to verify the above TIN or PPS Number. Any one of the following additional documents (copy or original) is sufficient:

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

In addition, any printed documentation issued by the Revenue Commissioners or by the Department of Social Protection which contain your name, address and tax reference number will also be acceptable. In the case of joint account holders, the additional documentation is required for each applicant.

Your personal data will be processed in accordance with applicable data protection legislation. Further information on your data protection rights has been provided elsewhere within this Application Form.

\* A PPS Number is required if the relevant applicant is an individual.

**BENEFIT PLAN INVESTOR DECLARATIONS AND CONFIRMATIONS**

(A) I/We am/are, or am/are acting on behalf of, a “Benefit Plan Investor.”

Yes  No

“Benefit Plan Investor” is defined in Section 3(42) of the U.S. Employee Retirement Income Security Act of 1974, as amended (“ERISA”), and applicable regulations of the Department of Labor (together, the “Plan Asset Rules”), as follows: (i) an employee benefit plan which is subject to Part 4 of Subtitle B of Title I of ERISA, such as a U.S. private sector employee pension or welfare benefit plan (an “ERISA Plan”); (ii) a plan subject to Section 4975 of the Internal Revenue Code of 1986, as amended (the “Code”), such as a Keogh plan covering only partners or other self-employed individuals or an individual retirement account or “IRA” (a “Qualified Plan”); or (iii) an entity which is deemed to hold the “plan assets” of investing ERISA Plans or Qualified Plans pursuant to the Plan Asset Rules.

In general, a U.S. or non-U.S. entity which is a passive investment vehicle, is not publicly traded or registered as an investment company under the 1940 Act, and in which twenty-five (25%) percent or more (or any higher percentage as may be prescribed by the Plan Asset Rules) of the value of any class of equity interests is held by Benefit Plan Investors, is deemed to hold “plan assets” under the Plan Asset Rules. For purposes of determining whether the percentage threshold has been met or exceeded, the value of any equity interests held by a person (other than a Benefit Plan Investor) who has discretionary authority or control with respect to the assets of the entity, or any person who provides investment advice for a fee (direct or indirect) with respect to such assets, or any affiliate of such a person, is disregarded. In addition, certain other entities, such as insurance company separate accounts and bank collective investment trust funds, are considered to hold plan assets if any of their interests are held by Benefit Plan Investors.

(B) If I/we answered “Yes” to (A), I/we am/are the following type of Benefit Plan Investor (please indicate what type of Benefit Plan Investor you are by checking the appropriate box):

- 1.  ERISA Plan or Qualified Plan
- 2.  Insurance company separate account, common or collective trust of a bank, or group trust which is exempt from taxation pursuant to the principles of Rev. Rul. 81-100
- 3.  Insurance company general account whose assets include “plan assets”
- 4.  Entity (other than those described in 2 and 3 above) holding “plan assets”

(C) If I/we checked box 2 or 4 in (B) above, I/we represent that the value of my/our assets attributable to Benefit Plan Investors as a percentage of the total value of my/our assets is not more than (please check an applicable box). Applicants that are insurance company general accounts should omit this question and proceed to (D) below:

- |                              |                              |                              |                              |                               |
|------------------------------|------------------------------|------------------------------|------------------------------|-------------------------------|
| <input type="checkbox"/> 10% | <input type="checkbox"/> 20% | <input type="checkbox"/> 30% | <input type="checkbox"/> 40% | <input type="checkbox"/> 50%  |
| <input type="checkbox"/> 60% | <input type="checkbox"/> 70% | <input type="checkbox"/> 80% | <input type="checkbox"/> 90% | <input type="checkbox"/> 100% |

(D) I/We am/are, or am/are acting on behalf of, an insurance company general account, or investing assets of an insurance company general account as described in U.S. Department of Labor Advisory Opinion 2005-19A:

Yes  No

If I/we answered “Yes”, below is the maximum percentage of my/our assets that would constitute “plan assets” under ERISA:

- |                              |                              |                              |                              |                               |
|------------------------------|------------------------------|------------------------------|------------------------------|-------------------------------|
| <input type="checkbox"/> 10% | <input type="checkbox"/> 20% | <input type="checkbox"/> 30% | <input type="checkbox"/> 40% | <input type="checkbox"/> 50%  |
| <input type="checkbox"/> 60% | <input type="checkbox"/> 70% | <input type="checkbox"/> 80% | <input type="checkbox"/> 90% | <input type="checkbox"/> 100% |

(E) I/We am/are subject to any rules or regulations similar to the fiduciary responsibility provisions of ERISA and/or the prohibited transaction provisions of Section 4975 of the Code, such as a state law similar to ERISA:

Yes  No

If yes, please specify

I/We have indicated in Section XXIV whether I/we am/are a “Benefit Plan Investor,” as described in Section XXIV. If I/we am/are not a Benefit Plan Investor on the date this Application Form is signed, I/we agree to notify the Company in writing a reasonable time in advance if I/we anticipate becoming a Benefit Plan Investor at any \_\_\_\_\_ time while I/we continue to hold any Shares and to provide the information concerning my/our Benefit Plan Investor status required in Section XXIV. If I/we am/are an entity that is a Benefit Plan Investor, I/we have indicated in Section XXIV the percentage of my/our equity interests that are held by Benefit Plan Investors and will notify the Company a reasonable time in advance in writing if that percentage changes.

If I/We am/are an insurance company and are investing the assets of my/our general account (or the assets of any wholly-owned subsidiary of my/our general account) in the Company, I/we have indicated in Section XXIV whether my/our assets include “plan assets” under ERISA and the percentage of my/our assets that constitute “plan assets.” I/we will notify the Company a reasonable time in advance in writing if that percentage changes.

If I/We am/are a Benefit Plan Investor, I/we acknowledge that it is intended that the Company will not hold the “plan assets,” as described in Section XXIV of any Benefit Plan Investor that acquires Shares. Accordingly, I/\_\_\_\_\_ we agree that the Company may at any time require me/us to redeem so many of my/our Shares as, in the opinion of the Company, is necessary to ensure that the assets of the Company do not include “plan assets”.

If I/We am/are, or am/are acting on behalf of, an ERISA Plan or a Qualified Plan, as those terms are defined \_\_\_\_\_ in Section XXIV, or an entity that is a Benefit Plan Investor by reason of holding plan assets of any ERISA Plan or Qualified Plan as described in Section XXIV (each such ERISA Plan or Qualified Plan, a “Plan”):

- (i) the person or entity signing this Application Form is a fiduciary of each such Plan (the “Plan Fiduciary”);
- (ii) the decision to invest in the Company was made by the Plan Fiduciary;
- (iii) the Plan Fiduciary is unrelated to the Company and any person affiliated therewith and is duly authorized to make such an investment decision on behalf of the Plan;
- (iv) the acquisition and subsequent holding of the Shares do not and will not constitute a “prohibited transaction” within the meaning of Section 406 of ERISA or Section 4975 of the Code, that is not subject to an applicable exemption;
- (v) the Plan’s subscription to invest in the Company and the purchase of Shares contemplated thereby is in accordance with the terms of the Plan’s governing instruments; and
- (vi) the Plan Fiduciary has not relied on, and is not relying on, the investment advice of the Company nor any of its directors, officers, employees, representatives or affiliates with respect to the Plan’s investment in the Company, and neither the Company, nor any of its directors, officers, employees, representatives or affiliates, has any investment discretion with respect to the assets of the Plan which will be used to purchase Shares.

## ACCREDITED INVESTOR STATUS

The applicant is an accredited investor as that term is defined in Rule 501 promulgated under Regulation D of the 1933 Act, because the applicant (please check all that apply):

### I. For Individuals

1. Has an individual net worth, or joint net worth with his or her spouse, in excess of \$1,000,000. As used herein, “net worth” means the excess of total assets at fair market value over total liabilities. For purposes of calculating net worth, please exclude (a) the value of your primary residence and (b) any mortgage debt that is secured by your primary residence, up to the estimated fair market value of your primary residence (except that if the amount of such indebtedness outstanding exceeds the amount outstanding 60 days ago, other than as a result of the acquisition of your primary residence, the amount of such excess must be included as a liability);
2. Had individual income (exclusive of any income attributable to his or her spouse) of more than \$200,000 in each of the past two years, or joint income with his or her spouse of more than \$300,000 in each of those years, and reasonably expects to reach the same income level in the current year; or
3. Is a director, manager, or executive officer of the Company.

### II. For Corporations, Foundations, Endowments, Partnerships, Limited Liability Companies, and Massachusetts or similar Business Trusts

1. Has total assets in excess of \$5,000,000 and was not formed for the specific purpose of acquiring the Shares; or
2. All of the investor’s equity owners are accredited investors (as in this section XXIX). The Company, in its sole discretion, may request information regarding the basis on which such equity owners are accredited.

### III. For Employee Benefit Plans

1. Is an employee benefit plan within the meaning of ERISA and the decision to invest in the Company was made by a plan fiduciary (as defined in Section 3(21) of ERISA), which is either a bank, savings and loan association, insurance company or registered investment adviser.

The name of such plan fiduciary is:

2. Is an employee benefit plan within the meaning of ERISA and has total assets in excess of \$5,000,000; or
3. Is a plan established and maintained by a state, its political subdivisions, or any agency or instrumentality of a state or its political subdivisions for the benefit of its employees, and has total assets in excess of \$5,000,000.

### IV. For Individual Retirement Accounts, Keogh Plans and Employee Benefit Plans

1. Is an individual retirement account, Keogh Plan or other self-directed plan (i.e., a tax-qualified defined contribution plan in which a participant may exercise control over the investment of assets credited to his or her account) in which all of the participants are accredited investors (as described in Part I of this section XXIX).

### V. For Section 501(c)(3) Organisations

1. Is an organisation described in Section 501(c)(3) of the Code, was not formed for the specific purpose of acquiring the Shares, and has total assets in excess of \$5,000,000.

### VI. For Trusts

1. Has total assets in excess of \$5,000,000, was not formed for the specific purpose of acquiring the Shares, and its purchase is directed by a sophisticated person (a person who has such knowledge and experience in financial and business matters that he or she is capable of evaluating the merits and risks of the prospective investment); or
2. Is a revocable trust that may be amended or revoked at any time by the grantors thereof and all of the grantors are accredited investors as described in this section XXIX. The Company, in its sole discretion, may request information regarding the basis on which such equity owners are accredited.

**VII. For Other Investors**

- 1. Is a bank as defined in Section 3(a)(2) of the 1933 Act or a savings and loan association, or other institution as defined in Section 3(a)(5)(A) of the 1933 Act whether acting in its individual or fiduciary capacity;
- 2. Is an insurance company as defined in Section 2(13) of the 1933 Act;
- 3. Is a broker-dealer registered pursuant to Section 15 of the 1934 Act; or
- 4. Is an investment company registered under the 1940 Act or a business development company as defined under Section 2(a)(48) of the 1940 Act.

## QUALIFIED PURCHASER TEST

I/we understand and agree that the Company will comply with the exemption provided by Section 3(c)(7) of the 1940 Act. Accordingly, I/we represent and warrant that (please check all that apply):

**I. For All Investors:** Check either (a) (and at least one of items (1)-(6) thereunder) or (b).

- (a) I/we are a “qualified purchaser” as defined in Section 2(a)(51)(A) of the 1940 Act and the regulations thereunder because I/we am/are:
1. A natural person (including any person who holds a joint, community property, or other similar shared ownership interest in Shares with my qualified purchaser spouse) who owns not less than \$5,000,000 in investments,<sup>1</sup> as defined by the Securities and Exchange Commission;
  2. A “family entity” that owns not less than \$5,000,000 in investments<sup>1</sup>, including a corporation, partnership, association, joint stock company, trust, fund or other organised group of persons, whether incorporated or not, (i) that is owned directly or indirectly by or for two or more natural persons who are related as siblings or spouses (including former spouses), or direct lineal descendants by birth or adoption, spouses of such persons, the estates of such persons, or foundations, charitable organisations, or trusts established by or for the benefit of such persons and (ii) that was not formed for the specific purpose of investing in the Company;
  3. A trust that is not covered by clause (2) above and that was not formed for the specific purpose of acquiring the Shares, as to which the trustee or other person authorised to make decisions with respect to the trust, and each settlor or other person who has contributed assets to the trust, is a qualified purchaser;
  4. A corporation, partnership, association, joint stock company, trust, fund or other organised group of persons, whether incorporated or not, acting for his/her/its own account or the accounts of other qualified purchasers, (i) that in the aggregate owns and invests on a discretionary basis, not less than \$25,000,000 in investments<sup>1</sup> and (ii) was not formed for the specific purpose of investing in the Company;
  5. An entity in which all of the equity owners are qualified purchasers as that term is defined in the 1940 Act or the rules thereunder; or
  6. A “qualified institutional buyer” within the meaning of paragraph (a) of Rule 144A under the 1933 Act, or any successor provision thereto (“Rule 144A”), acting for its own account, the account of another “qualified institutional buyer,” or the account of a “qualified purchaser”; provided that if the applicant is a dealer as described in paragraph (a)(1)(ii) of Rule 144A, such dealer owns and invests on a discretionary basis at least US\$25,000,000 in securities of issues that are not affiliated persons of the dealer. A plan referred to in paragraph (a)(1)(i)(D) or (a)(1)(i)(E) of Rule 144A or a trust fund referred to in paragraph (a)(1)(i)(F) of Rule 144A that holds the assets of such a plan will not be deemed to be acting for its own account if investment decisions with respect to the plan are made by the beneficiaries of the plan (except with respect to investment decisions made solely by the fiduciary, trustee or sponsor of such plan).
- (b) I/we cannot check any of clauses (1) through (6) above and therefore am/are not a qualified purchaser.

**II. For All Investors that are Entities (please check one):**

1. I/we am/are not an entity that is excepted from the definition of an “investment company” under the 1940 Act pursuant to Section 3(c)(1) or 3(c)(7) thereof (a “3(c)(1) or 3(c)(7) Company”).
2. I/we am/are a 3(c)(1) or 3(c)(7) Company and all necessary consents, if any, of our beneficial owners (and their beneficial owners) or our trustees, directors, or general partners **have been obtained** in accordance with Section 2(a)(51)(C) of the 1940 Act and the regulations thereunder for us to be considered a qualified purchaser under the 1940 Act.
3. I/we am/are a 3(c)(1) or 3(c)(7) Company and one or more necessary consents of our beneficial owners (or their beneficial owners) or our trustees, directors, or general partners **have not been obtained** in accordance with Section 2(a)(51)(C) of the 1940 Act and the regulations thereunder so that we cannot be considered a qualified purchaser under the 1940 Act.

**In all cases, I/we agree to provide the Company with any additional information reasonably requested by it in order to evidence the foregoing.**

<sup>1</sup>For the purposes of the definition of qualified purchaser, the term “investments” means:

- (a) securities, such as stocks, bonds, options, warrants, notes and partnership interests, except for securities of issuers controlled by the applicant (“Control Securities”) unless (i) the issuer of the Control Securities is itself a registered or private investment company or is exempted from the definition of investment company by Rule 3a-6 or Rule 3a-7 under the 1940 Act or a commodity pool, (ii) the Control Securities are securities of an issuer that files reports pursuant to Section 13 or 15(d) of the 1934 Act, (iii) the issuer of the Control Securities has a class of securities listed on a designated offshore securities market under Regulation S under the 1933 Act, or (iv) the issuer of the Control Securities is a private company with shareholders’ equity not less than \$50 million determined in accordance with generally accepted accounting principles, as reflected in the company’s most recent financial statements (provided such financial statements were issued within 16 months of the date of this application for Shares);
- (b) real estate held for investment purposes (this generally does not include real estate used by the investor for personal purposes or as a place of business);
- (c) commodity futures contracts, options on commodity futures contracts, and options on physical commodities traded on or subject to the rules of any contract market designated for trading such transactions under the U.S. Commodity Exchange Act, as amended (the “CEA”) and the rules thereunder or any board of trade or exchange outside the United States, as contemplated in Part 30 of the rules under the CEA.
- (d) physical commodities held for investment purposes and traded on a market referred to in (c) above;
- (e) certain financial contracts entered into for investment purposes;
- (f) cash and cash equivalents (including foreign currencies, bank deposits, certificates of deposit, bankers acceptances, and the net cash surrender value of an insurance policy) held for investment purposes; and
- (g) any payments due pursuant to a firm agreement or similar binding commitment pursuant to which a person has agreed to acquire an interest in, or make capital contributions to, the applicant if the applicant is a private fund relying on Section 3(c)(7) or section 3(c)(1) of the 1940 Act or a commodity pool.

**Applicant Status as Public Pension Plan**

I/We am/are, or I/we am/are investing on behalf of **(please check one)**:

- (a) Any state of the United States or a political sub-division of a state of the United States.
- (b) Any agency, authority, or instrumentality of a state of the United States or political subdivision of a state of the United States.
- (c) A pool of assets sponsored or established by a state of the United States or political subdivision thereof or any agency, authority or instrumentality thereof, or a general fund of a state of the United States.
- (d) A plan or program of any person covered by this Section XXXI.
- (e) An officer, agent, or employee of a state of the United States or political subdivision or any agency, authority or instrumentality thereof, acting in their official capacity.
- (f) None of the above.

**Type of Applicant**

I/We am/are **(please check one)**: (If acting as trustee, agent, representative or nominee for a beneficial owner, please check the item that best describes the beneficial owner)

- (a) Individual that is a United States person (or a trust of such a person)
- (b) Individual that is not a United States person (or a trust of such a person)
- (c) Broker-dealer
- (d) Insurance company
- (e) Investment company registered under the 1940 Act
- (f) Private fund\*
- (g) Non-profit
- (h) Pension plan (other than a governmental pension plan)
- (i) Banking or thrift institution making a proprietary investment
- (j) US state or municipal government entity\*\* (other than a governmental pension plan)
- (k) US state or municipal governmental pension plan
- (l) Sovereign wealth fund or non-US official institution
- (m) A person that is not a United States person and about which beneficial ownership information is not known and cannot reasonably be obtained because the beneficial interest is held through a chain involving one or more third-party intermediaries
- (n) Other (please specify):



- \* The term “private fund” means any issuer that would be an investment company as defined in Section 3 of the 1940 Act but for Section 3(c)(1) or 3(c)(7) of the 1940 Act, which set forth respectively the “under 100 investor” and “qualified purchaser” exemptions.
- \*\* The term “government entity” means any US state (including the District of Columbia, Puerto Rico, the US Virgin Islands or any other possession of the United States) or political subdivision of a US state, including:
  - (i) any agency, authority or instrumentality of the state or political subdivision;
  - (ii) a plan or pool of assets controlled by the state or political subdivision or any agency, authority or instrumentality thereof; and
  - (iii) any officer, agent, or employee of the state or political subdivision or any agency, authority or instrumentality thereof, acting in their official capacity.

## **Appendix 1**

### **Anti-Money Laundering Requirements**

**IMPORTANT:** All applicants must at a minimum complete the questionnaire in PART 1 below **prior** to investment including disclosure of Beneficial Owners and Directors/Controlling Persons. Failure to complete may result in your investment being rejected or delayed. The Administrator, Fund and Directors are indemnified by you against any loss of any nature whatsoever arising from rejecting, or delaying to proceed with an investment

**PART I: AML Questionnaire – To be completed by ALL Applicants**

**Investor Name:** \_\_\_\_\_

**Country of residence:** \_\_\_\_\_

**Principal place of Business:** \_\_\_\_\_

**Wiring Bank:** \_\_\_\_\_

**Name on Wiring Account\*:** \_\_\_\_\_

*\*Note investment monies must be received from an account in the Applicants name.*

**Business Activity – Entities only:**

*Please indicate the purpose, nature and business activity of the entity):*

\_\_\_\_\_

**Source of Funds** *(Please indicate how the funds associated with this particular investment were generated):*

- Income                       Savings                       Bonus                       Gift or Inheritance  
 Property sale    Company sale    Share sale                       Dividend                       Other please specify:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Source of Wealth:** *(Please indicate the activities which have generated the applicant's total net worth, please also include details of your occupation and employers' details where applicable):*

- Income                       Savings                       Bonus                       Gift or Inheritance  
 Property sale    Company sale    Share sale                       Dividend                       Other please specify:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Please note that we may require additional information regarding the above Source of Funds and Source of Wealth declarations.**

**Politically Exposed Person PEP Declaration (please tick ✓)**

- I/We confirm that I/we meet the definition of a politically exposed person ('PEP')\* or any immediate family member\*\* or close associate of a PEP as such terms are defined in the footnotes below<sup>4</sup> and will provide the necessary disclosures and documentation regarding source of wealth and where relevant the source of wealth of any beneficial owners who meet the definition of a PEP
- I/We confirm that I/we are acting as Financial Intermediary/Nominee and we have procedures in place to identify and conduct enhance customer due diligence on investors and beneficial owners who are PEP or any immediate family member or close associate of a PEP as such terms are defined in the footnotes below.
- I/We confirm that I/we do not meet the definition of a PEP or any immediate family member or close associate of a PEP as such terms are defined in the footnotes below.

**IMPORTANT: PLEASE COMPLETE PRIOR TO INVESTMENT**

**(A) Please provide details of Directors / Partners / Trustees / Controllers of the Applicant.**

Name .....

Residential Address .....

Business Address .....

Country of residence ..... Passport Country ..... Country of Birth .....

Occupation ..... Date of Birth .....

Name .....

Residential Address .....

Business Address .....

Country of residence ..... Passport Country ..... Country of Birth .....

Occupation ..... Date of Birth .....

Name .....

Residential Address .....

Business Address .....

Country of residence ..... Passport Country ..... Country of Birth .....

Occupation ..... Date of Birth .....

Name .....

Residential Address .....

Business Address .....

Country of residence ..... Passport Country ..... Country of Birth .....

Occupation ..... Date of Birth .....

If additional Directors/Partners/Trustees please submit details on headed paper or alternatively provide a register of directors if available.

<sup>4</sup> **Politically Exposed Person** means an individual who is, or has at any time in the preceding year been, entrusted with a prominent public function, including either of the following individuals (but not including any middle ranking or more junior official): (a) a specified official; (b) a member of the administrative, management or supervisory body of a state-owned enterprise. A "specified official" means any of the following officials (including any such officials in an institution of the European Communities or an international body): (i) head of state, head of government, government minister or deputy or assistant government minister; (ii) a member of a parliament; (iii) a member of a supreme court, constitutional court or other high level judicial body whose decisions, other than in exceptional circumstances, are not subject to further appeal; (iv) a member of a court of auditors or of the board of a central bank; (v) an ambassador, charge d' affaires or high-ranking officer in the armed forces, (vi) a director, deputy director or member of the board of, or person performing the equivalent function in relation to, an international organisation.

\*\*The definition also expands to a "close associate", "immediate family member" of a PEP and includes any of the following persons: (a) any individual who has joint beneficial ownership of a legal entity or arrangement or any other close business relations with a PEP (b) any individual who has sole beneficial ownership of a legal entity or legal arrangement set up for the actual benefit of a PEP (c) any spouse of a PEP (d) any person who is the equivalent of a spouse under the national law of the place where the PEP resides (e) any cohabitant, (f) any child or parent of the PEP or spouse of the child of the PEP (g) any other family member who is of a prescribed class.

**(B) Please provide details of all Beneficial Owners<sup>5</sup> who have a beneficial interest of 25% or more of the Applicant.**

Please complete (i) or (ii) below as applicable (*not required where the Applicant is a Bank or Financial Institution regulated in an Equivalent Jurisdiction*).

*Note: Where the Beneficial Owner is an entity and not a natural person please provide details including an organisation structure chart and details of the ultimate beneficial owner which is a natural person(s).*

**(i) I/We confirm the following beneficial owner(s) with a holding or beneficial interest of 25% or more.**

Name .....

Residential Address .....

Business Address .....

Country of residence ..... Passport Country ..... Country of Birth .....

Occupation ..... Date of Birth .....

Underlying beneficial interest.....%

Name .....

Residential Address .....

Business Address .....

Country of residence ..... Passport Country ..... Country of Birth .....

Occupation ..... Date of Birth .....

Underlying beneficial interest.....%

Name .....

Residential Address .....

Business Address .....

Country of residence ..... Passport Country ..... Country of Birth .....

Occupation ..... Date of Birth .....

Underlying beneficial interest.....%

Name .....

Residential Address .....

Business Address .....

Country of residence ..... Passport Country ..... Country of Birth .....

Occupation ..... Date of Birth .....

Underlying beneficial interest.....%

**OR**

**(ii) I/We confirm that there are NO Beneficial Owner(s) with a holding or beneficial interest of 25% or more.**

Where there is no beneficial owner(s) with a holding or beneficial interest of 25% or more please provide details of the Senior Managing Official which is any natural person(s) who exercises control over the entity or legal arrangement.

<sup>5</sup> A Beneficial Owners any person who owns or controls either directly or indirectly at least 25% of a trust or who owns or controls either directly or indirectly more than 25% of any other entity type. Where the Beneficial Owner an entity, any individual who owns more than 25% of that entity or can exercise control must also be disclosed. For Trusts or similar arrangements, beneficial owners include the beneficiaries, the settlor, the trustee(s) and the protector (if any). The beneficiaries are the individuals benefiting from the trust or similar legal arrangement.

Name .....  
Residential Address .....  
Business Address .....  
Country of residence ..... Passport Country ..... Country of Birth .....  
Occupation ..... Date of Birth .....

I/We hereby confirm that all disclosures, information and documentation supplied to the Administrator are true and correct. I /We agree to notify the Administrator if any of the information changes or is no longer true or accurate including any changes to Beneficial Owners or Directors where applicable.

The Administrator reserves the right to request further documentation in addition to the requirements specified below in order to satisfy regulatory requirements. Where an investor or beneficial owner is a PEP or is resident in a jurisdiction which the Administrator has deemed as higher risk, further due diligence documentation maybe required prior to investment.

The Undersigned hereby confirm(s) that he/she is duly authorised to make the above representations and declarations on behalf of the Applicant.

**Execution Signature:**

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

Title: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

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

Title: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

### AML Documentation Requirements

<b>Part II</b>	Individual Applicants and Joint Applicants.
<b>Part III</b>	Banks and Regulated Financial Institutions acting on their own behalf
<b>Part IV</b>	Financial Intermediaries and Nominee Companies.
<b>Part V</b>	LLC
<b>Part VI</b>	Companies.
<b>Part VII</b>	Partnerships
<b>Part VIII</b>	Trusts
<b>Part IX</b>	Funds / Collective Investment Schemes
<b>Part X</b>	Pension Schemes
<b>Part XI</b>	Charities /Foundations

### Certification Requirements

- Certified documents must bear the words ‘**Certified as a true copy of the original**’, or words to this effect.
- Certified documents **must clearly detail the Certifier’s full details** including name, title, company, address, telephone, practising number and bear the original stamp/signature of the certifier, if any. Details can be provided by way of business card if appropriate. Please note the administrator may contact the Certifier to confirm details.
- Documents must bear the **original ink** signature of the certifier. Photocopies / facsimile copies are not acceptable.
- Where documents are **not in English**, a notarized translation is required.

**Who can certify:** Authorised staff of a regulated financial or credit institutions (*regulated in an equivalent jurisdiction*), Police Officer, Practising Chartered & Certified Public Accountant, Reputable Notaries, Public/Practising Solicitor, Justice of the Peace, Commissioner for Oaths, Embassy/Consular Staff, Medical Professional, Company Secretary.

Note: Certifications by family members are not acceptable

### Equivalent Countries

“**Equivalent Jurisdiction**” includes all Member States of the European Union, Australia, Canada, Channel Islands, Hong Kong, Iceland, Isle of Man, Japan, Liechtenstein, Norway, Singapore, South Korea, Switzerland, and United States of America. (*List is subject to change*).

### PART II – Individual / Joint Applicants

**Individual and Joint applicants should provide documentation outlined in (A) or (B) below, as appropriate:**

- In the case of joint holders, please supply the relevant documentation in respect of ALL holders.
- Proof of identification documentation must be clearly legible, in date and bear the applicants photo & signature.
- Bills and statements should reflect the applicant’s home address. PO Box addresses are not acceptable.
- Bills and statements should be less than 6 months old unless the bill typical term is annual for example home insurance.
- Mobile phone invoices not acceptable (*examples of acceptable bills are electricity, water, gas, landline, bin charges, home insurance etc.*)

(A) Investors who are located in Equivalent Jurisdictions	(B) Investors who are <u>NOT</u> located in Equivalent Jurisdictions
<input type="checkbox"/> Proof of identification for example passport/drivers licence; <input type="checkbox"/> Proof of Address for example utility bill or bank statement.	<input type="checkbox"/> Certified original copy of proof of identification for example passport/drivers licence; <input type="checkbox"/> Original or certified copy of <u>two different</u> proofs of Address for example a utility bill <u>and</u> bank statement.

**PART III– Banks / Financial Institutions acting on your own behalf**

**Banks / Financial Institutions acting on their own behalf should provide documentation outlined in section (A) or (B) below as applicable:**

<p><b>(A) Banks / Financial Institutions which are regulated in an Equivalent Jurisdiction</b></p>	<p><b>(B) Banks / Financial Institutions which are <u>NOT</u> regulated in an Equivalent Jurisdiction</b></p>
<p><input type="checkbox"/> Please confirm details of web-site where evidence of regulation can be verified: _____</p> <p><input type="checkbox"/> Authorised signatory list.</p>	<p><input type="checkbox"/> Please provide documentation in accordance with your legal entity type for example PART VI for a company or PART VII for a Partnership.</p>

**PART IV – Financial Intermediaries / Nominee Companies**

**Financial Intermediaries or Nominee companies should provide documentation as outlined in (A) or (B) below as appropriate:**

Note: this section should only be completed where shares are registered and held directly in the name of the financial intermediary or nominee on behalf of a third party/underlying client.

<p><b>(A) Regulated Intermediaries/Nominees or wholly owned subsidiaries of a regulated parent in an Equivalent Jurisdiction.</b></p>	<p><b>(B) Intermediaries/Nominees is <u>NOT</u> regulated or not a subsidiary of a parent regulated in an Equivalent Jurisdiction.</b></p>
<p><input type="checkbox"/> Please confirm details of web-site where evidence of regulation can be verified _____</p> <p><input type="checkbox"/> Authorised signatory list; <b>AND</b> (in the case of wholly owned subsidiaries);</p> <p><input type="checkbox"/> A letter from the parent company signed by an authorised signature on headed paper confirming:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> The parent company’s home jurisdiction and its regulating authority;</li> <li><input type="checkbox"/> That the Nominee is a wholly owned subsidiary and that it applies the AML policy of its parent entity.</li> </ul>	<p><input type="checkbox"/> Please provide documentation in accordance with your legal entity type for example PART VI for a Company or PART VII for a Partnership;</p> <p><input type="checkbox"/> Please provide details of the third party you are transacting on behalf of, including details of any Directors and Beneficial Owners of the third party where applicable;</p> <p><input type="checkbox"/> Identification documents are also required for the third party in accordance with their legal form (please contact the Administrator for details).</p>

**PART V - LLC**

**LLCs should provide documentation as outlined in (A) or (B) below as appropriate:**

<b>(A) LLCs located in an Equivalent Jurisdiction</b>	<b>OR</b>	<b>(B) LLCs <u>NOT</u> located in an Equivalent Jurisdiction.</b>
<ul style="list-style-type: none"> <li><input type="checkbox"/> Certificate of Formation or equivalent;</li> <li><input type="checkbox"/> Operating Agreement;</li> <li><input type="checkbox"/> Authorised signatory list;</li> <li><input type="checkbox"/> Names and addresses of the Managing Members;</li> <li><input type="checkbox"/> Identification documents for at least two managing members; Or one managing member and one authorised signatory (<i>Identification documents as per an Individual as outlined in Part II (A) above</i>);</li> <li><input type="checkbox"/> Names and addresses of any members who own more than 25% of the share capital, profit or voting rights.</li> </ul>		<ul style="list-style-type: none"> <li><input type="checkbox"/> Certified original copy of Certificate of Formation or equivalent;</li> <li><input type="checkbox"/> Certified original copy of Operating Agreement;</li> <li><input type="checkbox"/> Certified original copy of Authorised signatory list;</li> <li><input type="checkbox"/> Certified original copy of Names and addresses of the Managing Members;</li> <li><input type="checkbox"/> Certified original copy of Identification documents for at least two managing members; Or one managing member and one authorised signatory (<i>Identification documents as per an Individual as outlined in Part II (B) above</i>);</li> <li><input type="checkbox"/> Certified copy of names and addresses of any members who own 25% or more of the share capital, profit or voting rights;</li> <li><input type="checkbox"/> Certified original copy of Identification documents for members with 25% or more (<i>Identification documents as per an Individual as outlined in Part II (B) above</i>).</li> </ul>



**PART VI - Companies**

**Companies should provide documentation as outlined in (A), (B) or (C) as appropriate:**

**(A) Where the Company is listed on an Regulated Market within the E.E.A ( *Regulated by the European Securities & Markets Association ESMA*) or on the US NYSE/ NASDAQ please provide the following;**

Please provide name and country of regulated stock exchange:

\_\_\_\_\_

Copy of your latest authorised signatory list.

<b>(B) Companies located in an Equivalent Jurisdiction</b>	<b>OR</b>	<b>(C) Companies <u>NOT</u> located in an Equivalent Jurisdiction</b>
<ul style="list-style-type: none"> <li><input type="checkbox"/> Certificate of Incorporation;</li> <li><input type="checkbox"/> Memorandum and Articles of Association or equivalent;</li> <li><input type="checkbox"/> Authorised signatory list;</li> <li><input type="checkbox"/> Names and addresses/Register of Directors;</li> <li><input type="checkbox"/> Certified original copy of Identification documents for at least two directors Or one director and one authorised signatory (<i>Identification documents as per an Individual as outlined in Part II (A) above</i>);</li> <li><input type="checkbox"/> Names and addresses / Register of all Beneficial Owners with a holding of 25% or more.</li> </ul>	OR	<ul style="list-style-type: none"> <li><input type="checkbox"/> Certified original copy of Certificate of Incorporation;</li> <li><input type="checkbox"/> Certified original copy of Memorandum and Articles of Association or equivalent;</li> <li><input type="checkbox"/> Certified original copy of Authorised signatory list;</li> <li><input type="checkbox"/> Certified original copy of the Names and addresses/ Register of Directors;</li> <li><input type="checkbox"/> Certified original copy of Identification documents for at least two directors Or one director and one authorised signatory (<i>Identification documents as per an Individual as outlined in Part II (B) above</i>);</li> <li><input type="checkbox"/> Certified original copy of names and addresses/ Register of all Beneficial Owners with a holding of 25% or more;</li> <li><input type="checkbox"/> Certified original copy of Identification documents for all Beneficial Owners with a holding greater than 25% (<i>Identification documents as per an Individual as outlined in Part II (B) above</i>).</li> </ul>

**PART VII - Partnerships**

**Partnerships should provide documentation as outlined in (A) or (B) below as appropriate:**

<b>(A) Partnerships located in an Equivalent Jurisdiction</b>		<b>(B) Partnerships <u>NOT</u> located in an Equivalent Jurisdiction</b>
<ul style="list-style-type: none"> <li><input type="checkbox"/> Partnership Agreement or equivalent;</li> <li><input type="checkbox"/> Authorised signatory list;</li> <li><input type="checkbox"/> Names and addresses of all partners</li> <li><input type="checkbox"/> Identification documents for at least two partners*; Or one partner and one authorised signatory (<i>Identification documents as per an Individual as outlined in Part II (A) above</i>);</li> <li><input type="checkbox"/> Names and addresses of any partners* with a partnership interest of 25% or more.</li> </ul>		<ul style="list-style-type: none"> <li><input type="checkbox"/> Certified original copy of Partnership Agreement or equivalent;</li> <li><input type="checkbox"/> Certified original copy of Authorised signatory list;</li> <li><input type="checkbox"/> Certified original copy of Names and addresses of all partners;</li> <li><input type="checkbox"/> Certified original copy of Identification documents for at least two partners*; Or one partner and one authorised signatory (<i>Identification documents as per an Individual as outlined in Part II (B) above</i>);</li> <li><input type="checkbox"/> Certified original copy of names and addresses of any partners* with a partnership interest of 25% or more;</li> <li><input type="checkbox"/> Certified original copy of Identification documents for partners* with a partnership interest of 25% or more (<i>Identification documents as per an Individual as outlined in Part II (B) above</i>).</li> </ul>

\* For a Partnership which is a Fund with a General Partner, the General Partner should provide documentation in accordance with their legal form.

**PART VIII - Trusts**

**Trusts should provide documentation as outlined in (A), (B) or (C) below as appropriate:**

**(A) Where the Trustee is regulated in an Equivalent Jurisdiction please provide the following;**

- Trust Deed, or equivalent constitutional document, which confirms the trustee exercises control of the trust;
- Please provide website where regulatory status of Trustee can be evidenced:  
\_\_\_\_\_
- Authorised Signatory List.

<b>(B) Trusts located in an Equivalent Jurisdiction</b>	<b>(C) Trusts <u>NOT</u> located in an Equivalent Jurisdiction</b>
<ul style="list-style-type: none"> <li><input type="checkbox"/> Trust Deed, or equivalent constitutional document;</li> <li><input type="checkbox"/> Authorised Signatory List;</li> <li><input type="checkbox"/> Name and address of the settlor, grantor, protector or controller;</li> <li><input type="checkbox"/> Names and address of all trustees;</li> <li><input type="checkbox"/> Identification documents for at least two trustees; Or one trustee and one authorised signatory (<i>Identification documents as per an Individual as outlined in Part II (A) above</i>);</li> <li><input type="checkbox"/> Names and address of all Beneficial Owners who own at least 25% of the share capital or voting rights.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Certified original copy of Trust Deed, or equivalent constitutional document;</li> <li><input type="checkbox"/> Certified original copy of Authorised Signatory List;</li> <li><input type="checkbox"/> Certified original copy name and address of the settlor, grantor, protector or controller;</li> <li><input type="checkbox"/> Certified original copy of Identification documents for the settlor, protector or controller (<i>Identification documents as per an Individual as outlined in Part II (B) above</i>);</li> <li><input type="checkbox"/> Certified original copy of names and address of all trustees;</li> <li><input type="checkbox"/> Certified original copy of Identification documents for at least two trustees; Or one trustee and one authorised signatory (<i>Identification documents as per an Individual as outlined in Part II (B) above</i>);</li> <li><input type="checkbox"/> Certified original copy of names and address of all beneficiaries with an interest of 25% or more;</li> <li><input type="checkbox"/> Certified original copy of Identification documents for any beneficiaries of 25% or more (<i>Identification documents as per an Individual as outlined in Part II (B) above</i>).</li> </ul>

**PART IX – Funds / Collective Investment Schemes**

**Funds/Collective Investment Schemes should provide documentation as outlined in (A) or (B) as appropriate**

Note: For Funds which do not fall into either category below please provide documentation accordance with the Funds legal form for example Part VI Companies or Part VII Partnerships.

<b>(A) Funds regulated in an Equivalent Jurisdiction or listed on a Stock exchange in an Regulated Market within the E.E.A or on the US NYSE/ NASDAQ</b>		<b>(B) Where the Funds Administrator is regulated in an Equivalent Jurisdiction</b>
<ul style="list-style-type: none"> <li><input type="checkbox"/> Website where evidence of regulatory status or stock exchange listing can be evidenced: _____</li> <li><input type="checkbox"/> Copy of your latest authorised signatory list.</li> </ul>		<ul style="list-style-type: none"> <li><input type="checkbox"/> Prospectus, or equivalent document;</li> <li><input type="checkbox"/> Authorised signatory list;</li> <li><input type="checkbox"/> Name and address of Fund Promoter; _____</li> <li><input type="checkbox"/> Name and address of Fund Administrator: _____</li> <li><input type="checkbox"/> Website where the Administrators regulatory status can be evidenced;</li> <li><input type="checkbox"/> Letter from the Fund’s Administrator confirming that they:               <ul style="list-style-type: none"> <li>○ Carry out AML checks upon the Fund investors;</li> <li>○ Confirmation of the AML legislation that they adhere to;</li> <li>○ Confirmation of who they are regulated and supervised by for AML.</li> </ul> </li> <li><input type="checkbox"/> Names and addresses of all investors who own more than 25% of the Fund. <i>(Where the investor is an entity and not a natural person please provide the details of the ultimate beneficial owner who is a natural person).</i></li> </ul>

**PART X – Pension Schemes**

**Pension Schemes should provide documentation as outlined in (A), (B) or (C) as appropriate:**

**(A) Registered Pension Schemes in an Equivalent Jurisdiction please provide the following;**

- Proof of registration from the relevant Tax Authorities, Pensions Board or Pensions Regulator in an Equivalent Jurisdiction;
- Written confirmation of the following points:
  - o The scheme provides retirement benefits to employees;
  - o Contributions are made by an employer or by way of deduction from an employee’s wages ;
  - o The scheme rules do not permit the assignment of a members interest under the scheme
- Authorised Signatory List.

<b>(B) Non registered Pension Schemes located in an Equivalent Jurisdiction</b>	<b>(C) Pension Schemes <u>NOT</u> located in an Equivalent Jurisdiction</b>
<ul style="list-style-type: none"> <li><input type="checkbox"/> Trust Deed, or equivalent constitutional document</li> <li><input type="checkbox"/> Authorised Signatory List</li> <li><input type="checkbox"/> Names and addresses of all Principals (i.e. Trustees/Directors/Governors/Board Members or equivalent)</li> <li><input type="checkbox"/> Identification documents for at least two Principals; Or one Principals and one authorised signatory (Identification documents as per an Individual as outlined in Part II (A) above);</li> <li><input type="checkbox"/> Names and address of all Beneficial Owners entitled to 25% or more of the proceeds.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Certified original copy of Trust Deed, or equivalent constitutional document;</li> <li><input type="checkbox"/> Certified original copy of Authorised Signatory List;</li> <li><input type="checkbox"/> Certified original copy of names and addresses of all Principals (i.e. Trustees/Directors/Governors/Board Members or equivalent);</li> <li><input type="checkbox"/> Certified original copy of Identification documents for at least two Principals; Or one Principals and one authorised signatory (Identification documents as per an Individual as outlined in Part II (B) above);</li> <li><input type="checkbox"/> Obtain names and address of all Beneficial Owners entitled to 25% or more of the proceeds;</li> <li><input type="checkbox"/> Certified original copy of Identification documents for any Beneficial Owners of 25% or more (Identification documents as per an Individual as outlined in Part II (B) above).</li> </ul>

**PART XI – Charities /Foundations**

**Charities/ Foundations should provide documentation as outlined in (A), (B) or (C) as appropriate;**

**(A) Registered Charities in an Equivalent Jurisdiction please provide the following;**

- Proof of registration from relevant Tax Authorities confirming tax exempt status, and/or evidence of registered status with public charities register (e.g. UK Charities Commission);
- Names and address of all Principals (i.e. Trustees/Directors/Governors/Board Members or equivalent);
- Confirmation of the purpose of the charity and the class of individuals who stand to benefit from charities objectives: \_\_\_\_\_  
\_\_\_\_\_
- Authorised Signatory List.

<b>(B) Non Registered Charities/Foundations located in an Equivalent Jurisdiction</b>	<b>(C) Charities/Foundations <u>NOT</u> located in an Equivalent Jurisdiction</b>
<ul style="list-style-type: none"> <li><input type="checkbox"/> Trust Deed/ constitutional or formation document;</li> <li><input type="checkbox"/> Authorised Signatory List;</li> <li><input type="checkbox"/> Names and addresses of all Principals (i.e. Trustees/Directors/Governors/Board Members or equivalent);</li> <li><input type="checkbox"/> Identification documents for at least two Principals; Or one Principals and one authorised signatory (Identification documents as per an Individual as outlined in Part II (A) above);</li> <li><input type="checkbox"/> Names and address of all Beneficial Owners entitled to 25% or more of the proceeds.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Certified original copy of Trust Deed/Constitutional or formational document;</li> <li><input type="checkbox"/> Audited financial statements;</li> <li><input type="checkbox"/> Certified original copy of Authorised Signatory List;</li> <li><input type="checkbox"/> Certified original copy of names and addresses of all Principals (i.e. Trustees/Directors/Governors/Board Members or equivalent);</li> <li><input type="checkbox"/> Certified original copy of Identification documents for at least two Principals; Or one Principals and one authorised signatory (Identification documents as per an Individual as outlined in Part II (B) above);</li> <li><input type="checkbox"/> Obtain names and address of all Beneficial Owners entitled to 25% or more of the proceeds;</li> <li><input type="checkbox"/> Certified original copy of Identification documents for any Beneficial Owners of 25% or more (Identification documents as per an Individual as outlined in Part II (B) above).</li> </ul>

**ALL Applicants MUST complete PART 1 below PRIOR TO INVESTMENT including disclosure of Beneficial Owners and Directors/Controlling Persons; otherwise your investment may be rejected or delayed. The Administrator reserves the right to request additional information or documentation, reject any application, freeze any transaction or delay or suspend payment of redemption proceeds where requirements are not satisfied.**

**FATCA & CRS**  
**Self-Certification Form**  
**For Individual and Joint Account Holders**  
**(Including Controlling Persons)**

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**To be completed by ALL Individual & Joint Account Holders**

We are obliged under the U.S. Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standard (CRS) to collect certain information about each account holders tax arrangements. Please note by completing this form you are providing personal information which may constitute personal data within the meaning of the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2003. Please note that we may be legally obliged to share this information, and other financial information with respect to an account holders or Controlling Persons interests in the Fund with the Funds local tax authority. They may in turn exchange this information and other financial information with foreign tax authorities including tax authorities outside the EU.

For further information on CRS please refer to the OECD CRS Information Portal at: <http://www.oecd.org/tax/automatic-exchange/>

**Instructions for completion**

Please complete **all sections** below.

In the case of **joint account Holders** each account holder is required to complete a **separate Self-Certification Form**.

**Section 1, 2 and 3** must be completed by all account holders.

Controlling Persons must also complete **Section 4**.

It is the responsibility of the account holder or Controlling Person to ensure that information provided is complete and accurate and, to provide Quintillion Limited (as the Fund's Administrator) or the Fund with any additional documentation or information when requested. If any of the information below about your tax residence or account holders FATCA/CRS classification changes in the future, you are required to notify us of these changes promptly.

If you have questions about this form or defining your tax residency status, please speak to your tax adviser or local tax authority.

Further information can be found on the OECD CRS Information Portal (Section VIII Defined Terms):. <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>

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

<b>Name</b>			
<b>Residential Address</b>			
<b>Mailing Address</b> <i>(If different to above)</i>			
<b>Country of Residence</b>			
<b>Country of Birth</b>		<b>Town or City of Birth</b>	
<b>Date of Birth</b> <b>(dd/mm/yyyy)</b>			

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

Please tick () (i), (ii) or (iii) below and complete as appropriate:

<input type="checkbox"/>	(i) I confirm that <b>I am</b> a U.S. citizen and/or resident in the U.S. for tax purposes and my U.S. federal taxpayer identifying number (U.S. TIN) is as follows: <b>U.S. TIN:</b> _____
<input type="checkbox"/>	(ii) I confirm that I was <b>born in the U.S.</b> (or a U.S. territory) but am no longer a U.S. citizen and/or resident in the U.S. for tax purposes as I have voluntarily surrendered my citizenship.  <i>(Please provide documentary evidence to support status claimed):</i> _____
<input type="checkbox"/>	(iii) I confirm that <b>I am not</b> a U.S. citizen and I am not a resident in the U.S. for tax purposes



### Section 3: CRS Declaration of Tax Residency /Residencies

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

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

Please provide the place of Tax Residence (i.e. where you are liable to pay tax), the Tax ID Type, and the Tax ID Number for the country indicated.

Country of Tax Residence	Tax ID type	Tax ID Number

Note a TIN is required unless (a) you are tax resident in a Jurisdiction that does not issue a (TIN) or (b) you are tax resident only in a non-reportable Jurisdiction (i.e. Ireland or the USA)

If a TIN is unavailable, please tick (☐) (i), (ii) or (iii) and complete as appropriate.

<input type="checkbox"/>	(i) The country /jurisdiction where the account holder is resident does not issue TINs or TIN equivalents to its residents.
<input type="checkbox"/>	(ii) No TIN required.  <i>(Note: Only select this reason if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country jurisdiction i.e. a non- participating jurisdiction such as the United States)</i>
<input type="checkbox"/>	(iii) The account holder is otherwise unable to obtain a TIN _____  <i>(Please explain why you are unable to obtain a TIN):</i>

**Section 4: Type of Controlling Person (If applicable)**

**4.1 Please confirm if you are a Direct Account Holder or a Controlling Person:**

<input type="checkbox"/>	I am a Direct Account Holder/Joint Account Holder
<input type="checkbox"/>	I am a Controlling Person of an Entity

**4.2 Please select one of the following (ONLY to be completed by Controlling Persons)**

**ONLY** to be completed by any individual who is a Controlling Person of an entity account holder which is a Passive Non-Financial Entity or an Investment Entity located in a Non-Participating jurisdiction and managed by another Financial Institution.

Where there is more than one Controlling Person please use a separate Self-Certification form for **each** Controlling Person

**Please confirm the type of Controlling Person applicable under CRS that applies to you/the account holder by ticking the appropriate box**

	Type of Controlling Person	Entity Name
<input type="checkbox"/>	Controlling Person of a legal person – Control by ownership	
<input type="checkbox"/>	Controlling Person of a legal person – Control by other means	
<input type="checkbox"/>	Controlling Person of a legal person – Senior Managing Official	
<input type="checkbox"/>	Controlling Person of a trust – settlor	
<input type="checkbox"/>	Controlling Person of a trust – trustee	
<input type="checkbox"/>	Controlling Person of a trust – protector	
<input type="checkbox"/>	Controlling Person of a trust – beneficiary	
<input type="checkbox"/>	Controlling Person of a trust - other	
<input type="checkbox"/>	Controlling Person of a legal arrangement (non-trust) – settlor – equivalent	
<input type="checkbox"/>	Controlling Person of a legal arrangement (non-trust) – trustee – equivalent	
<input type="checkbox"/>	Controlling Person of a legal arrangement (non-trust) – protector – equivalent	
<input type="checkbox"/>	Controlling Person of a legal arrangement (non-trust) – beneficiary – equivalent	
<input type="checkbox"/>	Controlling Person of a legal arrangement (non-trust) – other – equivalent	

## Section 5: Declaration and Undertakings

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

I acknowledge and consent to the fact that the information contained in this form and information regarding the account holder or Controlling Person 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 holders or Controlling Person 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 within 30 days 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.

### Data Protection- Customer Information Notice

#### Common Reporting Standard (CRS)

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

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

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

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

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

#### Foreign Account Tax Compliance Act (FATCA)

FATCA was signed into law by U.S. Congress on 18 March 2010. FATCA requires Foreign Financial Institutions ("FFI"s) located in countries which have entered into an Intergovernmental Agreement with the U.S., to exchange financial account information on U.S. Citizens and U.S. Tax Residents (U.S. Specified Persons) with the U.S. Inland Revenue Service ("IRS").

FFIs are required to conduct due diligence and gather information on account holders (and in particular situations, information in relation to relevant Controlling Persons of such account holders) and exchange such information to the relevant tax authority where the account is held, who will in turn share the information with the IRS.

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

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

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

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

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

**FATCA & Common Reporting Standard Self-Certification  
Form  
For ALL Entities**

**To be completed by ALL Entities  
(Including trusts, companies, partnerships & financial institutions)**

We are obliged under the U.S. Foreign Account Tax Compliance Act (FATCA) and the Common Reporting Standard (CRS) to collect certain information about each account holders tax arrangements. Please note that by completing this form you are providing personal information which may constitute personal data within the meaning of the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2003.. Please note that we may be legally obliged to share this information, and other financial information with respect to an account holders or Controlling Persons interests in the Fund with the Funds local tax authority. They may in turn exchange this information, and other financial information with foreign tax authorities including tax authorities outside the EU.

For further information on CRS please refer to the OECD CRS Information Portal at: <http://www.oecd.org/tax/automatic-exchange/>

**Instructions for completion**

**Section 1, 2, 4, 5 and 7** must be completed by all account holders

**Section 3** FATCA Classification only applies to NON U.S. Persons

**Section 6** is to be completed by entities which are Passive Non Financial Entities or an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution

**Nominees/Intermediaries/Custodians (the "Intermediary"):** *Where shares are held by an Intermediary which is a Reporting Model 1 Financial Institution (FI), this form should be completed by Intermediary itself rather than the underlying client. The Intermediary as a reporting FI will be responsible for FATCA/CRS tax reporting on the underlying client.*

*It is the responsibility of the account holder or Controlling Person to ensure that information provided is complete and accurate and, to provide Quintillion Limited (as Fund administrator) or the Fund with any additional documentation or information when requested. If any of the information below about your tax residence or account holders FATCA/CRS classification changes in the future, you are required to notify us of these changes promptly.*

*If you have questions about this form or defining your tax residency status, please speak to your tax adviser or local tax authority.*

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

*Further information can be found on the OECD CRS Information Portal (Section VIII Defined Terms):  
<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>*

**Section 1: Account Holders Identification (to be completed by all entity types)**

<b>Account Holders Name</b> <i>(the "Entity")</i>	
<b>Registered Address</b>	
<b>Mailing Address</b> <i>(If different to above)</i>	
<b>Country of Incorporation/Organisation</b>	

**Section 2: FATCA U.S. Declarations**

Please tick (  ) (i),(ii) or (iii) below and complete as appropriate:

<input type="checkbox"/>	(i) The Entity is a Specified U.S. Person and the Entity's U.S. Federal Taxpayer Identifying number (U.S. TIN) is as follows: <b>U.S. TIN:</b> _____
<input type="checkbox"/>	(ii) The Entity is a <b>US person but not a Specified U.S. Person</b> (Please also complete Sections 4 & 5) (Indicate exemption) : _____
<input type="checkbox"/>	(iii) The Entity is <b>not a Specified U.S. Person</b> (Please also complete Sections 3, 4 and 5)

**Section 3: FATCA Classifications**

All Non U.S. entities should have a FATCA classification, please note your FATCA classification may differ from your CRS classification in Section 5.

All Financial Institutions should complete 3.1 or 3.2 as appropriate all other entities should complete 3.3

Note: this section does not need to be completed if the entity is a U.S. Person per 2(a) or 2(c) above.

**3.1 Financial Institutions under FATCA (with a GIIN):**

Please provide the Entity's Global Intermediary Identification Number (GIIN):

**GIIN:** \_\_\_\_\_

Please tick the appropriate FATCA classification below:

<input type="checkbox"/>	<b>(i) Irish Financial Institution or a Partner Jurisdiction Financial Institution</b>
<input type="checkbox"/>	<b>(ii) Registered Deemed Compliant Foreign Financial Institution</b>
<input type="checkbox"/>	<b>(iii) Participating Foreign Financial Institution</b>

<input type="checkbox"/>	<b>(iv) Limited Financial Institution</b>
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### 3.2 Financial Institutions under FATCA (without a GIIN)

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

<input type="checkbox"/>	<p><b>(i) GIIN not yet obtained but is sponsored by another entity which does have a GIIN*Please provide the sponsor's name and sponsor's GIIN:</b></p> <p>Sponsor's Name: _____</p> <p>Sponsor's GIIN: _____</p> <p><i>*this option is only available to Sponsored Investment Entities in Model 1 IGA jurisdictions. Sponsored Investment Entities that do not have U.S. reportable accounts are not required to register and obtain a GIIN with the IRS unless and until U.S. reportable accounts are identified.</i></p>
<input type="checkbox"/>	<p><b>(ii) Exempt Beneficial Owner:</b></p> <p><i>Please tick and confirm the category of Exempt Beneficial Owner;</i></p> <p><input type="checkbox"/> Government Entity</p> <p><input type="checkbox"/> International Organization</p> <p><input type="checkbox"/> Foreign Central Bank</p> <p><input type="checkbox"/> Exempt Retirement Fund</p> <p><input type="checkbox"/> Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners.</p>
<input type="checkbox"/>	<p><b>(iii) Certified Deemed Compliant Foreign Financial Institution</b></p> <p><i>(Including a deemed compliant Financial Institution under Annex II of the IGA Agreement)</i></p> <p>Indicate exemption: _____</p>
<input type="checkbox"/>	<p><b>(iv) Non-Participating Foreign Financial Institution (NPFFI)</b></p>
<input type="checkbox"/>	<p><b>(v) Excepted Foreign Financial Institution</b></p> <p>Indicate exemption: _____</p>
<input type="checkbox"/>	<p><b>(vi) Trustee Documented Trust. Please provide your Trustee's name and GIIN</b></p> <p>Trustee's Name: _____</p> <p>Trustee's GIIN: _____</p>

### 3.3. Non-Financial Institutions (Non-Financial Foreign Entity (NFFE)) under FATCA:

If the Entity is **not** a Financial Institution, please tick the Entity's FATCA classification below:

<input type="checkbox"/>	<b>(i) Active Non-Financial Foreign Entity (NFFE)</b>
<input type="checkbox"/>	<b>(ii) Passive Non-Financial Foreign Entity (NFFE)</b> <i>(Please tick the box that applies)</i> <input type="checkbox"/> with <b>no</b> Controlling Persons that are specified U.S Person <input type="checkbox"/> <b>with</b> Controlling Persons that are specified U.S Persons. <i>(If this box is ticked, please indicate the name of all natural Controlling Person(s) of the Entity in <b>section 6</b> below and separately complete and include self-certification forms for each of your Controlling Persons)</i>
<input type="checkbox"/>	<b>(iii) Excepted Non-Financial Foreign Entity (NFFE)</b>
<input type="checkbox"/>	<b>(iv) Direct Reporting Non-Financial Foreign Entity(NFFE)</b> Please provide your GIIN: _____

### Section 4: CRS Declaration of Tax Residency/Residencies

Please indicate the Entity's country of tax residence for CRS purposes, (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers ("TIN")). Please refer to the OECD CRS Web Portal for AEOI for more information on Tax Residence: <http://www.oecd.org/tax/automatic-exchange/>.

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

Country of Tax Residence	Tax ID type	Tax ID Number

Note a TIN is required, unless (a) you are tax resident in a Jurisdiction that does not issue a (TIN) or (b) you are tax resident only in a non-reportable Jurisdiction (i.e. Ireland or the USA)

If a TIN is unavailable, please provide a reason as follows:

<input type="checkbox"/>	(i) The country /jurisdiction where the account holder is resident does not issue TINs or TIN equivalents to its residents.
<input type="checkbox"/>	(ii) No TIN required. <i>(Note: Only select this reason if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country / jurisdiction i.e. a non- participating jurisdiction such as the United States)</i>

<input type="checkbox"/>	(iii) The account holder is otherwise unable to obtain a TIN <i>(Please explain why you are unable to obtain a TIN):</i>
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## Section 5: CRS Classifications

**All Account Holders must disclose their CRS classification by completing Section 5.1 or 5.2 as appropriate. Financial Institutions should complete section 5.1 and Non-financial entities should complete section 5.2**

Please note an Entity's CRS classification may differ from its FATCA classification in Section 3 above). In addition please note that the information that the Entity has to provide may differ depending on whether they are resident in a participating or non-participating CRS Jurisdiction. For more information please see the OECD CRS Standard and associated commentary:

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>

### 5.1 Financial Institutions under CRS:

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

*Note: A list of participating jurisdictions can be found at <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/crs-by-jurisdiction/>*

<input type="checkbox"/>	<b>(i) A Reporting Financial Institution resident in a participating CRS jurisdiction</b>
<input type="checkbox"/>	<b>(ii) A Financial Institution Resident in a Non-Participating CRS Jurisdiction</b> <i>Please also tick the box that applies:</i> <ul style="list-style-type: none"><li><input type="checkbox"/> an Investment Entity <b>managed</b> by another Financial Institution (<i>If this box is ticked, please indicate the name of any Controlling Person(s) of the Entity <b>in section 6 below</b> and complete a separate individual self-certification forms for each of your Controlling Persons“</i>)</li><li><input type="checkbox"/> an Investment Entity <b>not managed</b> by another Financial Institution</li><li><input type="checkbox"/> Other <b>Financial Institution</b>, including a Depository Financial Institution, Custodial Institution or Specified Insurance Company.</li></ul>

<input type="checkbox"/>	<p><b>(iii) Non-Reporting Financial Institution under CRS.</b></p> <p><i>Specify the type of Non-Reporting Financial Institution below:</i></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Governmental Entity</li> <li><input type="checkbox"/> International Organization</li> <li><input type="checkbox"/> Central Bank</li> <li><input type="checkbox"/> Broad Participation Retirement Fund</li> <li><input type="checkbox"/> Narrow Participation Retirement Fund</li> <li><input type="checkbox"/> Pension Fund of a Governmental Entity, International Organization, or Central Bank</li> <li><input type="checkbox"/> Exempt Collective Investment Vehicle</li> <li><input type="checkbox"/> Trust whose trustee reports all required information with respect to all CRS Reportable Accounts</li> <li><input type="checkbox"/> Qualified Credit Card Issuer</li> <li><input type="checkbox"/> Other Entity defined under the domestic law as low risk of being used to evade tax.</li> <li><input type="checkbox"/> Specify the type provided in the domestic law:</li> </ul> <p>_____</p>
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**5:2 Non-Financial Institution (Non-Financial Foreign Entity/NFE) under CRS:**

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

<input type="checkbox"/>	<p><b>(i) Active Non-Financial Entity (NFE)</b> – a corporation the stock of which is regularly traded on an established securities market.</p> <p>Please provide the name if the established securities market on which the corporation is regularly traded: _____</p> <p>_____</p>
<input type="checkbox"/>	<p><b>(ii) Active Non-Financial Entity (NFE)</b> – if you are a Related Entity of a regularly traded corporation.</p> <p>Please provide the name of the regularly traded corporation that the Entity is a Related Entity _____</p> <p>of: Please provide details of the securities market that the entity is listed on : _____</p> <p>_____</p>
<input type="checkbox"/>	<p><b>(iii) Active Non-Financial Entity (NFE)</b> – a Government Entity or Central Bank</p>
<input type="checkbox"/>	<p><b>(iv) Active Non-Financial Entity (NFE )</b> – an International Organization</p>
<input type="checkbox"/>	<p><b>(v) Active Non-Financial Entity (NFE)</b> – other than those listed in I, II, III or IV above. (for example a start-up NFE or a non-profit NFE)</p>
<input type="checkbox"/>	<p><b>(vi) Passive Non-Financial Entity (NFE)</b> - (if this box is ticked, please also complete <b>Section 6 Controlling Person(s) below</b> and indicate the name of all natural Controlling Person(s) of the Entity and complete a separate Individual Self-Certification Form for each of your Controlling Person(s)</p>

## Section 6: Controlling Person(s)

**This section need only be completed by entities which are Passive Non Financial Entities or an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.**

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

For further information on Identification requirements under CRS for Controlling Persons, see the Commentary to Section VIII of the CRS Standard: <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>

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

**N.B** Please note that each Controlling Person must complete a Separate Individual Self-Certification form.

(i)	
(ii)	
(iii)	

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

### 6.2 Complete a separate Individual (Controlling Person's) Self-Certification for FATCA and CRS (page 1-5) for each Controlling Person listed in Section 6.1.

## Section 7: Declaration and Undertakings

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

I acknowledge and consent to the fact that the information contained in this form and information regarding the account holder and any Controlling persons 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 and any Controlling Persons may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information.

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

I/We hereby confirm that I/we is/are duly authorised to sign this declaration on behalf of the account holder.

Print Name:

Title/Capacity:

Authorised Signature:

Date (dd/mm/yyyy):

Print Name:

Title/Capacity:

Authorised Signature:

Date (dd/mm/yyyy):



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 Company will be collected, stored, disclosed, used and otherwise processed by the Service Providers on behalf of the Company for the purposes outlined in the table below.

<b>Processing Activity by or on behalf of the Company</b>	<b>Legal Basis for Processing</b>
Where you are a natural person: (i) opening your account with the Company and managing and administering your holdings in the Company and any related account and on an ongoing basis; and (ii) processing and verification of instructions.	Performance of the contract between the Company and you.
Where you are a natural person, disclosures to third parties such as auditors, regulatory, tax authorities and technology providers in the context of the day to day operations of the Company;	Performance of the contract between the Company and you.
Where you as an investor are a non-natural person, disclosures to third parties such as auditors, regulatory authorities, tax authorities and technology providers in the context of the day to day operations of the Company	Pursuing the legitimate interests of the Company in managing and administering the holdings of the non-natural person in the Company and any related account on an ongoing basis.
Complying with any applicable legal, tax or regulatory obligations imposed on the Company including legal obligations under fund law, the UCITS Regulations, CBI UCITS Regulations, under tax law and under anti-money laundering / counter terrorist financing legislation	Compliance with a legal obligation to which the Company is subject
(i) Carrying out statistical analysis and market research;  (ii) Recording, maintaining, storing and using recordings of telephone calls and electronic communications that you make to and receive from the Company, 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 Company, dispute resolution, record keeping, security and/or training purposes; and  (iii) investigation and fraud prevention purposes, crime detection, prevention, investigation and prosecution, and to enforce or defend the rights of the Company or the Service Providers.	Pursuing the legitimate interests of the Company.

The Management Company, the Depository, the Investment Managers/ Distributors and other Service Providers

(or any of their affiliates, agents, employees, delegates, sub-contractors or group affiliates) 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.

<b>Processing Activity by or on behalf of the relevant Service Provider as controller</b>	<b>Legal Basis for Processing</b>
Retaining data and other records received in connection with your investment in the Fund.	Compliance with a legal obligation to which the Service Provider is subject.
Disclosures to third parties such as auditors, regulatory, tax authorities and technology providers in the context of the day to day operations of the Service Provider;	Compliance with a legal obligation to which the Service Provider is subject / legitimate interest of the Service Provider.
Complying with any applicable legal, tax or regulatory obligations imposed on the Service Provider including under tax law and under anti-money laundering / counter terrorist financing legislation	Compliance with a legal obligation to which the Service Provider is subject.
<ul style="list-style-type: none"> <li>(i) Carrying out statistical analysis and market research;</li> <li>(ii) Recording, maintaining, storing and using recordings of telephone calls and electronic communications that you make to and receive from 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 Company, dispute resolution, record keeping, security and/or training purposes;</li> <li>(iii) Investigation and fraud prevention purposes, crime detection, prevention, investigation and prosecution, and to enforce or defend the rights of the Company or the Service Providers; and</li> <li>(iv) For the purposes of sending information about other funds and/or investment services offered by the Investment Manager (where the consent of relevant data subject to the use of their Personal Data for such purposes shall be obtained by the Investment Manager)</li> </ul>	Pursuing the legitimate interests of the Service Provider.

**Please note that where personal data is processed for purposes of legitimate interests, you have a right to object to such processing and the Company 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 Company 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 Company or its Service Providers refusing an application for Shares in the Company 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 Company or its Service Providers. Such processing, which may reveal your political opinion, is considered lawful on the grounds of substantial public interest permitted under Article 9(2)(g) of the GDPR.

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

By accepting to provide personal data to the Company, you undertake to be authorised to disclose to the Company 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 Company. 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 Company and its or their duly appointed agents and any of their related, associated or affiliated companies 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 Company and/or the Administrator, the Management Company, the Investment Managers/Distributors and/or other Service Providers 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.

Where data transfers outside of the EEA to a third country in respect of which the European Commission has not adopted an adequacy decision, the Company and/or the relevant Service Provider has taken the necessary steps to ensure that appropriate safeguards have been put in place to protect the privacy and integrity of such



personal data, in particular ensuring the implementation of European Commission approved standard contractual clauses by the Service Providers and their affiliate.

### **Data Retention Period**

The Company /the Service Providers will retain your Personal Data for as long as required for any of them to perform the services for which they are appointed or perform investigations in relation to same depending on whether additional legal/regulatory obligations mandate that the Company /the Service Provider retains your Personal Data for a specified period.

### **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 Company 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 Company or a Service Provider is processing personal data for legitimate interests.

Where you wish to exercise any of your data protection rights against the Company or against a Service Provider, please contact us via the details provided below under “Contact Us”.

The Company 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 Company 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 Company 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 Company.

**Contact us**

If you have any questions about the Company's use of your personal information, please contact [dataprotection@bridgefundservices.com](mailto:dataprotection@bridgefundservices.com).

If you have any questions about a Service Provider use of your personal information, please reach out to the contact listed in the relevant privacy notice (linked above).