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# The Mercantile Diversified Fund

A SUB-FUND OF THE MULTI-MANAGER UCITS PLATFORM FUND PLC

## Application Form

1. Complete and sign this Application Form
2. Pay the subscription amount by bank transfer to the relevant account as specified in the BANK REMITTANCE (pg 6)
3. Provide those documents required under  
APPENDIX I – INTRODUCTION CERTIFICATE  
APPENDIX II – CLIENT VERIFICATION REQUIREMENT'S  
APPENDIX III – FATCA SELF-CERTIFICATIONS
4. Submit the above documentation to the Administrator:

**Apex Fund Services (Ireland) Limited**

Electronic copies - [mercantile@apexfunds.ie](mailto:mercantile@apexfunds.ie)

Original copies - Apex Fund Services (Ireland) Limited

Office 5, Building A1, Fota Business Park, Carrigtwohill, Co. Cork, Ireland.

Tel: +353 21 463 3366

The applicant is strongly recommended to read and consider the Fund Prospectus and Key Investor Information Document (KIID), before completing this Application Form. By completing and signing this Application, you will be deemed to have received and read the Fund Prospectus and KIID.

This Application Form once duly completed and signed by you and accepted by or on behalf of the Fund, constitutes a binding and legal document between the Fund and you and forms the basis, in addition to the Prospectus and KIID, on which you agree to make and invest your commitment and your subscription for Shares.

INDIVIDUAL INVESTOR

<b>Individual Information</b>	
Name	
Date of Birth	
Place of Birth	
Country of Residence	
Passport Number	
Registered Address	
Telephone Number	
Email Address	
Source of Funds	
<b>Joint Applicant Information (if applicable- for joint application by an individual)</b>	
Name	
Date of Birth	
Place of Birth	
Country of Residence	
Passport Number	
Registered Address	
Telephone Number	
Email Address	
Source of Funds	

Please note that where an additional Applicant is involved this legally vests ownership with both parties jointly. In all instances BOTH signatures are required on any instruction. Applicants are urged to familiarise themselves with the implications of such joint ownership on death of one or both parties.

**LEGAL ENTITY (COMPANY/ TRUST/PARTNERSHIP)**

Legal Entity Information		
Registered Name		
Trading Name		
Registration Number		
Country of Incorporation		
Registered Address		
Telephone Number		
Fax Number		
Email Address		
Name of Directors / Partners / Settlor / Founders / Beneficiaries	Name:	Designation:
Source of Funds		

Contact Details of Primary Authorised Representative of Legal Entity	
Name	
Date of Birth	
Place of Birth	
Country of Residence	
Passport Number	
Registered Address	
Telephone Number	
Email Address	

**BANKING INFORMATION (NOTE THESE BANKING DETAILS WILL BE USED FOR REDEMPTIONS)**

Bank Name	
Bank Address	
Account Name	
Sort Code	
Account Number	
Swift / ABA / FED / IBAN	
Currency	
Please note that due to Anti Money Laundering requirements payments will only be made to the bank account of the registered investor	

**AUTHORISATIONS**

**Signatories authorised to provide instructions**

Name			
Email Address			
Signature			
Name			
Email Address			
Signature			
Name			
Email Address			
Signature			
A valid instruction requires the signature(s) of the following authorised signatories (please select)			
Any one of all	Any two of all	Any three of all	All

**Persons authorised to receive investment information**

Name	
Email Address	
Name	
Email Address	

## INVESTMENT COMMITMENT AND SUBSCRIPTION

I hereby commit to invest in the Fund the amount indicated in the table below and the currency in which I wish to subscribe, and undertake to make available and invest my Commitment by way of subscription for Shares, subject to, and in accordance with, the terms and conditions set out in this Application Form, the Prospectus and the KIID.

Issuer Name	ISIN Group	Description	Currency	ISIN Code	Total Investment
The Multi-Manager UCITS Platform Fund PLC	The Mercantile Diversified Fund	Class A GBP	GBP	IE00BF41RX54	
The Multi-Manager UCITS Platform Fund PLC	The Mercantile Diversified Fund	Class B GBP	GBP	IE00BF41RY61	
The Multi-Manager UCITS Platform Fund PLC	The Mercantile Diversified Fund	Class C GBP	GBP	IE00BF41RZ78	

The undersigned is required to complete the table below regarding the source of funds and the source of wealth for the initial investment:

<p><b>Source of funds for initial investment</b></p> <p>(please tick multiple boxes if appropriate)</p>	<p><input type="checkbox"/> Inheritance</p> <p><input type="checkbox"/> Salary</p> <p><input type="checkbox"/> Sale of assets (please specify)</p> <p><input type="checkbox"/> Other (please specify)</p>	<p><input type="checkbox"/> Gift</p> <p><input type="checkbox"/> Pension</p> <p><input type="checkbox"/> Lottery</p>	<p><input type="checkbox"/> Sale of Business Investment income</p>
<p>Further supporting documentation may be requested if deemed necessary to verify the above information.</p>			
<p><b>Source of wealth i.e. aggregation of accumulated wealth</b></p> <p>(please tick multiple boxes if appropriate)</p>	<p><input type="checkbox"/> Inheritance</p> <p><input type="checkbox"/> Salary</p> <p><input type="checkbox"/> Sale of assets (please specify)</p> <p><input type="checkbox"/> Other (please specify)</p>	<p><input type="checkbox"/> Gift</p> <p><input type="checkbox"/> Pension</p> <p><input type="checkbox"/> Lottery</p>	<p><input type="checkbox"/> Sale of Business Investment income</p>
<p>Further supporting documentation may be requested if deemed necessary to verify the above information.</p>			

## BANK REMITTANCE INFORMATION

<b>Intermediary Bank:</b>	Barclays Bank PLC, London
<b>Intermediary SWIFT Code:</b>	BARCGB22
<b>Beneficiary Bank:</b>	The Northern Trust International Banking Corporation, New Jersey
<b>Swift:</b>	CNORUS33
<b>Sort Code:</b>	203253
<b>Account Number:</b>	53529495
<b>Final Beneficiary Name and Account Number:</b>	The Mercantile Diversified Fund Collection A/C 674473-20019 (GBP)
<b>IBAN:</b>	GB64BARC20325353529495
<b>Reference:</b>	Name of Fund - Applicant

## DECLARATIONS WARRANTIES AND SIGNATURES

### 1. GENERAL

1.1 These Terms and Conditions relate to the subscription of Shares in the Fund and the applicant(s) agree(s) to be bound by these Terms and Conditions and the Prospectus.

1.2 The Company and the Administrator reserve the right to reject any application in whole or in part which is not completed in full and supported by the documentation requested and cleared monies, or for any other reasons at their sole discretion. Failure to attach all documentation requested may result in a delay in the transaction being processed.

1.3 The Company and the Administrator reserve the right to request additional information and documentation, including but not limited to, translations and certifications relating to such additional requests from the applicant(s) and existing investors in compliance with legislation and regulations in force from time to time.

### 2. PREVENTION OF MONEY LAUNDERING

2.1 All applicants must attach to this Application Form all the relevant documentation requested. Please refer to the Appendix I (for Distributors and nominees) and Appendix II for full details of the Company and the Administrator's requirements.

2.2 All applicants understand that due to the changing nature of anti-money laundering laws and regulations and the possible extensions of applicable rules, the Company and the Administrator may update and amend its procedures from time to time to comply with such amendments.

2.3 In compliance with applicable anti-money laundering rules and regulations, the Company and the Administrator may require further identification of the applicant(s) or an existing investor before the application can be processed or any redemption proceeds can be paid out. Note that no redemption proceeds or dividend payment will be paid out unless or until all anti-money laundering documentation has been received by the Company and the Administrator. In the event that I/we fail to submit the necessary documentation requested by the Company or the Administrator as required under the AML Requirements, redemption proceeds or dividend payments will be held in an Umbrella Cash Account and shall remain an asset of the relevant Fund and I/we will not benefit from the application of any investor money protection rules (i.e. the redemption proceeds/ dividend payments will not be held on trust for me/us). In such circumstances, I/we acknowledge that we will be an unsecured creditor of the relevant Fund in respect of such redemption proceeds or dividend payments until such time as the relevant documentation required by the Fund has been received to its satisfaction and the redemption monies/dividend payments have been paid to us.

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2.4 Subscription monies from a third party will not be accepted. Redemption proceeds cannot be paid other than to the account of record as detailed above.

2.5 I/we understand that subscription monies paid by me/us into a subscription/redemption account will become the property of the Fund upon receipt and during the period between receipt of subscription monies and the Dealing Day on which Shares are issued, I/we will be treated as an unsecured creditor of the Fund.

2.6 I/we understand that any redemption proceeds held for any time in a subscription/redemption account shall remain an asset of the Fund. In the event of the insolvency of the Company or the Fund, I/we will rank as an unsecured creditor of the Company until such time as the Administrator is satisfied that its anti-money-laundering procedures have been fully complied with, following which redemption proceeds will be released to me/us.

2.7 I/we will comply with such beneficial ownership notices<sup>1</sup> issued by the Fund seeking beneficial ownership information. I/we understand that it is an offence where I/we fail to comply with such beneficial ownership notices or where I/we make a false statement in respect of same. I/we understand that where I/we am/are a beneficial owner of the Fund, I/we must notify the Fund where the Fund's beneficial ownership register does not contain my/our details and where I/we have not received a beneficial ownership notice from the Fund. Where I/we meet the definition of a beneficial owner as defined in the Beneficial Ownership Regulations I/we confirm that I/we have completed the information in the table below:

First Name, Surname (if an individual)	
Date of Birth (if an individual)	
Residential Address (if an individual)	
Nationality (if an individual)	
Entity Name	
Entity Address	
Nature of interest held by me/us as a beneficial owner	
Extent of interest held by me/us as a beneficial owner	

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<sup>1</sup> The term "beneficial owner" is defined in the EC (Anti-Money Laundering: Beneficial Ownership of Corporate Entities) Regulations 2016 (the "Beneficial Ownership Regulations") as meaning the natural person(s) who ultimately owns or controls the Company through either a direct or indirect ownership of a sufficient percentage of shares or voting rights or ownership interest in that entity. Where a natural person holds more than 25% of the shares of the Company or has an ownership interest of more than 25%, then that shall be an indication of direct ownership by that person. Where a corporate or multiple corporates hold more than 25% of the shares or other ownership interest exceeding 25% in the Company and those holdings are controlled by a natural person that shall be an indication of indirect ownership.

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2.8 I/we acknowledge that the Company and the Administrator also reserve the right to delay or refuse to make any redemption payment or distribution to a Shareholder without notice if any of the Company or 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 including financial sanctions laws or regulations by any person in any relevant jurisdiction, or such refusal is considered necessary or appropriate to ensure the compliance by the Company or the Administrator with any such laws or regulations in any relevant jurisdiction. I/we hereby hold the Company and the Administrator and any other delegate harmless and indemnify them against any loss arising as a result of a failure to process the application if such information has been required and has not been provided by me/us and from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by us to the Company or the Administrator. I/we shall notify the Company and the Administrator immediately if any of the representations herein made are no longer accurate and complete in all respects, including without limitation the representations made in respect of our PEP status.

2.9 I/we understand and accept that the Fund reserves the right to compulsorily repurchase and cancel any Shares held by me/us where I/we fail to provide the necessary documentation to allow the Company or the Administrator to comply with their respective obligations under applicable anti-money laundering and counter terrorist financing regulations.

2.10 I/we warrant and declare that the monies being invested pursuant to this application do not represent directly or indirectly the proceeds of any criminal activity and the investment is not designed to conceal such proceeds so as to avoid prosecution for an offence or otherwise.

### **3. JOINT APPLICANTS**

3.1 If more than one person is named in a single Application Form, all applicants will be considered as joint applicants. As such, they authorise the Company and the Administrator to act and rely on the signed or purportedly signed instructions of any one of the applicants without liability with respect to any transfer, payment or other act made or done or omitted to be done in accordance with such instructions.

3.2 The different joint holders shall determine between them, by separate agreement, the rights of any joint account holder on the account. The Company and the Administrator may at any time request each joint account holder to inform it about this determination. Under no circumstances can the knowledge that the Company and the Administrator has about the distribution of assets between the account holders of a joint account be used against the Company or Administrator in any way.

3.3 The applicants hereby confirm that upon the death of any of the undersigned, this individual signatory power will continue to be in force the Company and the Administrator may rely and act without liability on any instruction including the transfer or redemption of the Shares signed by the survivor(s) unless the Company or the Administrator has been informed in writing of the contrary.

3.4 Unless otherwise advised in writing, all notices and communications shall be addressed and all payments directed to the first applicant specified in section 1 of the present Application Form (the "First Applicant").

### **4. POWER OF ATTORNEY**

Where a Power of Attorney Form is required, a certified copy must be provided, and such Power of Attorney Form shall form an integral part of these Terms and Conditions.

### **5. APPLICATION BY A PERSON UNDER THE AGE OF 18 YEARS OLD**

No person under the age of 18 may apply for Shares in the Company.

### **6. INDEMNITY**



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6.1 The applicant(s) will indemnify upon first demand the Company and the Administrator and any other delegates against any actions, proceedings, claims, losses, damages, costs and expenses, [subject to a maximum of the value of the applicant's total investment in the Company,]<sup>2</sup> which may be brought against, suffered or incurred by them arising either directly or indirectly out of or in connection with a breach by the applicant(s) of these Terms and Conditions or out of anything done or omitted by the Company or the Administrator pursuant to any instructions given by fax or email or out of the Company or Administrator relying on, accepting or failing to act on any instruction or declaration or information given by or on behalf of the applicant(s) unless due to the wilful default, negligence or fraud of the Company or the Administrator.

6.2 The Company will indemnify the applicant for direct damages solely to the extent of its negligence, wilful misconduct or fraud. The Company will in no way indemnify indirect or consequential damages suffered by the applicant(s).

6.3 Fax and e-mail indemnity: Instructions may initially be sent by fax, the original Application Form etc. to follow by mail or courier to the above address, advising electronic instructions have already been given. Redemptions and dividends will be processed on receipt of fax/electronic instructions but redemption and dividend proceeds will not be paid out until original documents are received. The Administrator is authorised to act on any fax or e-mail instructions without verification which it in its sole discretion believes emanates from a Shareholder and it shall not be liable for and will not be liable for any failure in acting on any of the instructions by reason of breakdown, delay or failure of transmission or communication facilities or breakdown of or error in transmission or communication for any other reason, unless due to the Administrator's wilful default, negligence or fraud.

6.4 Each applicant for Shares acknowledges that neither fax nor email is a secure means of communicating with or giving instructions to the Administrator and confirms that he/she is aware of the risks involved in communicating in this way and that a request to act on any instruction given by fax or e-mail is for his/her convenience only and he/she hereby indemnifies the Administrator against any claims and hold it harmless from all actions, proceedings, claims, loss, damage, costs (including without limitation, interest and legal fees), charges and expenses, subject to a maximum of the value of the applicant's total investment in the Company, which may be brought against it or suffered or incurred by it and which shall have arisen either directly or indirectly out of or in connection with it accepting Instructions by fax or e-mail and acting thereon, unless due to the Administrator's wilful default, negligence or fraud;

6.5 Each applicant hereby undertakes to immediately send the Administrator the original of the Application Form, and acknowledges that the non-receipt by the Administrator of such written confirmation shall in no way invalidate the authority or indemnity provided by the Shareholder.

## 7. DATA PROTECTION

In accordance the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (collectively, "Data Protection Legislation"), the Fund being a data controller, must provide you with information on how the personal data that you provide as part of your subscription to shares in the Fund will be processed.

### Contact details

The Fund, as data controller, has appointed Apex Fund Services (Ireland) Limited (the "Administrator") as a data processor. The Fund can be contacted via the Administrator at the following address:

*Apex Fund Services (Ireland) Limited, Office 5, Building A1, Fota Business Park, Carrigtwohill, Co. Cork, Ireland*

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<sup>2</sup> Note that the indemnity is limited to the amount of the investor's investment in the Company

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### **Purposes of Processing and Legal Basis for Processing<sup>3</sup>**

The personal data collected from you or provided by you or on your behalf in connection with your application for Shares in the Fund will be collected, stored, disclosed, used and otherwise processed by the Administrator for the purposes of:

#### Performance of the contract

- (a) the performance of the contract between you and the Fund whereby; upon the Fund accepting your application to subscribe for shares in the Fund and you having paid the full subscription monies to the Fund and having provided to the Administrator the required documentation as specified in this Application Form, the Fund shall issue you with shares in the Fund and enter your details onto the register of members;
- (b) managing and administering your holdings in the Fund and any related account on an ongoing basis which involves processing your personal data for redemption, conversion or transfer requests, distribution payments and for future subscriptions to the Fund;
- (c) circulating periodic reports relating to the Fund.

#### Compliance with a legal obligation

- (d) complying with any applicable legal, tax or regulatory obligations imposed on the Fund including legal obligations under company law, tax law and anti-money laundering / counter-terrorist financing legislation including but not limited to:
  - i. AML I CTF legislation: in line with anti-money laundering requirements operating in various jurisdictions, all investors are required to be identified. For this purpose certain documentation will be required at the time of application as set out in this Application Form.
  - ii. CRS / FATCA: the Fund is obliged to collect certain information about each investor's tax arrangements. For CRS/FATCA reporting purposes, please note that in certain circumstances the Fund may be legally obliged to share this information, and other financial information with respect to an investor's interests in the Fund with relevant tax authorities. The enclosed forms are intended to request information only where such request is not prohibited by Irish law.

#### Legitimate interests

- (e) pursuing the legitimate interests of the Fund including:
  - i. carrying out statistical analysis and market research;
  - ii. disclosures to third parties identified in the Offering Memorandum such as auditors, regulatory, tax authorities and technology providers;
  - iii. recording, maintaining, storing and using recordings of telephone calls that you make to and receive from the Fund, the Administrator, or the Manager and their delegates or duly appointed agents and any of their respective

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<sup>3</sup> Article 13(1)(c) of the GDPR requires this information to be provided to data subjects. Article 6 of the GDPR sets down the relevant grounds on which personal data may be processed lawfully.

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related, associated or affiliated companies for processing and verification of instructions, management and administration of your account(s) and any other matters related to investment in the Fund, dispute resolution, record keeping, security and/or training purposes.

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

### **Consent**

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

However, from time to time, the Fund or one of the Fund parties, such as the Administrator or Manager and their delegates, agents or affiliates, may send you information about other products and services that they offer by letter, by telephone, by email or by other reasonable means of communication. You have a right not to receive such information. However, in order to process your personal data for these purposes, the Fund and the appointed Fund parties seek your consent.

#### **Consent to Direct Marketing by or on behalf of the Fund and the appointed Fund parties**

The Fund and the appointed Fund parties seek your consent in order to send you information about other products and services that they offer by letter, by telephone, by email or by other reasonable means of communication.

**You have a right not to receive such information.** If you consent to receive such information and / or marketing material, please tick here and provide your contact details below:

You have a right to withdraw the consent provided above at any time. However, your withdrawal of consent will not affect the lawfulness of processing based on consent before its withdrawal. You can withdraw your consent by contacting the Fund c/o the Administrator at the address under **Contact details** above.

**You also have a right to object to the processing of your personal data by the Fund for direct marketing purposes.**

The performance of this contract with the Fund is **NOT** conditional on your consent to direct marketing

### **Profiling and Screening**

The Fund and the appointed Fund parties engage in OFAC and politically exposed person screening for the purposes of complying with anti-money laundering and counter terrorist financing legislation and with UN, EU and other applicable sanctions regimes.

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

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

### **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 parties appointed by the Fund and its or their duly appointed agents and any of related, associated or affiliated companies for the purposes specified above.

These parties include the Administrator, the Manager and their delegates, agents or affiliates. These parties will handle your information in accordance with the applicable Data Protection legislation.

The Fund 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") (including the United States) which may not have the same data protection laws as in Ireland. Such data transfers will only involve companies which are part of the same corporate group of those parties appointed by and acting on behalf of the Fund.

Where data transfers outside of the EEA take place, the Fund has taken the necessary steps to ensure that appropriate safeguards have been put in place to protect the privacy and integrity of such personal data, in particular by ensuring the implementation of model contracts by the Fund parties and their affiliates.

### **Data Retention Period**

The Fund and the Administrator will retain all information and documentation provided by you in relation to your investment in the Fund for such period of time as may be required by Irish legal and regulatory requirements, being at least 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.

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

Where you wish to exercise any of your data protection rights against the Fund, please contact us via the Contact details provided above.

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

#### **Failure to provide personal data**

The provision by you of personal data, as outlined in the section titled “**Purposes of Processing and Legal Basis for Processing**”, is required for us to accept your subscription application and manage and administer your holdings in the Fund and so that we can comply with the legal, regulatory and tax requirements referenced above. Where you fail to provide such personal data we will not be able to accept your application or to the extent that we do accept your application and the required personal data is not provided within the specified timeframe we may be required to discontinue our business relationship with you.

#### **8. SUBSCRIPTION ORDERS**

Upon receipt of the completed Application Form and the full subscription amount, the Administrator will issue Shares in the Fund in the name of the applicant(s).

#### **9. ELECTRONIC DELIVERY OF REPORTS AND OTHER COMMUNICATIONS**

9.1 I/we confirm that we consent to and accept that, the Company, the Manager, the Distributer and/or the Administrator, acting on their behalf, may provide me/us (or our designated agents) with statements, reports and other communications relating to the Company and/or my/our investment in the Company, in electronic form, such as e-mail (to the address you have provided on this form). I/we note that e-mail messages may not be secure and may contain computer viruses or other defects, may not be accurately replicated on other systems, or may be intercepted, deleted or interfered with without the knowledge of the sender or the intended recipient. I/we note that the Administrator makes no warranties in relation to these matters. I/we also note that the Administrator reserves the right to intercept, monitor and retain e-mail messages to and from its systems as permitted by applicable law. I/we confirm that if I/we have any doubts about the authenticity of an e-mail purportedly sent by the Company, the Manager, the Distributer or the Administrator, I/we will contact the purported sender immediately.

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9.2 All notices, reports, statements, documents and communications sent to the address of the first applicant are deemed to have been effected to all the applicants on the date sent to the first applicant's address.

9.3 The applicant(s) shall check the accuracy of the details contained in the contract note and statements of accounts sent by the Administrator. Failure to report any inaccuracy within 30 business days of their dispatch will result in the confirmation details to be deemed accurate by the applicant(s).

## 10. FATCA/CRS

10.1 I/We shall provide the Company and the Administrator with any additional information which it may reasonably request, or which is reasonably required by the Company and the Administrator, in order to comply with (i) the rules of Sections 1471 through 1474 (inclusive) of the Internal Revenue Code of 1986 of the US, as amended, any current or future regulations or official interpretations thereof, any agreement entered into thereunder, or any fiscal or regulatory legislation, rules or practices adopted pursuant to any intergovernmental agreement entered into in connection with the implementation thereof ("**FATCA**"), (ii) (a) 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 (b) 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 (collectively referred to in this application form as "**CRS**") or (iii) any other tax law, regulation, exchange of information or other tax reporting regime in order to substantiate any representations made by me/us or otherwise. I/we authorise the Company or its agents to disclose such information relating to this application to such persons as they consider appropriate. In particular, I/we acknowledge that the Company or the Administrator may report certain information to the Irish Revenue Commissioners and that such information may be shared with the US Internal Revenue Service for FATCA purposes, or with other jurisdictions that have implemented the CRS regime or other jurisdictions pursuant to any other exchange of information or tax reporting regime.

10.2 I/We agree to provide to the Company and the Administrator at such times as each of them may request such declarations, certificates or documents as each of them may reasonably require (the "**Tax Information**") in connection with this investment (including for FATCA, CRS or other tax purposes). Should any information furnished to any of them become inaccurate or incomplete in any way, I/we hereby agree to notify the Company or the Administrator immediately of any such change and further agree to request the redemption of Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Company.

10.3 By providing the Tax Information, I/We represent and warrant the completeness and accuracy of such information (as at the date of submission) and authorise the Company to act upon such information in good faith, including, but not limited to, disclosing or submitting such information to the Irish Revenue Commissioners. The Company shall have no obligation to carry out any investigation with respect to the truth, accuracy or completeness of the Tax Information provided by us and I/We will, on demand, hold the Company harmless from any liability resulting from my/our failure to provide complete and accurate Tax Information.

10.4 I/We hereby acknowledge that if I/we fail to provide the Tax Information on a timely basis, I/We may be subject to 30% U.S. withholding tax on the investor's share of "withholdable payments" (as defined for purposes of FATCA) received by the Fund.

10.5 I/We hereby acknowledge that if I/we fail to provide the Tax Information and such failure results in the Company and/or Fund being unable to comply with its FATCA or CRS requirements (or any other reporting requirements), the Company may compulsorily redeem my/our entire holding in the Fund, and that the Company and/or Administrator 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 liability arising as a result of my/our failure to provide the relevant Tax Information. I/we

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shall indemnify and keep indemnified the Company and the Administrator and any other delegate 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.

10.6 I/We confirm that we have accurately and correctly completed the relevant self-certification form included in this Application Form. I/We further confirm that if any information included in the self-certification form subsequently becomes inaccurate or incorrect we will notify the Company or Administrator immediately of any such change and agree to immediately take such action as the Company and/or the Administrator may direct, including where appropriate, redemption of our Shares.

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

#### **11. LATE TRADING AND MARKET TIMING**

The Administrator shall not permit transactions which it knows to be nor has reason to believe to be related to late trading or market timing practices and shall report those transactions to the Distributor.

NOTE: Investment in the Fund is intended for medium to long-term purposes only. Excessive, short-term (or market timing) or other abusive trading practices may disrupt portfolio management strategies, increase expenses and harm Fund performance for all Shareholders and the Company will take all reasonable steps to prevent such activity. To minimise harm to a Fund and its Shareholders, the Administrator, working in conjunction with the designated money laundering reporting officer, reserves the right to reject any subscription (including any transfer) from any investor whom it believes has a history of abusive trading or whose trading, in its judgement, has been or may be disruptive to a Fund. In making this judgement, the Company may consider trading done in multiple accounts under common ownership or control.

#### **12. TELEPHONE RECORDING**

The applicant(s) specifically accept(s) that telephone-recording procedures may be used and agree(s) that these records may be used in court or any legal proceeding, with the same value as written evidence.

#### **13. FRAUDULENT USE OF SIGNATURE**

13.1 Neither the Company nor the Administrator shall be liable for the fraudulent use by a third party of the applicant's signature, whether this signature be authentic or forged ("Fraudulent Instruction").

13.2 Except in the event of negligence on their part, the Company and/or the Administrator shall not be liable for any damage, loss, expense or liability of any nature which the applicant(s) may suffer due to the reliance by the Company and/or the Administrator on a Fraudulent Instruction which the Company and/or Administrator believe in good faith to be genuine and to have been given or signed by the applicant(s).

#### **14. KEY INVESTOR INFORMATION DOCUMENT**

14.1 I/We hereby represent that I/we have regular access to the internet and acknowledge and agree that the provision of the KIID by way of email or website is appropriate in the context in which the business between the Company, its delegate(s) and me/us is, or is to be, carried on and that the provision by me/us of my/our email address to the Company or its delegate(s) is evidence of this.

14.2 I/we acknowledge that I/we have been offered the choice of receiving the KIID on paper and in electronic form by means of a website or by email and hereby specifically consent to receiving the KIID in electronic form by way of email or by accessing the latest version of the document online at [www.egifunds.com](http://www.egifunds.com) or (or such other website address as may be notified to the me/us from time to time) (the "KIID Website").

14.3 I/We hereby confirm that I/we have also been notified electronically of this website address and the place where on the website the KIID can be accessed.

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14.4 I/We hereby acknowledge that I/we have received or accessed by electronic means the KIID. I/We also consent to accessing the KIID by electronic means before making any subsequent and/or future subscriptions for Shares in any share class.

14.5 I/We acknowledge that the KIID shall be reviewed at least every 12 months and that the up-to-date version of the KIID at any given time shall be made available on the KIID Website. I/We agree that I/we will inspect the KIID by accessing the KIID Website in good time before making any subsequent and/or future subscriptions for Shares in any Class. I/We acknowledge and agree that I/we bear sole responsibility for ensuring that I/we have inspected the up-to-date version of the KIID and that, in any event, I/we consent to be, and shall be deemed to have been, provided with the up-to-date KIID by means of the KIID Website in good time before any subsequent or future subscriptions.

14.6 Where I/we are acquiring the Shares for or on behalf of any person in my/our capacity as a sub-distributor of the Company (an "Intermediary"), I/we certify that prior to accepting any order for the acquisition of shares, I/we will ensure that the investor will be provided with the current KIID for the relevant share class. Where permitted by applicable law, "provided" shall include informing the investor of the applicable website where the KIID may be obtained, which is [www.egifunds.com](http://www.egifunds.com) or (or such other website address as may be notified to me/us from time to time).

14.7 I/We acknowledge that I/we may at any time request a hard copy of any such documentation from the Company free of charge and/or revoke, in writing or other authorised manner, the consent given to receive such information electronically.

## **15. AMENDMENTS TO THE TERMS AND CONDITIONS**

The Company reserves the right at any time to modify these Terms and Conditions. The Company shall inform the applicant (s) in writing of all amendments to these Terms and Conditions. Such modifications shall be deemed to be accepted by the applicant(s) if the applicant(s) does not raise an objection in writing to the proposed amendments, within two weeks from the date of the notification.

## **16. SEVERANCE**

If any provision or clause of these Terms and Conditions is or becomes void or unenforceable in whole or in part for any reason such enforceability or invalidity shall not affect the validity of the remaining Terms and Conditions. Corresponding Terms and Conditions must replace the invalid Terms and Conditions.

## **17. APPLICABLE LAW**

The laws of Ireland shall govern the validity and construction of these Terms and Conditions and the parties agree to be bound by the exclusive jurisdiction of the courts of Ireland.

## **18. FINAL PROVISION**

These Terms and Conditions form an integral part of the Application Form, which applicant(s) declare having accepted by signing this Application Form.

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**SIGNATURES**

<b>Name</b>	<b>Signature</b>	<b>Date</b>
<b>Name</b>	<b>Signature</b>	<b>Date</b>

**APPENDIX I – INTRODUCTION CERTIFICATE**

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**INTRODUCTION CERTIFICATE (To be completed on the Introducer's letterhead)**

Apex Fund Services (Ireland) Limited,  
1st Floor, Block 2  
Harcourt Centre  
Harcourt Street  
Dublin D02 DX37  
Ireland

**Re: All investors introduced by [name of distributor/nominee/3rd party] (the "Investors") to Apex Fund Services (Ireland) Limited ("Apex") in their capacity as registrar and transfer agent to funds administered by it (the "Funds")**

Dear Sirs,

[enter name of Distributor/Nominee/3rd Party] (the "Introducer") writes to confirm the following in connection with all Investors, where such investors appear directly on the shareholder/unitholder register(s) of Funds for shares/units in Funds for which Apex acts as registrar and transfer agent:

1. The Introducer represents that it has all the requisite power and full authority from the Investor, including that he has been duly authorised to do so by power of attorney or other written authority, to subscribe for shares in the Fund, to execute and perform the obligations under this Application Form;
2. The Introducer confirms that it is regulated by [Insert Regulator Name] and applies anti-money laundering policies and procedures which are in line with those of local anti-money laundering legislation and regulation which in turn complies with measures detailed in the relevant EU Directives;
3. The Introducer has no reason to believe or suspect that such Investor will not be able to perform any settlement obligations in relation to such subscription;
4. The Introducer confirms that all Investors have been identified to us, including where relevant any person who owns or controls more than 25% of the share capital or voting rights of any such Investor.<sup>4</sup> The Introducer undertakes to retain such Investor identification documentation and information for a period of at least five years after the relationship with the Investor has ceased;
5. Where any one person ultimately owns or controls equal to or more than 25% (or 10% if deemed high risk) of the Investor on whose behalf we purchase shares in the Fund, we agree to provide full names, addresses and dates of birth (where relevant) of each such person(s) as required by the Fund/Apex, as well as confirming whether any one person ultimately owns or controls equal to or more than 25% of that person (or 10% if deemed high risk);
6. The Introducer acknowledges that those parties to whom we are introducing the Investor are relying upon the customer due diligence checks performed by us so as to meet with their own anti-money laundering and counter terrorist financing obligations;
7. The Introducer confirms that the Investors are our own clients, and we are not in turn placing reliance upon the AML program of any other third party;
8. Should the Introducer identify any politically exposed person ("PEP"), an immediate family member or close associate of a PEP or any person or entity resident in, or anyone whose subscriptions monies originate from a country designated as non-

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<sup>4</sup> Please note that a threshold of 25% applies where the Underlying Investor is classified as low or medium risk and a threshold of 10% will be applied if the Underlying Investor is classified as high risk.

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cooperative with international anti-money laundering principles or procedures by the Financial Action Task Force on Money Laundering, we confirm that we will provide Apex with certified true copies of the due diligence collected;

9. The Introducer will provide Apex with certified true copies, upon request, of all necessary documents and information related to Investors, which we have on our files. In the event that we are bound with confidentiality or professional secrecy rules, we will provide such information upon request of your competent control authority. The Introducer will provide any such reasonable assistance as Apex may request where a suspicion of money laundering by an Investor exists;

10. The Introducer confirms that it has put in place adequate risk management, control and compliance procedures and systems and accordingly, has taken all reasonable steps necessary to ensure that the Fund does not accept or maintain any subscription funds from a foreign shell bank or from any person or entity named on the lists of known or suspected terrorists, terrorist organizations or any transaction that would cause the Fund and/or Apex to violate any Sanctions Regime<sup>5</sup>, including any transaction or dealing with or involving:

- (i) any country with which transactions or dealings by any person are prohibited under a Sanctions Regime;
- (ii) any person or entity subject to any Sanctions Regime; or
- (iii) any assets owned or controlled by a person or entity that is subject to any Sanctions Regime (collectively, the "Sanctioned Property").

11. To the extent that the Investor in the Fund becomes subject to a Sanctions Regime (e.g. the Investor becomes a sanctioned party after the time of on-boarding), we will inform the Anti-Money Laundering Officer of the Fund and Apex in writing as soon as possible. We confirm that none of the Investor(s) and its related parties fall under this category at this point in time;

12. The Investor confirms that the Investor's source of funds and wealth is not derived from corruption or other illegal sources;

13. Should the Investor's relationship with the subscriber end we confirm that we will provide you with all identification and verification documentation;

14. The Introducer confirms that it monitors investors and verifies that they are not black-listed or mentioned in official lists. The Introducer hereby undertakes to notify Apex immediately of any concerns that we may have in connection with Investors in the context of any applicable anti-money laundering or terrorist financing legislation/regulations or in the event of any suspicious circumstances relating to any Investors introduced by the Introducer to Apex. The Introducer confirms that we have procedures in place for cooperating with relevant governmental and law enforcement authorities and reporting to the competent Financial Intelligence Unit ("FIU") when appropriate;

15. The Introducer hereby agrees to be held jointly and severally liable with our principal, to the Fund, to Apex, and their respective directors, shareholders, partners, officers and agents (as applicable), for any and all costs, fees and expenses (including legal fees and disbursements) in respect of all obligations and liabilities arising from such subscription for shares in the Fund including in connection with any damages resulting from our misrepresentation or misstatement contained herein, or the assertion of our lack of proper authorisation from the Investor to execute this Application Form or perform the obligations hereof;

16. The Introducer will notify the Fund and Apex promptly of any changes to any of the representations and warranties provided herein and will recertify these representations and warranties at any time upon request.

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<sup>5</sup> Sanctions Regime" shall mean any sanctions against countries, persons or entities that are imposed at any time by, at a minimum, the U.S. Treasury Department's Office of Foreign Assets Control ("OFAC"), the European Union and the United Nations.

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**Signed for and on behalf of**

**[enter name of Intermediary/nominee/3rd Party]**

## APPENDIX II – MONEY LAUNDERING VERIFICATION DOCUMENTS

### 'Know your Client' and Anti-Money Laundering Verification Requirements

The 'Know your Client' and Anti-Money Laundering verification requirements and procedures are a mandatory obligation on the Fund, the Manager, the Investment Manager and the Administrator. The list below is an indicative list of anti-money laundering documentation to be provided by investors and is provided as a guide outlining standard due diligence requirements. Depending on the risk category of your investment additional documentation may be required. Once your application has been received by the Administrator a full assessment will be carried out and additional documents may be requested in order to satisfy these enhanced requirements.

Before submitting your Application Form to the Administrator, please carefully read the requirements as to the correct documentation and certification set out in Parts 1 to 10 of this Appendix, which are required to be provided with your Application Form. The Administrator has the discretion to reject any application from an Applicant which is not supported by the correct documentation required by this Appendix and/or where satisfactory evidence of the identity of the Applicant has not been obtained within a reasonable time.

Based on the legal nature of the Applicant please provide the information specified in Parts 1 – 9.

Please note the certification requirements in Part 9 Certification of Documents.

All applicants must complete Part 10 the Politically Exposed Persons Form.

Please tick to confirm that you have enclosed the required documentation:

#### PART 1 – INDIVIDUALS / ALL JOINT HOLDERS

- Certified copy of a current, valid, full passport; and
- Certified copies of two recent utility bills issued by different Service Providers within the last three months; or
- Certified copies of one recent utility bill and one bank statement Issued within the last three months; and
- Source of wealth & source of funds.

#### PART 2 - CORPORATE / NOMINEE APPLICANTS

- Certified copy of the Certificate of Incorporation
- Certified copy of Memorandum and Articles of Association
- Certified Register of Directors
- Certified Register of Shareholders
- Certified copy of the authorised signatory list with specimen signatures on company letterhead
- Certified documents (as per Investor Type) for two directors / one director and one authorized signatory
- In the case of ultimate beneficial owners holding more than 25% of the share capital / profit / voting rights then the documentation as per Individuals is required
- Copy of audited financial statements
- Proof of Source of wealth: financial report, balance sheet, other documentation of source of wealth (can be covered by Audited Financial Statements if contained therein)

#### PART 3 - PARTNERSHIPS

- Full name of investor
- Registered office address
- Principal business address if different to above

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- Certified true copy of the list of the limited/unlimited partners (with names, addresses & share participation) with complete diagram of shareholder structure in case of multiple layers
  - Original beneficial owner declaration signed by limited partners or the ultimate shareholders holding more than 25% / Written confirmation to invest on own behalf
  - Certified copies of photo IDs (passports) of legal representatives authorised to operate account
  - Copy of latest audited financial statement
  - Certified copy of the partnership agreement
  - Certified copy of the authorised signatory list with specimen signatures on partnership letterhead
  - Certified copies of identification documents (as per Investor Type) above for all partners owning over 25%

#### **PART 4 - TRUSTS / FOUNDATIONS**

- Certified copy of the trust deed / foundation document
- Certified copies of identification documents (as per Investor Type) for all trustees and settlors
- Certified copy of the authorised signatory list with specimen signatures
- Certified copies of identification documents (as per Investor Type) for two authorized signatories
- Certified copies of identification documents (as per Investor Type) for all beneficiaries > 25%

#### **PART 5 – FUND / CHARITY**

- Certified copy of the Certificate of Incorporation
- Certified copy of Memorandum and Articles of Association
- Certified Register of Directors
- Certified copy of the authorised signatory list with specimen signatures on company letterhead
- Authorised Mandate of persons completing the form to act on behalf of the investor
- Documentary evidence of the regulatory status of the Investor from a recognized regulatory authority (if applicable)
- Certified Register of Shareholders or AML Comfort Letter on a company letterhead from a regulated Fund Administrator in a country of equivalence

#### **PART 6 – CREDIT OR FINANCIAL INSTITUTIONS TRANSACTING AS AN INTERMEDIARY**

- Proof of regulation and authorisation for the Regulated Financial Institution
- Account must be in the name of the Regulated Financial Institution
- Authorised signature list on company letterhead
- Completed Introduction Certificate (See Appendix I)

#### **PART 7 – PENSION SCHEME**

- Registered office address on headed paper (if not contained in constitutional documents)
- Principal business address if different to above
- Authorised signatory list on company letterhead
- Name and address, or names and DOB's of all Trustees/ Directors/Governors/ Board Members or equivalent
- Copy of Constitutional/Formation Document (e.g. Trust Deed, certificate of incorporation), including rules for payment of pension
- Proof of source of wealth

- 
- Confirmation of registration, as appropriate, from the relevant tax authorities or Pensions Board and confirm details of regulatory body
  - Names and verify the identity for two controllers (e.g. Trustees/Directors/Governors/Board Members or equivalent) (applying requirements for "Individuals/All Joint Holders" listed in Part 1 above)

#### **Collective Investment Schemes (CIS) based in an equivalent country:**

If the scheme is listed in a regulated market then it may qualify for Simplified Due Diligence, otherwise the following documentation is required

1. Full name of CIS.
2. Registered address of CIS.
3. Prospectus or equivalent (Memorandum & Article of Association, certificate of incorporation etc.)
4. Name and address of scheme promoter.
5. Name and address of scheme administrator.
6. Name and address of entity carrying out AML checks for the scheme investors and confirmation that entity is regulated for AML purposes.
7. Names of all beneficial owners of the CIS.
8. Authorised signatory list on company letterhead
9. Proof of Regulation of CIS and Administrator

#### **PART 8 – THIRD PARTY RELIANCE**

The Administrator may rely on third parties for Customer Due Diligence purposes. The following information is required:

- Documentary evidence that the entity is regulated for Anti Money Laundering (AML) purposes in a jurisdiction assessed by the Administrator to operate comparable AML controls
- AML Comfort Letter on company letterhead if acting in a nominee capacity

#### **PART 9 - CERTIFICATION OF DOCUMENTS**

All of the above copies can be certified by any of the following: Garda Siochana / Police officer, Practicing Chartered & Certified Public Accountants, Notaries Public / Practicing solicitors, Embassy / Consular Staff, Regulated Financial or Credit institutions, Justice of the Peace, Commissioner for Oaths, Medical Professional.

#### **PART 10 – Politically Exposed Persons Form (All investors to complete)**

**Please complete either Section 1 or 2 below, with reference to the definitions below.**

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. This includes the following individuals (but excluding any middle ranking or more junior official):

- a "specified official"\*
- a member of the administrative, management or supervisory body of a state-owned enterprise;

\*A "specified official" is (including any such officials in an institution of the European Communities or an international body):

- (a) heads of State, heads of government, ministers and deputy or assistant ministers;
- (b) members of parliament or of similar legislative bodies;
- (c) members of the governing bodies of political parties;
- (d) members of supreme courts, of constitutional courts or of other high-level judicial bodies, the decisions of which are not subject to further appeal, except in exceptional circumstances;

- 
- (e) members of courts of auditors or of the boards of central banks;
  - (f) ambassadors, chargés d'affaires and high-ranking officers in the armed forces;
  - (g) members of the administrative, management or supervisory bodies of State-owned enterprises;
  - (h) directors, deputy directors and members of the board or equivalent function of an international organisation.

Note: No public function referred to in points (a) to (h) shall be understood as covering middle-ranking or more junior officials.

An immediate family member of a PEP includes any of the following persons:

- any spouse of the PEP;
- any person who is considered to be equivalent to a spouse of the PEP under the national or other law of the place where the person or PEP resides;
- any child of the PEP;
- any spouse of a child of the PEP;
- any person considered to be equivalent to a spouse of a child of the PEP under the national or other law of the place where the person or child resides;
- any parent of the PEP;
- any other family member of the PEP who is of a class prescribed by the Minister for Justice under section 37(11) of the Act.

A close associate of a PEP includes any of the following persons

- any individual who has joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations, with the PEP;
- any individual who has sole beneficial ownership of a legal entity or legal arrangement set up for the actual benefit of the PEP.

As an example, a "beneficial owner" of a body corporate is any individual who (other than a company having securities listed on a regulated market):

- ultimately owns or controls, whether through direct or indirect ownership or control (including through bearer shareholdings), more than 25 per cent of the shares or voting rights of the body; or
- otherwise exercises control over the management of the body.

**Section 1: To be completed only if the PEP Rules apply with Reference to the above definitions**

- the application is being made by a PEP / immediate family member of a PEP / close associate of a PEP; or
- the applicant has a beneficial owner who is a PEP / immediate family member of a PEP / close associate of a PEP; or
- the application is being made for the benefit of a PEP / immediate family member of a PEP / close associate of a PEP; or
- it is intended to transfer the shares to a PEP / immediate family member of a PEP / close associate of a PEP.

Name of PEP \_\_\_\_\_

Office of PEP: \_\_\_\_\_

Address of PEP: \_\_\_\_\_

Relationship of Applicant or Applicant's Beneficial Owner to PEP: \_\_\_\_\_

Source of Wealth of the PEP (please give details of how the PEP acquired/generated his/her overall wealth – please tick appropriate box below)

- |                                      |                                  |  |
|--------------------------------------|----------------------------------|--|
| <input type="checkbox"/> Inheritance | <input type="checkbox"/> Gift    | <input type="checkbox"/> Sale of Business  |
| <input type="checkbox"/> Salary      | <input type="checkbox"/> Pension | <input type="checkbox"/> Investment income |



- 
- Sale of assets (please specify)
  - Other (please specify)

Lottery

Further supporting documentation may be requested if deemed necessary to verify the above information.

Source of Funds of the PEP (please give details of PEP realised the cash for this investment – please tick appropriate box below)

Inheritance

Salary

Sale of assets (please specify)

Other (please specify)

Gift

Pension

Lottery

Sale of Business

Investment income

Further supporting documentation may be requested if deemed necessary to verify the above information.

**Section 2: Please tick the box below if the PEP rules do not apply with reference to the definitions above:**

By ticking this  box we confirm that:

- the application is NOT being made by a PEP / immediate family member of a PEP / close associate of a PEP; and
- the Applicant does not have a beneficial owner who is a PEP / immediate family member of a PEP / close associate of a PEP; and
- the application is NOT being made for the benefit of a PEP / immediate family member of a PEP / close associate of a PEP; and
- it is NOT intended to transfer the shares to a PEP / immediate family member of a PEP / close associate of a PEP.

**Declaration of residence outside Ireland**

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

**DECLARATION ON OWN BEHALF**

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

- I am/we are/the company is\* not currently Resident or Ordinarily Resident in Ireland, and
- should I/We\*/the company\* become Resident in Ireland I will/we will\* so inform you, in writing, accordingly.

*\* Delete as appropriate*

**DECLARATION AS INTERMEDIARY**

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

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

I/We\* also declare that:

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

*\*Delete as appropriate*

All investors must complete this section.

The undersigned hereby represents that:

1. The undersigned has carefully read and is familiar with this Application Form and the Prospectus;
2. The information contained herein is complete and accurate and may be relied upon; and
3. The undersigned agrees that the execution of this signature page constitutes the execution and receipt of this Application Form and relevant declarations including Revenue Declaration.

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

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

Print name and capacity of authorised signatory (if applicable) \_\_\_\_\_

Date \_\_\_\_\_

Joint applicants:

(In respect of joint applications only)

We hereby direct that on the death of one of us, the Shares for which we hereby apply be held in the name of and to the order of the survivor or survivors of us or the executor or administrator of such survivor or survivors.

Names	Signatures
_____	_____
_____	_____
_____	_____

#### Important Notes

- 1 Non-Irish 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.

#### Notes to Assist in Completion

- 4 If the Applicant is an Irish resident investor it should contact the Administrator who will provide it with the appropriate declaration which must be made to confirm its status.
- 5 "Intermediary" means a person who:
  - (a) carries on a business which consists of, or includes, the receipt of payments from an investment undertaking resident in Ireland on behalf of other persons, or
  - (b) hold units in an investment undertaking on behalf of other persons.
- 6 Individual

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

  - a) spends 183 days or more in the State in that tax year; or
  - b) has a combined presence of 280 days in the State, taking into account the number of days spent in the State in that tax year together with the number of days spent in the State in the preceding year

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Presence in a tax year by an individual of not more than 30 days in the State will not be reckoned for the purpose of applying the two-year test. Up to 31 December 2008, presence in the State for a day meant the personal presence of an individual at the end of the day (midnight). From 1 January 2009, presence in the State for a day means the personal presence of an individual at any time during the day.

7 Ordinary Residence – Individual

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

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

An individual who has been ordinarily resident in the State ceases to be ordinarily resident at the end of the third consecutive tax year in which s/he is not resident. Thus, an individual who was resident and ordinarily resident in the State in 2018 and departed from the State in that tax year will remain ordinarily resident up to the end of the tax year in 2021.

8 Residence – Company

A company which has its central management and control in Ireland is resident in Ireland irrespective of where it is incorporated. A company which does not have its central management and control in Ireland but which is incorporated in Ireland is resident in Ireland except where the company is regarded as not resident in Ireland under a double taxation treaty between Ireland and another country. In certain limited circumstances, companies incorporated in Ireland but managed and controlled outside of a double taxation treaty territory may not be regarded as resident in Ireland. Specific rules may apply to companies incorporated prior to 1 January 2015.

It should be noted that the determination of a company’s residence for tax purposes can be complex in certain cases and declarants are referred to the specific legislative provisions which are contained in section 23A Taxes Consolidation Act, 1997.

9 The Company is regulated in Ireland by the Central Bank of Ireland.

10 Copies of the Prospectus and the most recently published annual and semi-annual reports of the Company are freely available from the Administrator.

11 A corporation should affix its common seal and have it countersigned by persons authorised to countersign the seal or otherwise should execute under the hand of a duly authorised official or officials who should state his/their representative capacity. A certified copy (certified by a director or secretary of the Company) of the resolution or other authority authorising one or more signatories should be provided with the application form.

12 If any of the details provided by the applicant(s) in this application form change during the lifetime of this investment, please advise the Administrator immediately in writing and in original form where required, in order to avoid any possible settlement delays at some future date.

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### **Return of Values (Investment Undertakings) Regulations 2013**

The Return of Values (Investment Undertakings) Regulations 2013 (S.I. 245 of 2013) (the "Regulations") requires certain Irish Investment Undertakings to make annual returns to the Irish Revenue Commissioners of the value of the investments in a tax year held by certain unit holders. In order to satisfy the Regulations, the Fund must collect the following additional information from any applicants<sup>6</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>7</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 Fund in accordance with the Data Protection Acts 1988 to 2003. In particular, all the relevant security measures will be taken to ensure an adequate level of protection of the personal data against unauthorised access, accidental loss or destruction. Your information provided herein will be processed for the purposes of complying with the Regulations and this may include disclosure to the Irish Revenue Commissioners.*

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<sup>6</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.



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**Part One**

**Entity Self-Certification**

**Instructions for completion**

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 Data Protection Acts, 1988 and 2003 of Ireland. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Fund, with the Irish tax authorities, the Revenue Commissioners. They in turn may exchange this information, and other financial information with foreign tax authorities, including tax authorities located outside the EU.

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

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

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

(Mandatory fields are marked with an \*)

***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".***

**\*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 <i>GIIN</i> but is sponsored by another entity which does have a <i>GIIN</i>∞ Please provide the sponsor's name and sponsor's <i>GIIN</i> :</p> <p><b>Sponsor's Name:</b> _____</p> <p><b>Sponsor's <i>GIIN</i>:</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 <i>GIIN</i> with the IRS unless and until U.S. reportable accounts are identified.</p>	<input type="checkbox"/>
II.	<p><b>The Entity is an Exempt Beneficial Owner,</b></p> <p>Please tick and confirm the category of Exempt Beneficial Owner;</p>	<input type="checkbox"/>



	I. <input type="checkbox"/> Government Entity II. <input type="checkbox"/> International Organisation III. <input type="checkbox"/> Foreign Central Bank IV. <input type="checkbox"/> Exempt Retirement Fund V. <input type="checkbox"/> Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners.	
III.	<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)  Indicate exemption: _____	<input type="checkbox"/>
IV.	<b>The Entity is a Non-Participating Foreign Financial Institution</b>	<input type="checkbox"/>
V.	<b>The Entity is an Excepted Foreign Financial Institution</b>  Indicate exemption: _____	<input type="checkbox"/>
VI.	<b>The Entity is a Trustee Documented Trust. Please provide your Trustee's name and GIIN</b>  Trustee's Name: _____ Trustee's GIIN: <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> . <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> . <input type="checkbox"/> <input type="checkbox"/> . <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>

**3.4. Non-Financial Institutions (Non-Foreign Financial Entity/NFFE) under FATCA:**

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

I.	<b>Active Non-Financial Foreign Entity</b>	<input type="checkbox"/>
II.	<b>Passive Non-Financial Foreign Entity (NFFE)</b> (Please tick the box that applies)  <b>I. Passive Non-Financial Foreign Entity with no Controlling Persons that are specified U.S Persons.</b>  <b>II. Passive Non-Foreign Financial Entity with Controlling Persons that are specified U.S Persons.</b> (If this box is ticked, please indicate the name of all natural Controlling Person(s) of the Entity in section 6.1 below and separately complete	<input type="checkbox"/>
III.	<b>Excepted Non-Financial Foreign Entity</b>	<input type="checkbox"/>
IV.	<b>Direct Reporting NFFE</b>  Please provide your GIIN <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> . <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> . <input type="checkbox"/> <input type="checkbox"/> . <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/>

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

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

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 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 provide the appropriate reason **A, B** or **C** where indicated below:

- 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 if you selected Reason B*)

- 
- Reason C** - No TIN is required. (Note: Only select this reason if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction)
-

**\*Section 5: Entity's CRS Classification** (The information provided in this section is for CRS. Please note an Entity's CRS classification may differ from its FATCA classification in Section 3 above). In addition please note that the information that the Entity has to provide may differ depending on whether they are resident in a participating or non-participating CRS Jurisdiction. For more information please see the OECD CRS Standard and associated commentary. <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>

**5.1 Financial Institutions under CRS:**

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

*Note: 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. <http://www.revenue.ie/en/business/aeoi/participating-jurisdictions.pdf>*

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

**5.2 Non Financial Institutions (“NFE”) under CRS:**

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

I.	<b>Active Non-Financial Entity</b> – a corporation the stock of which is regularly traded on an established securities market. Please provide the name if the established securities market on which the corporation is regularly traded: _____	<input type="checkbox"/>
II.	<b>Active Non-Financial Entity</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 that the entity is listed on : _____	<input type="checkbox"/>
III.	<b>Active Non-Financial Entity</b> – a Government Entity or Central Bank	<input type="checkbox"/>
IV.	<b>Active Non-Financial Entity</b> – an International Organisation	<input type="checkbox"/>
V.	<b>Active Non-Financial Entity</b> – other 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 Non-Financial Entity</b> (If this box is ticked, please also complete Section 6.1 below and indicate the name of all natural Controlling Person(s) of the Entity and complete a separate Individual Self-Certification Form for each of your Controlling Person(s))	<input type="checkbox"/>

Section 6: Controlling Persons

**NB: Please note that each Controlling Person must complete a Separate Individual 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/common-reporting-standard-and-related-commentaries/#d.en.345314>

**Name of All Controlling Person(s) of the Account Holder:**

If you have ticked sections 5.1 VI above, then please complete section 6.1 and 6.2 below:

**6.1 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.

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**6.2 Complete a separate Individual (Controlling Person's) Self-Certification for FATCA and CRS 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 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):** \_\_\_\_\_

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## Part Two

### Individual Self-Certification - Instructions for completion

#### 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 Data Protection Acts, 1998 and 2003 of Ireland. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Fund, with Revenue, the Irish tax authority. 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 on FATCA or CRS please refer to the Irish Revenue or OECD websites at:

<http://www.revenue.ie/en/business/aeoi/index.html> or the following link to the OECD CRS Information Portal at: <http://www.oecd.org/tax/automatic-exchange/> 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.**

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

**(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: \_\_\_\_\_

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**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: 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 please refer to the OECD CRS Information Portal(<http://www.oecd.org/tax/automatic-exchange/>).

**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 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 provide the appropriate reason **A, B** or **C** where indicated below:

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

**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 Persons please use a separate Self-Certification form for each Controlling Person.

Please Confirm the type of Controlling Person applicable under CRS that applies to you/the Account holder by ticking the appropriate box	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



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

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

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

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

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