

E.I. STURDZA FUNDS PLC

# APPLICATION FORM

## E.I. STURDZA FUNDS PLC

### APPLICATION FORM

Effective Date: 1 January 2022

**If you want to apply for shares in E.I. Sturdza Funds p.l.c. (the “Company”) please complete this Application Form.** The Company is an open-ended umbrella investment company with variable capital and segregated liability between the sub-funds. The Company has established the following sub-funds:

Strategic China Panda Fund, the Nippon Growth (UCITS) Fund, Strategic Europe Quality Fund, the Strategic Global Quality Fund, the Strategic European Silver Stars Fund, the Strategic Japan Opportunities Fund, the Sturdza Family Fund and the Strategic Bond Opportunities Fund (each referred to herein as a Fund or sub-fund).

**Please complete the Application Form in full, using BLOCK capitals and black ink, and sign it at the places indicated.**

All applications for Shares in the sub-funds may be sent to the Administrator by fax or email (at the details specified below) for initial submission, however the original Application Form or confirmation of the courier tracking reference number must be received by the Administrator prior to an application for Shares being processed.

The contact details of the Administrator are as follows:

SS&C Financial Services (Ireland) Limited  
La Touche House, Dublin 1, Ireland  
Telephone: + 353 1 514 9616 | Fax: + 1 91 4 729 9540  
Queries E-mail: [EIS\\_IRE.IR@sscinc.com](mailto:EIS_IRE.IR@sscinc.com)  
Submission of Application Form E-mail: [ISTradedesk@sscinc.com](mailto:ISTradedesk@sscinc.com)

**Terms defined in the Company’s Prospectus shall have the same meaning in this Application Form.**

**This Application Form consists of the following parts, please ensure you read, understand and complete all parts of the Application Form before signing:**

Application Form (sections 1 to 9)  
Appendix 1 – Anti-money Laundering Documentation Requirements  
Appendix 2 – Individual Self Certification for FATCA and CRS  
Appendix 3 – Entity Self Certification for FATCA and CRS  
Appendix 4 – General Declarations  
Appendix 5 – Declaration of Residence Outside Ireland  
Appendix 6 – Return of Values (Investment Undertakings) Regulations 2013  
Appendix 7 – Data Privacy Statement

## SECTION ONE

### TYPE OF APPLICATION

Please confirm if you are completing this Application Form for your initial subscription or for a subsequent investment:

Initial Subscription		Please complete all sections of this Application Form
Subsequent Subscription		Please complete sections Two, Four and Nine of this Application Form

## SECTION TWO

### APPLICANT NAME

**Please provide details of the Applicant’s name.** If the holding is to be registered in more than two names (maximum four) each additional holder must provide full details and a signature on a separate piece of paper.

Applicant Name:	
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### INVESTOR TYPE

Please tick the box which corresponds with your applicable investor type:

Individual	<input type="checkbox"/>	Institutional – Local or Public Authorities/Supranational Bodies	<input type="checkbox"/>	Limited Liability Company	<input type="checkbox"/>
Designated Person investing on its own behalf	<input type="checkbox"/>	Designated Person investing as a nominee or on behalf of a third party	<input type="checkbox"/>	Pension Scheme	<input type="checkbox"/>
Registered Charity / Foundation	<input type="checkbox"/>	Listed Company	<input type="checkbox"/>	Private Trusts (no Designated Person)	<input type="checkbox"/>
School, College or University	<input type="checkbox"/>	Private Company	<input type="checkbox"/>	Partnership	<input type="checkbox"/>
Fund	<input type="checkbox"/>	Other	<input type="checkbox"/>	Please provide detail:	

### ENTITY DETAILS

Registered Name			
Registered Address		Correspondence Address (if different)	
Postcode		Postcode	
Incorporation/Registration Date		Country of Incorporation/Registration	
Contact Name			
Telephone Number		Facsimile Number	
Email Address/es			

### INDIVIDUAL DETAILS

Please tick the box accordingly:

<input type="checkbox"/>	I/We declare that I am /we are a private investor(s) and I/we make this application on my/our own behalf and not in any way as representative(s) of any other party.
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Title Please tick the appropriate box:

Mr.	<input type="checkbox"/>	Mrs.	<input type="checkbox"/>	Ms.	<input type="checkbox"/>	Other (please specify)	<input type="checkbox"/>	
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Full Name			
Home Address		Correspondence Address (if different)	
Postcode		Postcode	

Date of Birth		Email Address/es	
Country of Birth		Facsimile Number (include country code)	
Citizenship		Telephone Number (include country code)	
Passport / ID number		Passport expiration date	
Country of issue			
Taxation identification number (TIN)		Country of tax residence	
Profession **		Profession Field **	

\*\* If you are a retiree, please indicate your last profession.

Please note that we will need the information details corresponding to your category in Appendix 1.

### SOURCE OF FUNDS (applicable to all Applicants)

Please provide details of Source of Funds.

Source of Funds	
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### NON-US PERSON CONFIRMATION

Please select the appropriate boxes:

The investor is a "US Person" as defined under Regulation S of the United States Securities Act 1933\*.

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
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The investor is a "United States Person" as defined under the Commodity Exchange Act 1936\*.

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
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\*Please see the Prospectus for the full definition.

**If the investor has answered "Yes" to either of the above statements, the investor will NOT be eligible to invest in the relevant sub-fund.**

### POLITICALLY EXPOSED PERSONS ("PEP")

Please confirm if you, or any of your directors, controllers or beneficial owners, are considered to be a PEP as defined in Appendix 1 by ticking the appropriate box below.

I/we are considered to be a PEP	<input type="checkbox"/>	I/we are not considered to be a PEP	<input type="checkbox"/>
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If Yes, please specify the function and the timeframe:

If you are considered a PEP, please provide details of your Source of Wealth below:

### SECTION THREE

#### APPLICANT ANTI MONEY LAUNDERING AND COUNTERING TERRORIST FINANCING INFORMATION

**The Company is required to obtain due diligence on all Applicants to comply with prevention of money laundering and terrorist financing rules.**

All Applicants are required to provide identification documents. Appendix 1 sets out the information requirements of the Administrator, please tick the box to confirm that you have read these requirements and provided the identification documents requested.

**Undertaking of a Designated Person investing as a nominee or on behalf of a third party**

We (*name of nominee*)

undertake to verify the identity of all third parties/beneficiaries on whose behalf we, in our capacity as nominee, purchase/holds shares in the Company. We further undertake to retain for five years from the date the subscriber redeems from the Company copies of any documentation obtained by us in so verifying and if/when requested to do so by the Company and/or the Administrator, provide copies of said documentation. (Please tick the box to confirm your undertaking).

Note: Anti-money laundering documentation is required to be received prior to an application for Shares being processed. The Directors reserve the right to refuse applications to transact in Shares and no redemptions will be paid until the original Application Form and such other papers as may be required by the Administrator have been received and all anti-money laundering procedures have been completed.

**SECTION FOUR**

**DEALING INSTRUCTIONS**

Please complete the subscription amount or number of shares for the relevant sub-fund in which you want to invest in the following table. Applications are accepted in either cash subscriptions or share amount subscriptions. Please note that minimum subscription and retention amounts apply. For detailed information please refer to the relevant sub-fund's Supplement.

Sub-Fund	Share class type	Share class	ISIN	Minimum subscription	Amount in cash	Number of shares
Strategic China Panda Fund	A	A USD	IE00B3DKH950	No minimum		
		A EUR	IE00B3DKHB71	No minimum		
		A GBP	IE00B3DKHD95	No minimum		
		A CHF	IE00BHHBF1323	No minimum		
	B	B USD	IE00BHHBF1430	USD 1,000,000		
		B EUR	IE00BHHBF1547	EUR 1,000,000		
		B GBP	IE00BHHBF1653	GBP 1,000,000		
		B CHF	IE00BHHBF1760	CHF 1,000,000		
	C	C USD	IE00BYMB9D48	No minimum		
		C EUR	IE00BYMB9F61	No minimum		
Nippon Growth (UCITS) Fund	M	M JPY	IE00B45CFP81	No minimum		
	A	A JPY	IE00B563Q870	No minimum		
		AD JPY	IE00B58VV065	No minimum		
		A EUR	IE00B991XL80	No minimum		
		A CHF	IE00BGHQ9L68	No minimum		
		A GBP	IE00BGHQ9K51	No minimum		
		A USD	IE00BGHQ9M75	No minimum		
	B	B JPY	IE00B97RRK58	JPY 100,000,000		
		B EUR	IE00B95WDX70	EUR 1,000,000		
		B CHF	IE00BGHQ9P07	CHF 1,000,000		
		B GBP	IE00BGHQ9N82	GBP 1,000,000		
	C	B USD	IE00BGHQ9Q14	USD 1,000,000		
		C EUR	IE00BP8G3P09	No minimum		
	C USD	IE00BP8G3Q16	No minimum			
Strategic Europe Quality Fund	A	A EUR	IE00B5VJPM77	No minimum		
		A CHF	IE00B8431S50	No minimum		
		A GBP	IE00B84BZX23	No minimum		
		A USD	IE00BHHBF1984	No minimum		
	B	B EUR	IE00B7TRTL43	EUR 1,000,000		
		BD EUR	IE00BYNK3Z05	EUR 1,000,000		
		B CHF	IE00B76Y2204	CHF 1,000,000		
		B GBP	IE00B90YC864	GBP 1,000,000		
		B USD	IE00BHHBF1B05	USD 1,000,000		
	C	C EUR	IE00BP8G3R23	No minimum		
		C USD	IE00BP8G3S30	No minimum		
	SI	SI CHF	IE00BD03RK81	CHF 25,000,000		
		SI EUR	IE00BD03RJ76	EUR 25,000,000		
		SI GBP	IE00BD03RL98	GBP 25,000,000		
		SI USD	IE00BD03RM06	USD 25,000,000		
E	E EUR	IE00BF0VFZ78	No minimum			
	E CHF	IE00BF0VGG096	No minimum			
	E USD	IE00BF0VGG104	No minimum			

Sub-Fund	Share class type	Share class	ISIN	Minimum subscription	Amount in cash	Number of shares
Strategic Global Quality Fund	A	E GBP	IE00BF0VG211	No minimum		
		A EUR	IE00BTC0JQ94	No minimum		
		A USD	IE00BTC0JS19	No minimum		
		A CHF	IE00BTC0JT26	No minimum		
	B	B EUR	IE00BTC0JV48	EUR 1,000,000		
		B USD	IE00BTC0JX61	USD 1,000,000		
		B CHF	IE00BTC0JY78	CHF 1,000,000		
	SI	SI EUR	IE00BD37M579	EUR 25,000,000		
		SI GBP	IE00BD37M686	No minimum		
		SI USD	IE00BD37M793	USD 25,000,000		
		SI CHF	IE00BD37M801	CHF 25,000,000		
	C	C EUR	IE00BYMB9N46	No minimum		
		C USD	IE00BYMB9P69	No minimum		
	Strategic European Silver Stars Fund	A	A EUR	IE00BWCGWH04	No minimum	
A USD			IE00BWCGWG96	No minimum		
A CHF			IE00BWCGWD65	No minimum		
B		B CHF	IE00BD03RQ44	CHF 3,000,000		
		B EUR	IE00BD03RN13	EUR 3,000,000		
		B USD	IE00BD03RP37	USD 3,000,000		
C		C EUR	IE00BYMB9J00	No minimum		
		C USD	IE00BYMB9K15	No minimum		
X		X EUR	IE00BWCGWF89	EUR 3,000,000		
Strategic Japan Opportunities Fund		A	A JPY	IE00BYV1GB28	No minimum	
	A EUR		IE00BYV1GD42	No minimum		
	A USD		IE00BYV1GK19	No minimum		
	A CHF		IE00BYV1GH89	No minimum		
	A GBP		IE00BYV1GN40	No minimum		
	B	B CHF	IE00BYV1GJ04	CHF 1,000,000		
		B EUR	IE00BYV1GG72	EUR 1,000,000		
		B USD	IE00BYV1GM33	USD 1,000,000		
		B GBP	IE00BYV1GP63	GBP 1,000,000		
		B JPY	IE00BYV1GC35	JPY 100,000,000		
C	C EUR	IE00BYV1GF65	No minimum			
	C USD	IE00BYV1GL26	No minimum			
Sturdza Family Fund	A	A USD	IE00BF559B83	No minimum		
		A CHF	IE00BF559C90	No minimum		
		A EUR	IE00BF559D08	No minimum		
		A GBP	IE00BF559F22	No minimum		
	B	B USD	IE00BF559G39	USD 1,000,000		
		B CHF	IE00BF559H46	CHF 1,000,000		
		B EUR	IE00BF55FR67	EUR 1,000,000		
		B GBP	IE00BHJW6W94	GBP 1,000,000		
	SI	SI USD	IE00BHJW6X02	USD 10,000,000		
		SI CHF	IE00BHJW6Y19	CHF 10,000,000		
SI EUR		IE00BHJW6Z26	EUR 10,000,000			
SI GBP		IE00BHJW7040	GBP 10,000,000			
Strategic Bond Opportunities	A	AD USD	IE00BF55G396	No minimum		
		AD EUR	IE00BF55G404	No minimum		

Sub-Fund	Share class type	Share class	ISIN	Minimum subscription	Amount in cash	Number of shares	
Fund	A	A USD	IE00BF55G511	No minimum			
		A EUR	IE00BF55G735	No minimum			
		A CHF	IE00BF55G628	No minimum			
	B	BD	BD USD	IE00BF55G842	USD 1,000,000		
			BD EUR	IE00BF55G958	EUR 1,000,000		
		B	B USD	IE00BF55FY35	USD 1,000,000		
			B EUR	IE00BF55G065	EUR 1,000,000		
			B GBP	IE00BMVHG165	GBP 1,000,000		
			B CHF	IE00BF55FZ42	CHF 1,000,000		
	SI	SI	SI USD	IE00BF55G172	USD 10,000,000		
			SI EUR	IE00BHJW7156	EUR 10,000,000		
			SI GBP	IE00BMVHG058	GBP 10,000,000		
SI CHF			IE00BF55G289	CHF 10,000,000			



## SECTION FIVE

### Payment Method

Investments must be made by electronic transfer in the currency of the Investment. Subscription monies must be received by the Administrator in the correct currency, for the account of the relevant sub-fund, no later than the Valuation Point as set out in the relevant sub-fund's Supplement. If payment in full has not been received by the relevant times stipulated above, the application may be refused and the Shares cancelled.

I/We hereby indemnify the Company, the Management Company and the Administrator against any loss, liability, cost or expenses arising out of or in connection with any late and/or failed settlement arrangements.

Please note that the details of both the Intermediary Bank and the Beneficiary Bank must be quoted on your transfer instructions. The details below should assist you with the transfer.<sup>1</sup>

	EUR	GBP	USD
Correspondent Bank Name	Bank of New York Mellon, Frankfurt	The Bank of New York Mellon, London	Bank of New York Mellon, New York
SWIFT	IRVTDEFX	IRVTGB2X	IRVTUS3N
Sort Code		70-02-25	
Beneficiary Account Number		A/C: Not required for GBP payments	8033093455
Beneficiary Account Name	The Bank of New York Mellon, London	The Bank of New York Mellon, London	The Bank of New York Mellon, London
Bank Name	The Bank of New York Mellon, London	The Bank of New York Mellon, London	The Bank of New York Mellon, London
SWIFT	IRVTGB2X	IRVTGB2X	IRVTGB2X
Beneficiary Account Number	1812049780	1812068260	1812088400
Beneficiary Account Name	E.I. Sturdza Funds PLC EUR Collection Account	E.I. Sturdza Funds PLC GBP Collection Account	E.I. Sturdza Funds PLC USD Collection Account
IBAN	GB61IRVT70022518120480	GB51IRVT70022518120660	GB54IRVT70022518120800
	<b>CHF</b>	<b>JPY</b>	
Correspondent Bank Name	UBS AG, Zurich	Mizuho Bank, Ltd., Tokyo	
SWIFT	UBSWCHZH80A	MHCBJPJT	
Sort Code			
Beneficiary Account Number	02300000044227050000T	321020	
Beneficiary Account Name	The Bank of New York Mellon, London	The Bank of New York Mellon, London	
Bank Name	The Bank of New York Mellon, London	The Bank of New York Mellon, London	
SWIFT	IRVTGB2X	IRVTGB2X	
Beneficiary Account Number	1812097560	1812103920	
Beneficiary Account Name	E.I. Sturdza Funds PLC CHF Collection Account	E.I. Sturdza Funds PLC JPY Collection Account	
IBAN	GB02IRVT70022518120960	GB31IRVT70022518121020	

<sup>1</sup> Note that the investor's name, as it appears in the registration section of the Application Form, should appear in the "By Order" ("B/O") section of the credit wire received by the remitting financial institution. If the name does not match, the Administrator will require a bank reference letter from the investor's remitting financial institution. The bank reference letter should provide sufficient evidence that (1) the investor is a customer of the remitting financial institution and (2) has authorized the remittance of the funds to the relevant sub-fund's account (as detailed above) and (3) verifies the relationship between the "By Order" customer and the party who completed the Application Form. It may be necessary to collect further KYC due diligence documentation on behalf of the potential investor and the remitting party to understand the relationship between the two parties.

## SECTION SIX

### Bank Details – Redemption Payments

Please provide bank details for redemption payments. All payments will be made by electronic transfer.

Name of Beneficiary Bank:	Name of Correspondent Bank:
Full Postal Address of Beneficiary Bank:	Full Postal Address of Correspondent Bank:
SWIFT/Sort Code:	SWIFT/Sort Code:
Account Name:	
Account Number/IBAN:	

### Bank Details – Dividend Payments

Please tick the box if you wish to receive dividends, if declared. If this box is left blank, dividends, if declared, will be automatically reinvested	<input type="checkbox"/>	<input type="checkbox"/>
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If different to the above please provide bank details for dividend payments. All payments will be made by electronic transfer.

Name of Beneficiary Bank:	Name of Correspondent Bank:
Full Postal Address of Beneficiary Bank:	Full Postal Address of Correspondent Bank:
SWIFT/Sort Code:	SWIFT/Sort Code:
Account Name:	
Account Number/IBAN:	

#### Bank Details Notes

1. A correspondent bank may be required where the currency being paid is to a country other than the country of origin e.g. USD being paid to a European bank must be routed through a bank based in the United States.
2. Payments will be made in the relevant currency denomination of the share class.

## SECTION SEVEN

The Company is required to obtain certain information from all Applicants for tax purposes. The forms are available as separate appendices to this Application Form. Please tick the relevant boxes below to confirm that you have completed this form and have included it within your application documents

### Individual Applicants:

All Applicants are required to provide self-certifications in respect of FATCA and CRS (Appendix 2). Please provide confirmation that you have completed the Individual Self Certification Form for FATCA and CRS	<input type="checkbox"/>	<input type="checkbox"/>
Applicants who are resident outside of Ireland are required to complete the 'Declaration of Residence Outside of Ireland' form (Appendix 5). Please tick the box to provide confirmation that you have completed this form. This section will be deemed non-applicable to the Applicant if left blank.	<input type="checkbox"/>	<input type="checkbox"/>
Applicant who are Irish Resident or Ordinarily Resident in Ireland must complete the 'Return of Values (Investment Undertakings) Regulations 2013' form (Appendix 6).	<input type="checkbox"/>	<input type="checkbox"/>

Please tick the box to provide confirmation that you have completed this form. This section will be deemed non-applicable to the Applicant if left blank.		
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**Entity Applicants:**

All Applicants are required to provide an Entity Self-Certification Form in respect of FATCA and CRS (Appendix 3) and, in certain situations, may also be required to provide Self-Certification Form(s) in respect of identified Controlling Persons (Appendix 2). Please provide confirmation that you have completed the Entity Self Certification Form and, if applicable, also provided Self-Certification Form(s) in respect of identified Controlling Persons.		
Applicants who are resident outside of Ireland are required to complete the 'Declaration of Residence Outside of Ireland' form (Appendix 5). Please tick the box to provide confirmation that you have completed this form. This section will be deemed non-applicable to the Applicant if left blank.		
Applicants that are Exempt Irish Investors should contact the Administrator to obtain the applicable declaration relevant to Exempt Irish Investors. Please tick the box to provide confirmation that you have completed and provided this form. This section will be deemed non-applicable to the Applicant if left blank.		
Applicants that are Irish Resident or Ordinarily Resident in Ireland (that are not excepted unit holders within the meaning of the relevant regulation) must complete the 'Return of Values (Investment Undertakings) Regulations 2013' form (Appendix 6). Please tick the box to provide confirmation that you have completed this form. This section will be deemed non-applicable to the Applicant if left blank.		

**SECTION EIGHT**

**Declarations:**

Please confirm that you have read and understood the declarations set out in Appendix 4 of this Application Form by ticking the box.		
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**SECTION NINE**

**DATA PROTECTION STATEMENT**

In accordance with the provisions of the applicable Irish data protection law, and, as of 25 May 2018, the provisions of the Regulation no. 2016/679 of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (together the "Data Protection Law"), I/we are informed that personal data given in this Application Form (or otherwise provided in connection with an application to subscribe for Shares in the Company, on application or at any other time, including without limitation my/our name, age, contact details, bank account details, transactions and the invested amount, and any information regarding the dealing in Shares (subscription, conversion, redemption and transfer) (the "Personal Data"), will be collected, recorded, stored, adapted, transferred and processed, by electronic means or otherwise, by the Company (a "Data Controller") as further described under the Data Privacy Statement attached at Appendix 7 of this Application Form (or otherwise available upon request).

II

## SIGNATORIES

**Authorised Signatures** (all applicants must sign)

First Signature:	Print Name:	Date:
Second Signature:	Print Name:	Date:
Third Signature:	Print Name:	Date:
Fourth Signature:	Print Name:	Date:

## Checklist for Completion

Application Form	
Appendix 1 – Anti-Money Laundering Documentation Requirements	
Appendix 2 – Individual Self Certification for FATCA and CRS	
Appendix 3 – Entity Self Certification for FATCA and CRS	
Appendix 4 – Declarations	
Appendix 5 – Declaration of Residence Outside Ireland	
Appendix 6 – Return of Values (Investment Undertakings) Regulations 2013	
Appendix 7 – Data Privacy Statement	

## APPENDIX 1 – ANTI-MONEY LAUNDERING DOCUMENTATION REQUIREMENTS

You (the "Investor") must complete this Anti-Money Laundering Supplement ("AML Supplement") in order to become an Investor in the Company. Your subscription agreement will be deemed incomplete, and you will not be deemed an Investor in the Company, regardless of whether you have already wired funds, until all of the required documentation for your investor type is received and deemed to be in good order. A delay in providing documentation can result in delayed processing of the application and/or delayed payment of any future redemption proceeds being paid. The Company and/or the Administrator reserve the right to request additional documentation from time to time.

Enhanced Due Diligence is required to be applied to investors who are Politically Exposed Persons (PEPs) or in any other such circumstance as the Company or Administrator may deem. For example, the Administrator will require additional information where the investor is a PEP or, in other cases, in order to disregard the investor as a possible PEP.

### SECTION I - INSTRUCTIONS

- (1) Fill in information in Sections II and III.
- (2) Identify the applicable Investor Type in Section IV and submit the required documentation for that Investor Type.
- (3) Check the appropriate box in Section V.
- (4) Date and sign the appropriate area in Section VI based on the Investor Type selected in Section IV.
- (5) Complete Declaration on own behalf or as intermediary and Ultimate Beneficial Owner Form attached as Schedule II, if necessary.

. The original Subscription Application, completed AML Supplement, and documentation must be sent to the Company's Administrator and should be addressed to, Investor Relations Department, SS&C Financial Services (Ireland) Limited, La Touche House, IFSC, Dublin 1, Ireland.

### SECTION II: INVESTOR DETAILS (please complete either Individual or Corporate details as appropriate)

Name of Applicant	
Registered Address	
Principal Business Address	
Occupation	
Date of Birth	

In order for the Administrator to comply with applicable anti-money laundering legislation, the Administrator must be able to identify the source of funds sent to it for investment. Therefore, you must wire the payment from an account in your name. PLEASE NOTE THAT THIRD PARTY PAYMENTS WILL NOT BE ACCEPTED.

### SECTION III: WIRING BANK DETAILS (which should be the same as in the Application Form)

Are you a Customer of the Wiring Bank below?	
Bank	

Address		
Name of Account Holder		
Account Number		

## SECTION IV: INVESTOR TYPES

In order to comply with regulatory and industry standards, each investor is required to provide information and documentation based on his/her/its investor type. Please review the fourteen (14) Investor Types, check the box next to the Investor Type that best describes the investor, and provide the required documentation for your investor type to the Administrator at the time of subscription. For Individuals or Entities who are not residents of, or incorporated in, an Equivalent Country- (as defined below), **all copies must be certified by a suitable certifier. Failure to provide the required documentation can result in a delay in processing your subscription.**

1	INDIVIDUALS (or each joint investor)
	<ul style="list-style-type: none"> <li>• A copy of a valid passport (or national identity card, driver license, or government-issued identification with photograph)</li> </ul>
	<ul style="list-style-type: none"> <li>• Proof of current residential address dated within the last 6 months (which must match the address given for subscription) via an original or certified copy of recent bank statement or utility bill (mobile phone bills are not acceptable)</li> </ul>
	<i>IF from a Non-Equivalent Country, please also provide:</i>
	<ul style="list-style-type: none"> <li>• Certified copies of the above documents. One additional proof of residential address dated within the last 6 months (which must match the address given for subscription) via an original or certified copy of a recent bank statement or utility bill (mobile phone bills are not acceptable)</li> </ul>
2	DESIGNATED PERSONS INVESTING ON ITS OWN BEHALF
	<ul style="list-style-type: none"> <li>• Proof that entity is regulated for AML purposes in a Equivalent Country (Evidence from regulatory website dated within 3 months)</li> </ul>
	<ul style="list-style-type: none"> <li>• Signed own behalf investment declaration is required from the investor if not included in the subscription document</li> </ul>
	<ul style="list-style-type: none"> <li>• Copy of Authorized Signatory List</li> </ul>
3	DESIGNATED PERSONS INVESTING ON BEHALF OF THIRD PARTIES
	<ul style="list-style-type: none"> <li>• Proof that entity is regulated for AML purposes in a Equivalent Country (Evidence from regulatory website dated within 3 months)</li> </ul>
	<ul style="list-style-type: none"> <li>• Signed declaration confirming investment is being made on behalf of a third party if not included in the subscription document</li> </ul>
	<ul style="list-style-type: none"> <li>• Ultimate beneficial ownership declaration</li> </ul>
	<ul style="list-style-type: none"> <li>• AML Letter from the regulated institution</li> </ul>
	<ul style="list-style-type: none"> <li>• Copy of Authorized Signatory List</li> </ul>
4	NOMINEES & INTERMEDIARIES
	<ul style="list-style-type: none"> <li>• Where the Nominee Company is a wholly owned subsidiary of a regulated parent entity (in a Equivalent Country)</li> </ul>
	<ul style="list-style-type: none"> <li>• Proof of regulation for the parent entity</li> </ul>
	<ul style="list-style-type: none"> <li>• Ultimate beneficial ownership declaration</li> </ul>
	<ul style="list-style-type: none"> <li>• AML Letter from the regulated institution</li> </ul>
5	LISTED COMPANIES
	<ul style="list-style-type: none"> <li>• Copy of Authorized Signatory List</li> </ul>
	<ul style="list-style-type: none"> <li>• Confirmation that company is listed on a stock exchange in an equivalent country (Evidence from Stock Exchange website dated within 3 months)</li> </ul>
6	PRIVATE COMPANIES



	<ul style="list-style-type: none"> <li>• Copy of Certificate of Incorporation or equivalent</li> </ul>
	<ul style="list-style-type: none"> <li>• Copy of the Memorandum and Articles of Association or equivalent</li> </ul>
	<ul style="list-style-type: none"> <li>• A register of the Directors or a copy of audited annual accounts listing the directors</li> </ul>
	<ul style="list-style-type: none"> <li>• Identification documentation of two directors (or one director and one authorized signatory) will be required as per the legal entity form (See relevant section)</li> </ul>
	<ul style="list-style-type: none"> <li>• Full list of shareholders detailing the percentage ownership</li> </ul>
	<p><i>IF from a Non-Equivalent Country, all documentation listed above must be provided in certified format. Please also provide the following for all Beneficial Owners as described above:</i></p>
	<ul style="list-style-type: none"> <li>• Certified copies of the above documents</li> </ul>
	<ul style="list-style-type: none"> <li>• For all Beneficial Owners holding 25% or more of the share capital, profit or voting rights or otherwise exercise control over the management of the entity as described above, identification documentation will be required as per the legal entity form (see relevant section).</li> </ul>
7	<b>INSTITUTIONAL – Local and/or Public Authorities/Supranational Bodies</b>
	<ul style="list-style-type: none"> <li>• Name of the home state authority and the nature of its relationship with the public body</li> </ul>
	<ul style="list-style-type: none"> <li>• Nature and purpose of the institution</li> </ul>
	<ul style="list-style-type: none"> <li>• List of controllers of the institution</li> </ul>
	<ul style="list-style-type: none"> <li>• Verify the identity of two controllers or one controller and one authorised signer</li> </ul>
	<ul style="list-style-type: none"> <li>• Details of the main public body officials (name, residential address, date of birth, and occupation)</li> </ul>
	<ul style="list-style-type: none"> <li>• Identify all persons who own or control 25% or more of the entity's share capital or voting rights of the body or otherwise exercises control over the management of the body</li> </ul>
	<ul style="list-style-type: none"> <li>• Copy of the latest audited report and accounts (or confirmation that they are not produced)</li> </ul>
	<p><i>IF from a Non-Equivalent Country, all documentation listed above must be provided in certified format. Please also provide the following:</i></p>
	<ul style="list-style-type: none"> <li>• Certified copy of the most recent Audited Financial Statements, AND</li> </ul>
	<p><i>For 2 Officials:</i></p>
	<ul style="list-style-type: none"> <li>• A certified copy of a valid passport (or national identity card, driver license, or government-issued identification with photograph)</li> </ul>
	<ul style="list-style-type: none"> <li>• Two Proofs of current residential address dated within the last 6 months via two original or certified copy of recent bank statements or utility bills (mobile phone bills are not acceptable)</li> </ul>
8	<b>PENSION SCHEMES</b>
	<p>Simplified Due Diligence ("SCDD") is considered appropriate for pension, superannuation or similar schemes provided proof is obtained from the local government authority confirming its exempt status. In order to qualify, the scheme must ensure that:</p> <ol style="list-style-type: none"> <li>1. Retirement benefits are provided to employees; and</li> <li>2. Contributions are made by an employer or by way of deduction from an employee's wages; and</li> <li>3. The scheme rules do not permit the assignment of a member's interests under the scheme; and</li> <li>4. The pension scheme is registered in an equivalent jurisdiction (this can be determined independently).</li> </ol> <p>Confirmation of the above point must be obtained in order to apply SCDD to a pension scheme.</p>
	<b>Pension schemes not qualifying for SCDD.</b>
	<ul style="list-style-type: none"> <li>• Full name and registered address of scheme</li> </ul>
	<ul style="list-style-type: none"> <li>• Copy of Authorized Signatory List</li> </ul>
	<ul style="list-style-type: none"> <li>• Confirmation of registration from Pensions Board or relevant tax authority, if applicable</li> </ul>
	<ul style="list-style-type: none"> <li>• Formation Document (e.g., Trust Deed or equivalent); and</li> </ul>

	<ul style="list-style-type: none"> <li>• Details of Trustees/Directors/Board Members or the equivalent (name, residential address, date of birth, and occupation)</li> </ul>
	<ul style="list-style-type: none"> <li>• Verification of two controllers – Trustees/Directors/Governors/Board Members or equivalent.</li> </ul>
	<i>IF from a Non-Equivalent Country, all documentation listed above must be provided in certified format. Please also provide the following:</i>
	<ul style="list-style-type: none"> <li>• Name and address of the Scheme Administrator. Additional documentation may be required in respect of the Scheme Administrator. This will be advised on receipt of the Scheme Administrator details.</li> </ul>
9	<b>PRIVATE TRUSTS (With No Designated Person As Trustee)</b>
	<ul style="list-style-type: none"> <li>• Copy of the Trust Deed or equivalent</li> </ul>
	<ul style="list-style-type: none"> <li>• Registered address of the trust</li> </ul>
	<ul style="list-style-type: none"> <li>• Confirmation of legal form of entity (e.g., trust or foundation)</li> </ul>
	<ul style="list-style-type: none"> <li>• Nature and purpose of entity</li> </ul>
	<ul style="list-style-type: none"> <li>• Details of all trustees (name, residential address, date of birth, and occupation)</li> </ul>
	<ul style="list-style-type: none"> <li>• Details of the settlors or controllers or protectors (name, residential address, date of birth, and occupation)</li> </ul>
	<ul style="list-style-type: none"> <li>• Details of all Beneficial Owners who own 25% or more of the share capital (name, residential address, date of birth, and occupation) – Schedule II</li> </ul>
	<ul style="list-style-type: none"> <li>• If there are no Beneficial Owners who own 25% or more of the share capital, provide details of the individual who has control over the trust and individuals in whose main interest the trust is set up or operates</li> </ul>
	<ul style="list-style-type: none"> <li>• Identification documentation of two trustees (or one trustee and one authorized signatory) (see document requirements for individuals). If the Trustee is not an individual, identification documentation will be required as per the legal entity form (See relevant section)</li> </ul>
	<i>IF from a Non-Equivalent Country, all documentation listed above must be provided in certified format. Please also provide the following:</i>
	<ul style="list-style-type: none"> <li>• Certified true copies of the above documents</li> </ul>
	<ul style="list-style-type: none"> <li>• Identification documentation in respect of all beneficiaries who own 25% or more of the share capital, profit, or voting rights as per the legal entity form (see relevant section).</li> </ul>
	<ul style="list-style-type: none"> <li>• Identification documentation in respect of all Settlers, Protectors &amp; Enforcers</li> </ul>
10	<b>PARTNERSHIPS</b>
	<ul style="list-style-type: none"> <li>• Copy of the Partnership Agreement or equivalent including the full name of the entity and registered address</li> </ul>
	<ul style="list-style-type: none"> <li>• Details of all partners (name, residential address, date of birth, and occupation) or where the Partnership is a Fund</li> </ul>
	<ul style="list-style-type: none"> <li>• Verification of the identity of the General Partner</li> </ul>
	<ul style="list-style-type: none"> <li>• Details of the Partners who own 25% or more of the partnership capital, profit, voting rights or otherwise exercise control over the management of the entity (name, residential address, date of birth, and occupation)</li> </ul>
	<ul style="list-style-type: none"> <li>• Identification documentation of the General Partner or two partners (or one partner and one authorized signatory) as per the legal entity form (see relevant section)</li> </ul>
	<i>IF from a Non-Equivalent Country, all documentation listed above must be provided in certified format. Please also provide the following:</i>
	<ul style="list-style-type: none"> <li>• Certified copy of the partnership agreement</li> </ul>
	<ul style="list-style-type: none"> <li>• Verification of the identity of the General Partner</li> </ul>
	<ul style="list-style-type: none"> <li>• Identification documentation for all partners who own 25% or more of the partnership capital, profit, voting rights or otherwise exercise control over the management of the entity in line with their legal entity form (see relevant section)</li> </ul>

11	LIMITED LIABILITY COMPANIES
	<ul style="list-style-type: none"> <li>• Full name and registered address</li> </ul>
	<ul style="list-style-type: none"> <li>• Operating agreement</li> </ul>
	<ul style="list-style-type: none"> <li>• Copy of the Certificate of Formation or equivalent</li> </ul>
	<ul style="list-style-type: none"> <li>• Identification documentation for two Managing Members (or one Managing Member and one authorized signatory) as per the legal entity form (see relevant section)</li> </ul>
	<ul style="list-style-type: none"> <li>• Details of all Managing Members (name, residential address, date of birth, and occupation)</li> </ul>
	<ul style="list-style-type: none"> <li>• Details of Members who own 25% or more of the share capital, profit, voting rights or otherwise exercise control over the management of the entity (name, residential address, date of birth, and occupation)</li> </ul>
	<i>IF from a Non-Equivalent Country, all documentation listed above must be provided in certified format. Please also provide the following:</i>
	<ul style="list-style-type: none"> <li>• Certified formation documentation and certified documentation for the managing members</li> </ul>
	<ul style="list-style-type: none"> <li>• Identification documentation for all Members beneficially entitled to</li> </ul>
	<ul style="list-style-type: none"> <li>• 25% or more of the share capital, profit voting rights or otherwise exercise control over the management of the entity as per the legal entity form (see relevant section)</li> </ul>
12	REGISTERED CHARITIES/FOUNDATIONS
	<ul style="list-style-type: none"> <li>• Confirmation on nature and purpose of charity including nature of funding</li> </ul>
	<ul style="list-style-type: none"> <li>• Full name and address of the institution</li> </ul>
	<ul style="list-style-type: none"> <li>• Constitutional or Formation document</li> </ul>
	<ul style="list-style-type: none"> <li>• Details of Trustees/Directors/Board Members or the equivalent (name, residential address, date of birth, and occupation)</li> </ul>
	<ul style="list-style-type: none"> <li>• Review of the relevant charities register</li> </ul>
	<ul style="list-style-type: none"> <li>• Identification documentation of either two Trustees/Directors/Board Members or the equivalent (or one Trustee/Director/Board Member or equivalent and one authorized signatory) as per their legal entity form (see relevant section)</li> </ul>
	<ul style="list-style-type: none"> <li>• Details of the beneficiaries (where ascertainable)</li> </ul>
	<i>IF from a Non-Equivalent Country, all documentation listed above must be provided in certified format. Please also provide the following:</i>
	<ul style="list-style-type: none"> <li>• Certified Identification documentation for all beneficiaries who own 25% or more of the charity capital, profit or voting rights or otherwise exercise control over the management of the charity. Documentation required as per the legal entity form (see relevant section)</li> </ul>
	<ul style="list-style-type: none"> <li>• Certified copy of the Audited Financial Statements</li> </ul>
13	SCHOOLS, COLLEGES OR UNIVERSITIES
	<ul style="list-style-type: none"> <li>• Full name</li> </ul>
	<ul style="list-style-type: none"> <li>• Registered office address</li> </ul>
	<ul style="list-style-type: none"> <li>• Copy of the constitutive document / formation document</li> </ul>
	<ul style="list-style-type: none"> <li>• Details of the main officials (name, date of birth)</li> </ul>
	<ul style="list-style-type: none"> <li>• Identification documentation of two officials (or one official and one authorized signatory) as per their legal entity form (see relevant section)</li> </ul>
	<ul style="list-style-type: none"> <li>• Determine the ownership of the entity. In particular, determine if owned publicly or privately. In case of the latter, identify all beneficiaries holding 25% or more of the share capital, profit or voting rights</li> </ul>
	<i>IF from a Non-Equivalent Country, please also provide:</i>
	<ul style="list-style-type: none"> <li>• Certified identification documentation of two officials in line with higher risk requirements</li> </ul>

	<ul style="list-style-type: none"> <li>• Certified formation documentation</li> </ul>
	<ul style="list-style-type: none"> <li>• Certified Identification documentation for all beneficiaries who own or control 25% or more of the entity's share capital, profit or voting rights, where applicable</li> </ul>
14	<b>FUNDS</b>
	<ul style="list-style-type: none"> <li>• Full name of the Fund</li> </ul>
	<ul style="list-style-type: none"> <li>• Registered address of the Fund</li> </ul>
	<ul style="list-style-type: none"> <li>• Copy of the authorized signatory list</li> </ul>
	<ul style="list-style-type: none"> <li>• Copy of the Offering Memorandum/PPM or equivalent</li> </ul>
	<ul style="list-style-type: none"> <li>• Name and address of the Fund's Promoter and Administrator</li> </ul>
	<ul style="list-style-type: none"> <li>• Proof of regulation for the entity conducting the AML on the underlying investors of the Fund</li> </ul>
	<ul style="list-style-type: none"> <li>• Signed AML letter from the administrator on company headed paper IF from a Non-Equivalent Country, OR if entity conducting AML is not regulated in an equivalent country, all documentation listed above must be provided in certified format.</li> </ul>
	<i>Please also provide the following:</i>
	<ul style="list-style-type: none"> <li>• Identification documentation of all investors holding 25% or more of the shares/units in the Fund as per their legal entity form (see relevant section)</li> </ul>

#### SECTION V: POLITICALLY EXPOSED PERSON ("PEP") REPRESENTATION

Politically Exposed Persons ("PEPs"), and immediate family members, and close associates of such persons must also be identified and are subject to Enhanced Due Diligence.

**I am a Politically Exposed Person ("PEP"), and/or immediate family member, and/or close associate of a PEP. *Please provide the following details and complete Schedule I - Source of Wealth Confirmation:***

<b>Name:</b>	
<b>Residential Address:</b>	
<b>Date of Birth:</b>	
<b>Occupation:</b>	

**I am NOT a Politically Exposed Person ("PEP"), and/or immediate family member, and/or close associate of a PEP.**

SECTION VI: SIGNATURES

The undersigned hereby represents that: (i) the information contained herein is complete and accurate and may be relied upon; and (ii) the anti-money laundering representations contained in Section VII are true and correct.

**IN WITNESS WHEREOF**, the undersigned has executed this Anti-Money Laundering Supplement this \_\_\_\_\_ day of \_\_\_\_\_, 202\_\_.

SIGNATURE FOR INVESTOR TYPE 1 - INDIVIDUALS OR JOINT APPLICANTS as outlined in Section IV

Print Name	
Signature	
Print Name	
Signature	

SIGNATURE FOR INVESTOR TYPES 2-13 – COLLECTIVELY “ENTITIES” as outlined in Section IV

Name of Entity	
Authorized Signature	
Name	
Title	

## DEFINITIONS

### **For the purposes of this Supplement:**

**"EQUIVALENT COUNTRY"** means the countries set in SFSIL's country risk assessment memorandum as having an effective AML/CFT system, low level of corruption/criminal activity and/or are in line with FATF recommendations on AML/CFT. The list includes the following countries EU Member States and Australia, Brazil, Canada, The French Overseas Territories of Mayotte, New Caledonia, French Polynesia, Saint Pierre and Miquelon and Wallis and Futuna), Hong Kong, Japan, Israel, Liechtenstein, Malta, The Netherlands (to include Aruba, Curacao and Saint Maarten), Norway, Singapore, South Africa, South Korea, Switzerland, United Kingdom and United States.

**"BENEFICIAL OWNER"** means, in relation to a body corporate, the definition given to it by point 6(a) of Article 3 of the EU Fourth Money Laundering Directive and includes any natural person who ultimately owns or controls the relevant legal entity through direct or indirect ownership of a sufficient percentage of the shares or voting rights or ownership interest in that entity or through control via other means.

**"DESIGNATED PERSON"** is a regulated financial institution (ie, bank or broker-dealer), a credit institution, a financial institution, an auditor, external accountant or tax advisor, a relevant independent legal professional, a trust or company service provider that is located in an Equivalent Country.

**"POLITICALLY EXPOSED PERSON"** A Politically-Exposed Person ("PEP") is an individual who has at any time in the preceding 12 months been entrusted with a prominent public function including either of the following individuals.

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

**"SETTLER"** refers to the individual who created the trust or granted property to the trust.

**"SUITABLE CERTIFIERS"** include a chartered and certified public accountant, notary public, lawyer, embassy and consular staff, Director or Manager of a registered broker-dealer or other regulated financial institution, or a member of the judiciary or a senior civil servant. Each document presented must be marked with the words "original seen' or 'true copy of the original document.' The document must be signed and dated by the individual certifying the document and noting their capacity, contact details, and license number (if applicable).

**SOURCE OF WEALTH CONFIRMATION**

"I/We acknowledge that measures aimed at the prevention of money laundering and terrorist financing will require the verification of my/our identity, address and source of funds and in certain circumstances of the relevant beneficial owner. In addition, this also requires the ongoing monitoring of our business relationship. I/we also acknowledge that the commencement of a business relationship with politically exposed persons, commonly referred to as PEPs, requires a higher level of scrutiny. A PEP is an individual who is or has, at any time in the preceding 12 months, been entrusted with a prominent public function, his/her immediate family members and/or close associates of such person.

**PEP Confirmation**

I/We confirm that I am/we are a PEP Y/N

In the case of an incorporated applicant, I confirm that the beneficial owner(s) is/are PEPs Y/N

**Source of Wealth**

If you have answered Yes to either of the previous questions, please complete the following:

To comply with the requirements of the Criminal Justice (Money Laundering and Terrorist Financing) Act 2010-2018, you are required to provide information to confirm the source of funds and source of wealth in respect of the amount you are investing. This checklist must be signed and dated by either the investor(s) or the intermediary.

**Please fully complete the appropriate sections and associated details below.**

**Individual Investors:** Please ensure that both A and C below are fully completed

**Corporate Investors:** Please ensure that both B and C below are fully completed

**A** Individuals (to be completed in respect of single and joint applicants)

Occupation	
Employer (omit if retired)	
Annual Income (omit if retired)	

Source of funds		
Income		
Savings		
Inheritance	Benefactor	
	Date	
	Type of assets	
Sale of existing assets	sold	

Other Please specify

Details of Additional Assets Held

Cash	Value	<input type="text"/>
Property	Value	<input type="text"/>
Shares/Bonds	Value	<input type="text"/>
Other (Details)		<input type="text"/>

None

Investor's net worth (total assets less liabilities) In respect of joint applicants, combined total net worth

- USD/EUR 100,000 to 500,000
- USD/EUR 500,001 to 1,000,000
- USD/EUR 1,000,001 to 1,250,000
- More than USD/EUR 1,250,000

**B Corporate**

Please provide one of the following

- (i) an original document or certified true copy of latest audited financial statements, or
- (ii) an original document or certified true copy of latest financial statements, or
- (iv) confirmation that (i) or (ii) are not produced plus details of the corporate's:

1. Activities and nature of business activity
2. Annual net profits for previous and current financial years and net assets at end of current and previous financial years
3. Anticipated level of investment in products offered by SS&C in the coming 12 months

**C This checklist must be signed and dated by the investor(s) or the intermediary**

Prepared by (capitals)	<input type="text"/>
Name of investor	<input type="text"/>
or Name of intermediary	<input type="text"/>
Signature	<input type="text"/>
Date	<input type="text"/>

**(Please complete fully as incomplete applications may be rejected)**

I/We acknowledge that the Administrator reserves the right not to issue shares/units until such time as the Administrator has received and is satisfied with all the information and documentation requested to verify my/our identity, address, PEP status and source of funds. I/We also acknowledge that the Administrator shall be held harmless by me/us against any loss suffered by the Administrator arising as a result of a failure to process my/our application for shares/units if such information and documentation as has been requested by the Administrator has not been provided by me/us. I/We also confirm that if my status changes I/we will alert the administrator"







**ULTIMATE BENEFICIAL OWNERSHIP DECLARATION**

The undersigned [Name]	
is an authorized signatory of	
a company incorporated under the laws of	
having its registered office at	
and registered and / or regulated with	

**Please select the correct option:**

**Option 1**

No individual holds equal to or more than 25% interest in the investment as its ultimate beneficial owner;

**Option 2**

[Name of Shareholder who directly/indirectly owns more than 25% of the investment]

\_\_\_\_\_ holds \_\_\_\_% interest in the investment as its ultimate beneficial owner;

**Date/Month/Year:**

**Full Name:**

**Signature:**

**Title:**


## APPENDIX 2 – INDIVIDUAL (INCLUDING CONTROLLING PERSONS) SELF CERTIFICATION FOR FATCA AND CRS

### Instructions for completion and Data Protection Notice

We are obliged under Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this form you are providing personal information which may constitute personal data within the meaning of the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2018. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Company, with the Irish tax authorities, the Revenue Commissioners. They may in turn exchange this information, and other financial information with foreign tax authorities, including tax authorities outside the EU.

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

For further information and guidance on FATCA or CRS please refer to the Irish Revenue or OECD websites at: <http://www.revenue.ie/en/business/aeoi/index.html>

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

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

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

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

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

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

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

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

\*Current Residential Address:

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

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

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

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

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

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

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

\*Place and Date of Birth

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

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

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

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

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

\_\_\_\_\_

**OR**

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

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

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

For further guidance on Tax Residence and TINs, please refer to the OECD CRS Information Portal

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

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

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

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

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

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

#### Section 4 – Type of Controlling Person

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

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

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

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

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

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

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

**Data Protection - Customer Information Notice:**

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

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

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

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

Further information is available on the OECD website: <http://oecd.org/tax/automatic-exchange/>

And on the Irish Revenue website -<https://www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx>

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

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

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

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

## APPENDIX 3 – ENTITY SELF CERTIFICATION FOR FATCA AND CRS

### Instructions for completion and Data Protection notice.

We are obliged under Section 891E, Section 891F, and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this application form you are providing personal information, which may constitute personal data within the meaning of the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2018). Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Company, with the Irish tax authorities, the Revenue Commissioners. They in turn may exchange this information, and other financial information with foreign tax authorities, including tax authorities located outside the EU.

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

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

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

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

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

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

(Mandatory fields are marked with an \*)

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### \*Section 1: Account Holder Identification

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

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

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

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

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

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

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

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

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

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



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

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

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

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

**Or**

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

**Or**

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

Indicate exemption: \_\_\_\_\_

**\*Section 3: Entity's FATCA Classification**

(the information provided in this section is for FATCA, please note your FATCA classification may differ from your CRS classification in Section 5):

**3.1 Financial Institutions under FATCA:**

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

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

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

□□□□□□.□□□□□□.□□.□□□□

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

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

**3.4. Non-Financial Institutions (“NFFE”) under FATCA:**

If the Entity is **not** a Financial Institution, please confirm the Entity's FATCA classification below by ticking one of the below categories;

I.	<p><b>Active NFFE</b></p>	<input type="checkbox"/>
II.	<p><b>Passive NFFE</b> (Please tick the box that applies)</p> <p><b>I. Passive NFFE with no Controlling Persons that are specified U.S Persons.</b></p> <p><b>II. Passive NFFE with Controlling Persons that are specified U.S Persons.</b> (If this box is ticked, please also complete section 6.1 for each of the Controlling Person(s) of the Entity and complete an “Individual (Including Controlling Person(s) Self-certification for FATCA and CRS” form for each Controlling Person(s) as outlined in section 6.2).</p>	<input type="checkbox"/>
III.	<p><b>Excepted NFFE</b></p>	<input type="checkbox"/>
IV.	<p><b>Direct Reporting NFFE</b></p> <p>Please provide your GIIN □□□□□□.□□□□□□.□□.□□□□</p>	<input type="checkbox"/>

**(Note that Entities may have more than one country of Tax Residence)**

Please indicate the Entity's country of tax residence for CRS purposes, (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers ("TIN")). Please refer to the OECD CRS Web Portal for AEOI for more information on Tax Residence and TIN's. <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>.

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

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

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

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

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

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

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

\_\_\_\_\_

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

\_\_\_\_\_

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

(The information provided in this section is for CRS. Please note an Entity's CRS classification may differ from its FATCA classification in Section 3 above). In addition, please note that the information that the Entity has to provide may differ depending on whether they are resident in a participating or non-participating CRS Jurisdiction. For more information, please see the OECD CRS Standard and Effective Date of Application Form: 1 January 2022

### 5.1 Financial Institutions under CRS:

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

*Note: Please check the Irish Revenue AEOI portal at the time of completion of this form to confirm whether your country of Tax Jurisdiction is considered Participating or Non-Participating for the purposes of CRS Due-Diligence in Ireland.*  
<https://www.revenue.ie/en/companies-and-charities/documents/aeoi/participating-jurisdictions.pdf>

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

### 5.2 Non Financial Institution (“NFE”) under CRS:

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

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

**Section 6: Controlling Persons**

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

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

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

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

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

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

I.	
II.	
III.	

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

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

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

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

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

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

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

\_\_\_\_\_

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

\_\_\_\_\_

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

\_\_\_\_\_

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

## APPENDIX 4 - DECLARATIONS

### Natural Persons Declaration

1. I/We agree undertake to ensure all such information is up to date and will notify the Administrator of any change in the information provided as soon as reasonably possible.
2. I/We agree to indemnify and hold harmless the Company and the Administrator in its capacity as "Paying Agent" against any loss liability costs or expenses which may be incurred by the Company and/or the Administrator arising out of or in connection with my /our failure to provide the information required. I/We acknowledge that Shares may not be issued and repurchase proceeds may be frozen until all required information and documentation (to include anti-money laundering documentation) required by the Company and the Administrator is provided.

### Electronic Dealing and Communications Declaration

In the event that I/we and subject to prior written agreement with the Administrator decide to send applications, redemptions and instructions electronically (not including by way of facsimile) acknowledge as follows:

1. I/We acknowledge that electronic communications (not including facsimile) whether by email, SWIFT messaging or other electronic means may be an unsafe method of communication and may be lost, subject to delays, interference by third parties, viruses and their confidentiality, security and integrity cannot be guaranteed. Further, I/we acknowledge and understand that electronic communications (not including facsimile) cannot be guaranteed to be error-free.
2. I/We hereby confirm that I/we will not hold the Company, the Management Company, the Investment Manager, the Administrator and the Depository or any of their directors, officers, employees or agents liable now, or at any time for any loss, damage, financial or otherwise which I/we may suffer arising out of or in connection with any interception or breach of confidentiality or integrity or arising out of or in connection with any delays, inaccuracy, imperfection, lack of quality, ineffective transmission, viruses, alteration or distortion howsoever arising affecting such electronic communication (not including facsimile).
3. I/We undertake to keep each of the Company, the Management Company, the Investment Manager, the Administrator and the Depository indemnified at all times against, and to save each of the Company, the Management Company, the Investment Manager, the Administrator and the Depository harmless from all actions, proceedings, claims, losses, damages, costs and expenses which may be brought against the Company, the Management Company, the Investment Manager, the Administrator and the Depository or suffered or incurred by the Company, the Management Company, the Investment Manager, the Administrator and the Depository and which shall have arisen either directly or indirectly out of or in connection with me /us sending electronic communications (not including facsimile). I/We acknowledge and understand that electronic communication (not including facsimile) received from us will not be verified by you.
4. I/We confirm that I/we, shall not send or transmit or arrange for any sending or transmitting on our behalf, any electronic communication (including facsimile) which contains a virus or other media damaging to your property or computer systems or which may be defamatory, libellous, slanderous, obscene, abusive, offensive, menacing or immoral and will abide with all relevant laws and regulations and international conventions or treaties governing the content of and the transmission of such electronic communications.
5. In the event that I/we are unable to send you instructions by electronic transmission due to either a failure in or shut-down of my/our or the Administrators' or other relevant party's internet system whether temporary or otherwise, I/we will send you instructions by facsimile.
6. The Company, the Management Company, the Investment Manager, the Administrator and the Depository may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction, electronic instructions, electronic subscriptions and redemptions or other instrument (not including facsimile) believed, in good faith, to be genuine.

In respect of all other communications sent electronically by or on behalf of the Company:

7. I/we hereby consent to electronic delivery of notices, communications, reports, fund documentation to the e-mail address(s)

provided in this Application Form and in consideration of the Administrator issuing notices, communications and reports electronically,

8. I/we hereby agree as follows: use of electronic communications shall be subject to the requirements and authentication procedures of the Administrator, I/we acknowledge that it is not possible to secure and maintain confidential electronic communications ("Electronic Communications"), that any such Electronic Communications can be delivered to a wrong address or that delivery of the same may not be timely; that any such Electronic Communications are capable of being intercepted by third parties at any time and accordingly that the confidentiality, security and integrity of any Electronic Communications cannot be assured.
9. I/we shall not hold the Company or the Administrator or any director, officer, employee or agent thereof, liable now or at any time for any damage, financial or otherwise, which I/we may suffer as a result of any of the matters outlined above with respect to any Electronic Communication affected between the Company or the Administrator and me/us or any person or entity that we authorise to receive information relating to my / our holding in the Company, or otherwise by reason of any third party receiving, gaining access to, obtaining, altering or distorting any information or documentation transmitted via Internet Communications or by reason of any other inaccuracy, imperfection, lack of quality, ineffective transmission, delay, alteration or distortion howsoever arising affecting such Electronic Communications or in respect of any other document, financial data or other information prepared, circulated or otherwise processed by the Administrator.
10. I/we shall indemnify and keep indemnified the Company and the Administrator and any of its directors, officers, employees or agents against all losses, costs, damages, claims, demands and expenses (including claims or other demands whatsoever taken or made by any internet service provider) which any of them may suffer incur or sustain by reason of, sending Electronic Communications to any party and/ or receiving Electronic Communications from any party and / or dealing with any Electronic Communications in respect of me/us.



## General Declarations

1. I/We understand that Shares in the Company are issued in registered form, proof of title is evidenced by reference to the Register and Share Certificates will not be issued.
2. I/We, the undersigned, declare that I/we am/are over the age of 18, not a US Person as defined in the Prospectus or a benefit plan as defined in the US Employee Retirement Income Security Act 1974 (as amended, updated or replaced from time to time) ("ERISA Plan") and that I/we are not acting on behalf of a US Person(s) or an ERISA Plan, nor do we intend selling or transferring any Shares which we may purchase to any person who is a US Person or to an ERISA Plan. Should I/we become resident or ordinarily resident in the US or an ERISA Plan I/we will bring this fact to the immediate attention of the Company and the Administrator.
3. 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 from 1 July 2014.
4. Furthermore, I/We hereby acknowledge that the Company intends to take such steps as may be required to satisfy any obligations imposed by (i) the OECD's Standard for Automatic Exchange of Financial Account Information in Tax Matters ("the Standard"), which therein contains the Common Reporting Standard, as applied in Ireland by means of the relevant international legal framework and Irish tax legislation and (ii) EU Council Directive 2014/107/EU, amending Directive 2011/16/EU as regards mandatory automatic exchange information in the field of taxation ("DAC2"), as applied in Ireland by means of the relevant Irish tax legislation, so as to ensure compliance or deemed compliance (as the case may be) with the Standard/CRS and the DAC2 from 1 January 2016 (hereafter collectively referred to as "CRS").
5. In order for the Company to comply with the above FATCA and CRS obligations, I/We agree to provide to the Company, the Management Company, the Investment Manager and the Administrator the necessary declarations, confirmations and/or classifications at such times as each of them may request and furthermore provide any supporting certificates or documents as each of them may reasonably require in connection with this investment by reason of FATCA or CRS, as described above, or otherwise. Should any information furnished to any of them become inaccurate or incomplete in any way, I/we hereby agree to notify the Company, the Management Company, the Investment Manager and the Administrator immediately of any such change and further agree to immediately take such action as the Company, the Management Company, the Investment Manager, and the Administrator 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, the Management Company, the Investment Manager and the Administrator (as applicable). If relevant, I/we agree to notify the Administrator of any change to my/our tax residency status. I/we hereby also agree to indemnify and keep indemnified the Company, the Management Company, the Investment Manager and the Administrator against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly as a result of a failure to meet our obligations pursuant to this section or failure to provide such information which has been requested by the Investment Manager and/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 Investment Manager or the Administrator. I/We further acknowledge that a failure to comply with the foregoing obligations or failure to provide the necessary information required may result in the compulsory redemption of our entire holding in the Company, and that the Company and the Depositary are 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 and the Depositary 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.
6. I/We confirm that we have accurately and correctly completed the relevant self-certification form(s) included herein. I/We further confirm that if any information included in the self-certification form subsequently becomes inaccurate or incorrect we will notify the Company, the Management Company, the Investment Manager and the Administrator immediately of any such change and agree to immediately take such action as the Company, the Management Company, the Investment Manager and/or the Administrator may direct, including where appropriate, redemption of our Shares.
7. 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.

8. I/We acknowledge that the Company intends to take such steps as may be required to satisfy any obligations imposed by Council Directive (EU) 2018/822 (amending Directive 2011/16/EU), as applied in Ireland by means of the relevant Irish tax legislation ("DAC6"). I/We further acknowledge that this may, in specific circumstances, require the Company or any party that falls to be considered an "intermediary" for the purposes of DAC6 to exchange certain of 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.
9. 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.
10. In accordance with the provisions of the applicable Irish data protection law, and, as of 25 May 2018, the provisions of the Regulation no. 2016/679 of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (together the "**Data Protection Law**"), I/we are informed that personal data given in this Application Form (or otherwise provided in connection with an application to subscribe for Shares in the Company, on application or at any other time, including without limitation my/our name, age, contact details, bank account details, transactions and the invested amount, and any information regarding the dealing in Shares (subscription, conversion, redemption and transfer) (the "**Personal Data**"), will be collected, recorded, stored, adapted, transferred and processed, by electronic means or otherwise, by the Company (a "**Data Controller**") as further described under the Data Privacy Statement attached at Appendix 7 of this Application Form (or otherwise available upon request).
11. 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 will not be in breach of any laws or regulations of any competent jurisdiction and I/we hereby agree to indemnify the Company, the Depositary, the Administrator and other Shareholders for any loss suffered by them arising out of or in connection with this warranty/representation not being true in every respect.
12. I/We, hereby confirm that the Company, the Directors and the Administrator are each authorised and instructed to accept, execute, process any instructions including subscription and/or redemption instructions, instructions relating to payment of redemption proceeds, given by me/us in original formator by facsimile or email. I/We acknowledge that facsimile instructions are not secure means of communication, and are aware of the risks involved. I/We hereby indemnify the Company, 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 arising out or in connection with any of them acting on facsimile instructions. The Company, 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. 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 affected until such time as a facsimile instruction requesting this change is forwarded by me/us to the Administrator, together with any other documentation required by the Administrator, including original documentation required for anti-money laundering purposes. Similarly, I/we understand that while an initial application will be actioned upon receipt of a fax or email, with the original to follow promptly, I/we understand that this will not be processed in the absence of a courier tracking reference number in respect of the original signed form. I/we undertake to promptly provide the original copy of the completed application form used on initial subscription. I/We acknowledge that redemption proceeds will 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.
13. I/we hereby acknowledge that I/we have been provided with the current key investor information document(s) ("KIID") in issue for the relevant Class prior to subscribing for that Class in the relevant sub-fund. I/we hereby acknowledge that the current key investor information document(s) in issue for the relevant Class may, at the discretion of the Directors, be provided to me/us in paper copy or by means of the [www.ericsturdza.com](http://www.ericsturdza.com) website. I/we hereby further acknowledge that should the Directors, the Management Company or the Investment Manager provide the current key investor information document(s) in issue for the relevant Class by means of a the [www.eisturdza.com](http://www.eisturdza.com) website, I/we may request a paper copy to be delivered to me/us free of charge. I/we hereby further acknowledge that prior to making any further subscription (including any conversion) for the relevant Class in the relevant sub-fund or other Classes in other sub-funds, the relevant and current KIID(s) in issue for the relevant Class will be provided to me/us by either requesting from the Company, the Management Company and/or the Investment Manager that a paper copy be delivered to me/us or via the [www.ericsturdza.com](http://www.ericsturdza.com) website

14. I/We, having received and considered a copy of the Prospectus and KIID current at the date of this subscription or as supplemented from time to time, hereby confirm that this Application is based solely on the Prospectus, KIID and material contracts referred to therein, together (where applicable) with the most recent Annual Report and Accounts of the Company and (if issued after such report and accounts) its most recent Unaudited Semi-Annual Report. I/We hereby undertake to observe and be bound by the provisions of the Memorandum and Articles of Association of the Company and apply to be entered in the Register of Shareholders as the holder/holders of the Shares issued in relation to this Application.
15. I/We hereby acknowledge that I/we have read and fully considered and understand the Prospectus in connection with this Application for Shares in the Company and that I/we have evaluated our investment in the Company in the light of 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 our investment. I/We hereby further acknowledge that I/we are applying for Shares on the basis of the Prospectus 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.
16. 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 may reasonably require to substantiate such representations.
17. 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 sell or to tender to the Company for redemption a sufficient number of Shares to allow the confirmation to be made.
18. I/We hereby accept such lesser number of Shares, if any, that may be specified above in respect of which this Application may be accepted.
19. I/We understand that it may be difficult or even impossible for us to transfer Shares due to the lack of an active secondary market.
20. (In respect of Joint applicants only) We direct that on the death of one of us, the Shares for which we hereby apply be held in the name of and to the order of the survivor or survivors of us or the executor of such survivor or survivors.
21. I/We undertake that I/we will not create or sell to any third party, any form of product which is in any way connected to the performance of the Company or any of its sub-funds.
22. I/We hereby confirm that subscription monies delivered by me/us to the Company prior to the relevant Dealing Day or prior to the end of an initial offer period, as the case may be, are not to be held on trust for me/us by the Company. I/We confirm that, upon receipt by the Company, such subscription monies are (and are to be held as) assets of the relevant Company, attributable to the relevant sub-fund. I/We, accordingly, agree that I/We shall be treated for all purposes as a creditor of the Company up until the relevant Dealing Day or end of an initial offer period, as the case may be, at which point, upon the issuance of shares to me/us, I/We shall become a shareholder.
23. I/We further acknowledge that (i) The Central Bank (Supervision and Enforcement) Act 2013 (Section 48(1)) Investor Money Regulations 2015 for Fund Service Providers or equivalent client money protections do not apply and (ii) my/our cash may be held in an omnibus client account and that, in the event of a shortfall for any reason, I/We will share pro-rata in the short-fall with other investors whose cash has been pooled in that account.

#### **Anti-Money Laundering Declarations**

1. I/We acknowledge that measures aimed at the prevention of money laundering and terrorist financing will require a detail of my/our identity, address and source of funds and where applicable other persons including but not limited to any beneficial owner on a risk sensitive basis and the ongoing monitoring of my/our business relationship with the Company. I/we also acknowledge that politically exposed persons ("PEPs"), and immediate family members, and close associates of such persons (as such terms are defined below) must also be identified. I/We further acknowledge that the Administrator reserves the right not to issue Shares until such time as the Administrator has received and is satisfied with all the information and documentation requested to verify my/our identity, address and source of funds and where applicable other persons including but not limited to any beneficial owner. I/We acknowledge that the Administrator shall be held harmless against any loss arising out of or in connection with a failure to process my/our application for Shares if such information and documentation as has been requested by the Administrator has not been provided by me/us.
2. I/We acknowledge that the Company and/ or the Administrator also reserves the right to refuse to make any redemption payment or distribution to a Shareholder if any of the Directors of the Company and / or the Administrator suspects or

is advised that the payment of any redemption or distribution moneys to such Shareholder might result in a breach or violation of any applicable anti-money laundering or other laws or regulations by any person in any relevant jurisdiction, or such refusal is considered necessary or appropriate to ensure the compliance by the Company, its Directors or the Administrator with any such laws or regulations in any relevant jurisdiction.

3. I/We acknowledge that any failure to provide complete identification and verification documentation at the account opening stage will result in my/our account being blocked for both redemptions pending receipt of the outstanding documentation. I/We acknowledge that I/we may be classified as a non-compliant investor. Distributions may be processed for non-compliant investors. However, if a cash option has been selected, the proceeds will be withheld until such a time as the Administrator is in receipt of all of the required documentation in the required format. If reinvestment has been selected, the dividend will be reinvested into the investor account.
4. Furthermore, where such documentation remains outstanding for ninety (90) days from the date of the initial subscription all transactions including additional subscriptions may be blocked pending receipt of the outstanding documentation.
5. I/We acknowledge that any failure to provide complete identification and verification documentation upon request at any other stage during the course of the business relationship will result in my/our account being blocked for both redemptions and cash distribution payments pending receipt of the outstanding documentation. I/We acknowledge that I/we may be classified as a non-compliant investor. Furthermore, where such documentation remains outstanding for ninety (90) days from the date of the initial request for documentation all transactions including additional subscriptions may be blocked pending receipt of the outstanding documentation.
6. I/We acknowledge that the Investment Manager and/or the Board of Directors have the right to discontinue the business relationship with me/us upon my/our being classified as a non-compliant investor or a non-compliant legacy investor.
7. I/We understand and agree that the Company prohibits the investment of funds by any persons or entities that are acting, directly or indirectly, (i) in contravention of any applicable laws and regulations, including anti-money laundering regulations or conventions, (ii) on behalf of terrorists or terrorist organisations, including those persons or entities that are included on the List of Specially Designated Nationals and Blocked Persons maintained by the U.S. Treasury Department's Office of Foreign Assets Control ("OFAC"), as such list may be amended from time to time, (iii) for a politically exposed person<sup>1</sup>, any member of a politically exposed persons immediate family<sup>2</sup> or any close associate<sup>2</sup> of a politically exposed person, unless the Company after being specifically notified by me/us in writing that I/we am/are such a person, conducts further due diligence, and determines that such investment shall be permitted, or (iv) for a shell bank<sup>2</sup> (such persons or entities in (i) - (iv) are collectively referred to as "Prohibited Persons").
8. I/We represent, warrant and covenant that: (i) I/we am/are not, nor is any person or entity controlling, controlled by or under common control with me/us, a Prohibited Person, and (ii) to the extent I/we have any beneficial owners, (a) I/we have carried out thorough due diligence to establish the identities of such beneficial owners, (b) based on such due diligence, I/we reasonably believe that no such beneficial owners are Prohibited Persons, (c) I/we hold the evidence of such identities and status and will maintain all such evidence for at least five (5) years from the date of my/our complete redemption from the Company and (d) I/we will make available such information and any additional information that the Company, the Management Company and / or Administrator may require upon request.
9. If any of the foregoing representations, warranties or covenants ceases to be true or if the 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 and / or Administrator may be obligated 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 may also be required to report such action and to disclose my/our identity to OFAC or other

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<sup>1</sup> Refer to definition of PEP in Appendix 1.

<sup>2</sup> Shell bank" means a credit institution (or a body corporate that is engaged in activities equivalent to a credit institution) that—  
(a) does not have a physical presence, involving meaningful decision-making and management, in the jurisdiction in which it is incorporated,  
(b) is not authorised to operate, and is not subject to supervision, as a credit institution (or equivalent) in the jurisdiction in which it is incorporated, and  
(c) is not affiliated with another body corporate that—(i) has a physical presence, involving meaningful decision-making and management, in the jurisdiction in which it is incorporated, and (ii) is authorised to operate, and is subject to supervision, as a credit institution or an insurance undertaking, in the jurisdiction in which it is incorporated.

authority. In the event that the 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 and / or Administrator, the Investment Manager, the Administrator, and their respective affiliates, directors, members, partners, shareholders, officers, employees and agents for any form of damages arising out of or in connection with any of the aforementioned actions.

10. I/We understand and agree that any redemption proceeds paid to me/us will only be paid to a bank account in my/our name and with a recognised financial institution.
11. I/We agree to indemnify and hold harmless the Company, the Management Company, the Investment Manager, the Administrator, and their respective affiliates, directors, members, partners, shareholders, officers, employees and agents from and against any and all losses, liabilities, damages, penalties, costs, fees and expenses (including legal fees and disbursements) arising either directly or indirectly out of or in connection with any inaccuracy in or breach of any representation, warranty, covenant or agreement set forth in this section.
12. I/We acknowledge that the Administrator in its absolute discretion reserves the right to request from the applicant any such other or additional documentation from that outlined below when it deems it appropriate to do so to enable the Administrator to determine the applicant's compliance with applicable regulatory requirements or the applicant's anti-money laundering and terrorist financing verification status on a risk sensitive basis and the applicant shall provide to the Administrator from time to time such information as may reasonably be requested. Each person acquiring Shares in the Company must satisfy the foregoing both at the time of initial subscription and at all times thereafter until such person cease to be a Shareholder. Accordingly, the applicant agrees to notify the Administrator promptly if there is any change with respect to any of the foregoing and / or below information, declarations or representations and to provide the Administrator with such further information as the Administrator may reasonably require.

**(Select and complete this section as appropriate)**

13. **Relevant third Parties**<sup>3</sup> only I/We declare that I am/we are licensed as ..... (description) by the ..... (regulatory body) under the laws of ..... (country) and am/are thereby subject to regulations and/or guidelines which to the best of my/our knowledge and understanding are in accordance with the Financial Action Task Force ("FATF") Recommendations on the prevention of money-laundering and terrorist financing. We attach independent verification of our licensed status. This application is made in my/our name on behalf of my/our clients whose identity has been properly verified by me/us in accordance with the guidelines. Evidence of such verification will be retained for such period as is required by the country of our domicile and will be promptly supplied to the Administrator or the Company upon reasonable request. We confirm that we have adopted measures to prevent and detect the commission of an offence of money laundering and / or financing terrorism and that all employees, directors and other officers have received the appropriate level of training to ensure these measures are applied. Furthermore, should our licence or registration as noted above be revoked or altered at any future time or if the situation with regard to any of the clients introduced has changed, we undertake to advise you immediately. We further confirm we will provide the Administrator if requested with a letter of assurance in connection with these matters in a form acceptable to the Administrator.

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<sup>3</sup> "Relevant third party" as agreed by the Fund and the Administrator and defined in Section 40 of the Irish Criminal Justice (Money Laundering & Terrorist Financing) Act 2010 refers to a person who, in a Member State or designated place, carries on business and is (i) a credit institution, (ii) a financial institution (other than an undertaking that is a financial institution solely because the undertaking provides either foreign exchange services or payment services, or both), (iii) an external accountant, auditor, tax adviser, legal professional or trust or company service provider subject to mandatory professional registration or mandatory professional supervision under the laws the Member State or designated place.

## APPENDIX 5 - DECLARATION OF RESIDENCE OUTSIDE IRELAND

*(non-resident composite declaration)*

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

### 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 will/we will\* so inform you, in writing, accordingly.

### Declaration as Intermediary

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

- who will be beneficially entitled to the Shares; and,
- who, to the best of my/our\* knowledge and belief, are neither Irish Resident nor Ordinarily Resident in Ireland.

I/we\* also declare that:

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

\*Delete as appropriate

Name and Address of Subscriber \_\_\_\_\_  
\_\_\_\_\_

Signature of Subscriber or authorised signatory: \_\_\_\_\_(declarant)

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

Joint Applicants

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

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

### **IMPORTANT NOTES**

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

## APPENDIX 6 - 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 Company must collect the following additional information from any applicants<sup>4</sup> which are Irish Resident or Ordinarily Resident in Ireland (that are not excepted unit holders within the meaning of the Regulations):

<b>Tax Reference Number (TRN) / PPS Number<sup>5</sup></b>	
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Furthermore, the Regulation requires the Company to seek appropriate documentation from the applicant to verify the above TRN or PPS Number. Any one of the following additional documents (copy or original) is sufficient;

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

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

*Your personal information will be handled by the Administrator or its duly appointed delegates as Data Processor for the Company in accordance with the provisions of the applicable Irish data protection law, and, as of 25 May 2018, the provisions of the Regulation no. 2016/679 of 27 April 2016 on the protection of natural persons with regard to the processing of personal data and on the free movement of such data (together the "Data Protection Law"). In particular, all the relevant security measures will be taken to ensure an adequate level of protection of the personal data against unauthorised access, accidental loss or destruction. Your information*

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<sup>4</sup> Where an applicant is an intermediary and that applicant is the registered unit holder, reporting obligations under the regulations may be carried out on the basis that the intermediary is the unit holder. For these purposes, intermediary has the same meaning as in Section 739B (1) TCA 1997.

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



*provided herein will be processed for the purposes of complying with the Regulations and this may include disclosure to the Irish Revenue Commissioners.*

## APPENDIX 7

### – DATA PRIVACY STATEMENT

In accordance with the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2003) (collectively, "Data Protection Legislation") E.I. Sturdza Funds plc (the "Company") being a data controller, must provide you with information on how the personal data that you provide as part of your subscription to shares in the Company will be processed by the Company, its service providers and delegates and their duly authorised agents and any of their respective related, associated or affiliated companies.

As a consequence of your investment, the Company acting as a data controller may itself (or through third parties including but not limited to SS&C Financial Services (Ireland) Limited (the "Administrator"), Eric Sturdza Management Company S.A. (the "Management Company"), E.I. Sturdza Strategic Management Limited (the "Investment Manager" and "Global Distributor"), the relevant investment adviser appointed in respect of the relevant sub-fund of the Company (collectively the "Investment Advisers") together with any sub-distributors that may be appointed from time to time (collectively the "Distributors"), local paying agents and mailing firms appointed by any of the foregoing (together the "Service Providers") process your personal information or that of your directors, officers, employees, intermediaries and/or beneficial owners.

BNY Mellon Trust Company (Ireland) Limited (the "Depository") may use your personal data where this is necessary for compliance with a legal obligation to which it is directly subject (i.e. to comply with applicable law in the area of anti-money laundering and counter terrorist financing or where mandated by a court order or regulatory sanction). The Depository, in respect of this specific use of personal data, acts as a data controller.

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.

Processing Activity by or on behalf of the Company	Legal Basis for Processing
Where you are a natural person, opening your account with the Company and managing and administering your holdings in the Company and any related account on an ongoing basis	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.

Processing Activity by or on behalf of the Company	Legal Basis for Processing
Where you as an investor are a non-natural person, disclosures to third parties such as auditors, regulatory bodies, tax authorities and technology providers in the context of the day to day operations of the Company.	Pursuing the legitimate interests of the Company in managing and administering the holdings of the non-natural persons 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 Irish 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.
<p>(i) Carrying out statistical analysis and market research for the following purposes: sales reporting and developing trend analysis; and</p> <p>(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.</p>	<p>Pursuing the legitimate interests of the Company in developing the fund distribution and sales activity based on investor category.</p> <p>Further information relating to the balancing test undertaken by the Company in respect of such processing is available upon request.</p>

**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 anti-money laundering and counter terrorist financing legislation and with UN, EU and other applicable sanctions regimes. Further information is available in the prospectus for the Company.

### **Subsequent Investment into other sub-funds**

The Company and its appointed Administrator and data processor shall obtain, hold and use your AML related documentation and information to clear your investment in respect of a relevant sub-fund of the Company and to the extent applicable, and in accordance with AML requirements, may leverage your existing AML data provided by you if you wish to invest into another sub-fund of the Company. The Company and its appointed Administrator and data processor will always have the discretion to request additional data and information, should this be required.

### **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 related, associated or affiliated 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 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 Ireland.

Where data transfers outside of the EEA take place, the Company and/or the relevant Service Provider have 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 the implementation of binding corporate rules between companies within the E.I Sturdza and SS&C Group and/or ensuring the implementation of model contracts by the Service Providers and their affiliates. Please contact the Administrator and/or Investment Manager, as the case may be should you wish to obtain information concerning such safeguards.

### **Data Retention Period**

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

### **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 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, 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**

Please see the prospectus for the Fund for further information on failure to provide personal data.

### **Contact us**

If you have any questions about the Company's use of your personal information, please contact Compliance at the following email address/using the following contact telephone number:-

Email Address            data.privacy@ericsturdza.lu

Phone number            00352 28 99 19 10