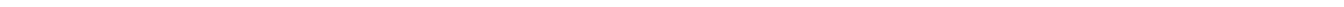


Latitude Horizon Fund

Sub Fund of the DMS UCITS Platform ICAV

Corporate and other Entity Application Form



For initial subscriptions you must complete this application form together with the supporting documentation required for anti-money laundering purposes. Please ensure you complete all relevant sections as failure to do so may cause delay in to your acceptance and verification process. Should you need any assistance in completing this form or if you have any questions please contact SEI on +353 1 638 2440 or email tadublin@seic.com.

Please return this form along with supporting documents via email/fax or post to **SEI Investments - Global Fund Services Limited, Styne House, Upper Hatch Street, Dublin 2, Ireland. Telephone: +353 1 638 2440 Facsimile: +353 1 477 4768 Email: tadublin@seic.com**. Subscriptions will not be permitted until SEI receives all required documentation and your account has been verified.

Once your account has been verified you will be contacted by SEI who will supply you with an account number and Investment Form in order to complete your investment into the Latitude Horizon Fund.

Organisation Detail - please complete the relevant sections dependant on your Entity type

Corporate and other Entities (excluding Trust)

- Part A - Section 1
- Part B - Beneficial Owners (if applicable)
- Part C - FATCA/CRS Entity Certification
- Part D - AML Risk Assessment
- Part E – Declarations and Signatures

Trust

- Part A - Section 2
- Part B - Beneficial Owners (if applicable)
- Part C - FATCA/CRS Entity Certification
- Part D - AML Risk Assessment
- Part E – Declarations and Signatures

Part A - Section 1: Corporate and other Entities (ex. Trusts)

Registered Name	
Shareholder Type ¹	
Account Designation (if any)	
Registered Address	
<div style="border: 1px solid black; height: 50px;"></div>	
Postcode	Country
Telephone	Email
Contact Name	
Business or correspondence address (if different to the above)	
<div style="border: 1px solid black; height: 50px;"></div>	
Postcode	Country
Telephone	Email
Contact Name	

¹e.g. (i) individual (ii) joint account, (iii) publicly-listed company, (iv) state-owned entity, (v) pension fund, (vi) regulated credit and financial institution, (vii) nominee company / intermediary company, (viii) private and unlisted companies, (ix) partnerships, (x) collective investment schemes, (xii) charities, (xiii) clubs & societies, (xiv) places of worship, (xv) other (please specify)

B. Beneficial owners and senior management

Please complete the beneficial owner section (Part B) with details of the following individuals and tick the boxes to confirm that the details have been provided (full requirements in **Appendix 2**)

- the natural person(s) who ultimately owns or controls a legal entity through direct or indirect ownership of a sufficient percentage of the shares or voting rights or ownership interest in that entity, including through bearer shareholdings, or through control via other means.
- A shareholding of 25% plus one share or an ownership interest of more than 25% in the customer held by a natural person shall be an indication of direct ownership. A shareholding of 25% plus one share or an ownership interest of more than 25% in the customer held by a corporate entity, which is under the control of a natural person(s), or by multiple corporate entities, which are under the control of the same natural person(s), shall be an indication of indirect ownership.

Part A - Section 1: Corporate and other Entities (ex. Trusts)

C. Supporting documentation (required to comply with Anti-Money Laundering Regulations)

You will need to include the information below.

- Copy of Certificate of Incorporation or equivalent constituting document
- Documentation to identify all Directors/Partners
- Documentation to identify ultimate beneficial owners holding 25% or more of the share, profit or voting rights
- Verify identity of two Directors or one Director and one authorised signatory/General Partner
- Original ASL including specimen signatures
- Completed beneficial owners (Part B)

Please see **Appendix 2** for further information on Anti-money laundering and know your customer requirements. We may request additional information following a review of the documentation provided.

Intermediary Details (if applicable)

<input type="text" value="Broker ID"/>	<input type="text" value="Branch ID"/>
<input type="text" value="Broker Name"/>	
<input type="text" value="Broker Address"/>	
<input type="text" value="Postcode"/>	
<input type="text" value="Representative Name"/>	<input type="text" value="Representative ID"/>

Part A - Section 2: Trusts

Primary Trustee Name	Second Trustee Name
----------------------	---------------------

Third Trustee Name	Fourth Trustee Name
--------------------	---------------------

Name of Trust/Charity

Account Designation (if any)

Registered Address

Postcode	Country
----------	---------

Business or correspondence address (if different from the above)

Postcode	Country
----------	---------

Contact Name

Telephone	Email
-----------	-------

If your organisation has charitable aims please provide the following information:

Charity registration reference (if applicable)

Description of aims and activities

Countries of operation

If not, please complete the below:

The type of Trust (will trust, discretionary trust etc.)

The nature and purpose of the trust

Country of establishment

B. Beneficial owners and senior management

Please complete the beneficial owner section (Part B) with details of the following individuals and tick the boxes to confirm that the details have been provided

Trustees or equivalent (including corporate trustees)

Beneficiaries (including a class of beneficiary)

For Trusts only

Protector(s) or any other individual who has control over the trust

Settlor

If a corporate trustee has been appointed, please also include:

Individuals holding 25% or more of the corporate trustee's share capital or voting rights (directly or indirectly, e.g. via a holding company)

Beneficiaries (including a class of beneficiary)

Part A - Section 2: Trusts

C. Supporting documentation (required to comply with Anti-Money Laundering Regulations)

You will need to include the information below.

- Copy of the Trust deed
- Details of individual Trustees and/or trust company
- Original authorised signatory list specimen signatures
- Completed beneficial owners (Part B)
- Group organisation chart for any corporate trustees (if the trust company is a subsidiary of another company)

Please see **Appendix 2** for further information on Anti-money laundering and know your customer requirements. We may requested additional information following a review of the documentation provided.

Part B - Beneficial Owners Details

Beneficial Ownership

For the purposes of this form a beneficial owner means any natural person(s) who ultimately owns or controls the customer and/or the natural person(s) on whose behalf a transaction or activity is being conducted and includes at least:

Body corporate, a beneficial owner is:

- the natural person(s) who ultimately owns or controls a legal entity through direct or indirect ownership of a sufficient percentage of the shares or voting rights or ownership interest in that entity, including through bearer shareholdings, or through control via other means.
- A shareholding of 25% plus one share or an ownership interest of more than 25% in the customer held by a natural person shall be an indication of direct ownership. A shareholding of 25% plus one share or an ownership interest of more than 25% in the customer held by a corporate entity, which is under the control of a natural person(s), or by multiple corporate entities, which are under the control of the same natural person(s), shall be an indication of indirect ownership.

Partnership, a beneficial owner is any individual who:

- ultimately is entitled to or controls, whether the entitlement or control is direct or indirect, more than a 25% share of the capital or profits of the partnership or more than 25% of the voting rights in the partnership, or
- otherwise controls the partnership.

Trust, a beneficial owner means any of the following:

- any individual who is entitled to a vested interest in possession, remainder or reversion, whether or not the interest is defeasible, in the capital of the trust property;
- in the case of a trust other than one that is set up or operates entirely for the benefit of individuals referred to in the paragraph above, the class of individuals in whose main interest the trust is set up or operates;
- any individual who has control over the trust;
- the settlor;
- the trustee;

Politically Expose Person ("PEP")

Definition of PEP is an individual who is, or has at any time in the preceding 12 months been, entrusted with a prominent public function, including either of the following individuals (but not including any middle ranking or more junior official). This also extends to a close associate and immediate family members.

If you require further information on Beneficial Ownership or PEP requirements please refer to **Appendix 2**.

Non-Individual

Registered Name

Capacity and Percentage Ownership (if applicable)

Business Address

Postcode

Country

Formation date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Named beneficiaries or class of Beneficiary e.g. grandchildren, the homeless

Part B - Beneficial Owners Details

Beneficiary Owner 1 (where applicable)

Are you a Politically exposed person, immediate family member or close associate of a PEP (refer to definition in Appendix 2)

Name	
Address	
Postcode	Country
Date of Birth	Beneficial owner category and percentage ownership (if applicable)
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>

Beneficiary Owner 2 (where applicable)

Are you a Politically exposed person, immediate family member or close associate of a PEP (refer to definition in Appendix 2)

Name	
Address	
Postcode	Country
Date of Birth	Beneficial owner category and percentage ownership (if applicable)
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>

Beneficiary Owner 3 (where applicable)

Are you a Politically exposed person, immediate family member or close associate of a PEP (refer to definition in Appendix 2)

Name	
Address	
Postcode	Country
Date of Birth	Beneficial owner category and percentage ownership (if applicable)
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>

Part B - Beneficial Owners Details

Beneficiary Owner 4 (where applicable)

Are you a Politically exposed person, immediate family member or close associate of a PEP (refer to definition in Appendix 2)

Name	
Address	
Postcode	Country
Date of Birth	Beneficial owner category and percentage ownership (if applicable)
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>

Beneficiary Owner 5 (where applicable)

Are you a Politically exposed person, immediate family member or close associate of a PEP (refer to definition in Appendix 2)

Name	
Address	
Postcode	Country
Date of Birth	Beneficial owner category and percentage ownership (if applicable)
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>

Beneficiary Owner 6 (where applicable)

Are you a Politically exposed person, immediate family member or close associate of a PEP (refer to definition in Appendix 2)

Name	
Address	
Postcode	Country
Date of Birth	Beneficial owner category and percentage ownership (if applicable)
<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/>

Please copy this sheet where more beneficiaries are required

Part C - FATCA, CRS Self-Certification

Entity Self-Certification for FATCA and CRS

Data Protection

Your application to invest in the Fund, and the information you disclose in this Subscription Agreement, is subject to the Standard for Automatic Exchange of Financial Account Information in Tax Matters (the Common Reporting Standard, or "CRS"). Ireland is a participating jurisdiction in the CRS. Accordingly, we are required to report certain information in relation to you, in particular your tax residency status and Tax Identification Number (TIN) (which you are required to provide in Bank Account Details for Redemption and Distribution Payments section of the form), to the Irish Revenue Commissioners. This is the case even where you are not resident in a jurisdiction that is participating in the CRS. The purpose of data-sharing under the CRS is to facilitate the cross-border enforcement and collection of tax. You should note that the information reported by us to the Irish Revenue Commissioners in respect of you may be shared with other tax authorities who are participants in the CRS.

For more information on the CRS, please see the relevant webpage on the Irish Revenue Commissioner's website:

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

FATCA and CRS Self-Certification

We are obliged under Section 891E, Section 891F, and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each account holder's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that by completing this application form you are providing personal information, which may constitute personal data within the meaning of the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2003. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Fund, with the Irish tax authorities, the Revenue Commissioners. They in turn may exchange this information, and other financial information with foreign tax authorities, including tax authorities located outside the EU.

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

For further information and guidance on FATCA or CRS please refer to the Irish Revenue or the

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

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

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

FATCA Declaration Specified U.S. Person

Please tick one of the below and complete as appropriate.

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

U.S TIN

The Entity is not a Specified U.S. Person (please complete sections 1, 2 and 3)

The Entity is a US person but not a Specified U.S. Person (please complete sections 2 and 3)

Section 1: Entity's FATCA Classification (the information provided in this section is for FATCA, please note your classification may differ from your CRS classification in Section 3)

Financial Institutions under FATCA - If the Entity is a Financial Institution, please tick one of the below categories and provide the Entity's Global Intermediary Identification number (GIIN)

Irish Financial Institution or a Partner Jurisdiction Financial Institution

Registered Deemed Compliant Foreign Financial Institution

Participating Foreign Financial Institution

GIIN

Part C – FATCA, CRS Self-Certification

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

- The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN. Please provide the sponsor's name and sponsor's GIIN:

Sponsor's Name Sponsors GIIN

- Exempt Beneficial Owner (this option is only available to Sponsored Investment Entities in Model 1 IGA jurisdictions. Sponsored Investment Entities that do not have U.S. reportable accounts are not required to register and obtain a GIIN with the IRS unless and until U.S. reportable accounts are identified).

(Please tick category of Exempt Beneficial Owner)	<input type="checkbox"/> Government Entity	<input type="checkbox"/> Exempt Retirement Fund
	<input type="checkbox"/> International organisation	<input type="checkbox"/> Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners
	<input type="checkbox"/> Foreign Central Bank	

- Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution under Annex II of the IGA Agreement)
- Non-Participating Foreign Financial Institution
- Excepted Foreign Financial Institution
- Trustee Documented Trust

Trustee's Name Trustee's GIIN

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

- Active Non-Financial Foreign Entity
- Passive Non-Financial Foreign Entity (If this box is ticked, please include self-certification forms for each of your Controlling Persons)
- Excepted Non-Foreign Financial Institution
- Direct Reporting Please provide your GIIN

Section 2: CRS Declaration of Tax Residency (please note that you may choose more than one country)*

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")) note: Provision of a Tax ID number (TIN) is required unless you are tax resident in a Jurisdiction that does not issue a (TIN).

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

Country of Tax Residency Tax ID Number

Section 3: 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 1)

Financial Institutions under CRS - If the Entity is a Financial Institution, please tick one of the below categories:

- Financial Institution under CRS (other than below)
- An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution (If this box is ticked, please indicate the name of any Controlling Person(s) of the Entity and complete a separate individual self-certification forms for each of your Controlling Persons**)

For more information please see the CRS Standard and associated commentary: <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>

Part C – FATCA, CRS Self-Certification

Section 3: Entity’s CRS Classification (cont.)

Financial Institutions under CRS - If the Entity is a Financial Institution, please tick one of the below categories:

- An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution (If this box is ticked, please indicate the name of any Controlling Person(s) of the Entity and complete a separate individual self-certification forms for each of your Controlling Persons**)
- Other Financial Institution, including a Depository Financial Institution, Custodial Institution or Specified Insurance Company

Non-Reporting Financial Institution under CRS - specify the type of Non-Reporting Financial Institution below:

- Governmental Entity
- International Organization
- Central Bank
- Broad Participation Retirement Fund
- Narrow Participation Retirement Fund
- Pension Fund of a Governmental Entity, International Organization, or Central Bank
- Exempt Collective Investment Vehicle
- Trust whose trustee reports all required information with respect to all CRS Reportable Accounts
- Qualified Credit Card Issuer
- Other Entity defined under the domestic law as low risk of being used to evade tax.
- Specify the type provided in the domestic law:

Non Financial Institutions (“NFE”) under CRS - If the Entity is a Non-Financial Institution, please tick one of the below categories:

- Active Non-Financial Entity – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation
- Active Non-Financial Entity – if you are a Related Entity of a regularly traded corporation.
Please provide the name of the regularly traded corporation that the Entity is a Related Entity of:
Please provide details of the securities market on which the Entity is regularly traded:
- Active Non-Financial Entity – a Government Entity or Central Bank
- Active Non-Financial Entity – an International Organisation
- Active Non-Financial Entity – other than above (for example a start-up NFE or a non-profit NFE)
- Passive Non-Financial Entity - **** If this box is ticked please also complete the next Section for each of the Controlling Person(s) of the Entity and a separate “Individual (including Controlling Person’s Self-Certification for FATCA and CRS form”. Individual Self-certification forms are available in Appendix 3.**

****Controlling Persons:**

- 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/>

Part C – FATCA, CRS Self-Certification

Section 3: Entity’s CRS Classification (cont.)

Controlling Person(s) of the Account Holder:

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

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

i.	
ii.	
iii.	
iv.	

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.

Part B Complete a separate “Individual (including Controlling Persons) Self-Certification for FATCA and CRS” form for each Controlling Person listed above.

Section 4: Declaration and Undertaking

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

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

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

Part D – AML Risk Assessment

Section 30A(2)(b) of Irish Anti-Money Laundering legislation requires us to complete an assessment below in order to identify the risk of money laundering and terrorist financing involved. Please complete all relevant sections. Should you have any question in relation to the completion of any section of the AML questionnaire please contact the AML team by email dublinsaml@seic.com or by phone at 353 1 638 2630.
In the event that any aspect of the registered investor detail or completed AML questionnaire should change in the future please ensure that this updated information is provided to the AML team promptly so that the current detail on the registered investor account can be accurately maintained.

Section 1 – Investment Detail

Does the investment consist of Bearer shares/Instruments? Yes No

Please confirm source of wealth – Please tick the appropriate box (this refers to the activities that have generated the total net worth of the customer e.g. the activities that produced the customers funds and property.

Employment Income

Sale of Real Estate

Sale of Securities investments

Inheritance

Other*

*if this box is ticked, please provide details in the box below

Please confirm source of funds – Please tick the appropriate box (this refers to the origin and means of transfer of funds that are involved in the transaction e.g. occupation, business activities, proceeds of sales etc.

Employment Income

*if this box is ticked, please provide details of the following in the box below

a) Job description and location: and

b) The Nature/industry of the employer’s business

Sale of Real Estate

*if this box is ticked, please provide details of the following in the box below

a) The amount and date that the property was sold; and

b) The location of the real estate

Part D – AML Risk Assessment

Section 1 – Investment Detail (cont.)

Please confirm source of funds (cont.) – Please tick the appropriate box (this refers to the origin and means of transfer of funds that are involved in the transaction e.g. occupation, business activities, proceeds of sales etc.)

Sale of Securities Investments

*if this box is ticked, please provide details of the following in the box below

- a) The type of security/securities sold; and
- b) The dates and the sale amount of the security/securities sold.

Inheritance

*if this box is ticked, please provide details of the following in the box below

- a) The amount and date that the inheritance was received; and
- b) The relation to the benefactor.

Other

*if this box is ticked, please provide details of the following in the box below

- a) The nature including jurisdiction of the source of the funds;
- b) The relevant dates associated; and
- c) The amounts received.

Is the investment associated with any of the following industries ? – Please tick the appropriate box

- | | | |
|--------------------------|--------------------------|--------------------------------------------------|
| Arms trade and defence | <input type="checkbox"/> | Gas or Petrol |
| Arts and Precious metals | <input type="checkbox"/> | Money Service, Cash Intensive Business or Casino |
| Construction | <input type="checkbox"/> | Pharmaceutical and Healthcare |
| Extractive Industries | <input type="checkbox"/> | Public Procurement |
| Other* | <input type="checkbox"/> | |

*if this box is ticked, please provide details in the box below

Part D – AML Risk Assessment

Section 2 – Investment Activity

Estimate of Current Total Net Assets (please tick appropriate box)

Up to £500,000 £500,000 to £1,000,000 £1,00,000 to £5,000,000 £5,000,000 to £10,000,000
 £10,000,000 to £50,000,000 Over £50,000,000

Expected total amount to be invested (please tick appropriate box)

Up to £500,000 £500,000 to £1,000,000 £1,00,000 to £5,000,000 £5,000,000 to £10,000,000
 £10,000,000 to £50,000,000 Over £50,000,000

Frequency of Future Transactions (please tick appropriate box)

Daily Weekly Monthly Quarterly
 Annually Other*

*if this box is ticked, please provide details in the box below

Expected average amount per future transaction (please tick appropriate box)

Up to £500,000 £500,000 to £1,000,000 £1,00,000 to £5,000,000 £5,000,000 to £10,000,000
 £10,000,000 to £50,000,000 Over £50,000,000

Section 3 – Sanction Confirmation

I/we confirm that a person in control of or a person owning beneficial interest in the investment is not subject to a sanction or embargo

I/we confirm that a person in control of or a person owning beneficial interest in the investment is subject to a sanction or embargo*

*if this box is ticked, please provide details in the box below including;

- a) Name of the person/party sanctioned;
- b) Details of the sanction/embargo enforced;
- c) Relationship of the person/party sanctioned to the registered investor; and
- d) Any other relevant detail

Section E - Declaration and Signatures

By signing this Application Form, I acknowledge that I have viewed, reviewed and understood the Key Investor Information Document (KIID) applicable to the relevant Share class(es) to which this Application Form relates in good time and prior to making an application for Shares of such Class(es).

I/We having received and considered a copy of the Prospectus and Supplement, hereby confirm that this application is based solely on the current Prospectus and supplement, the material contracts therein referred to together (where applicable) with the most recent annual report or semi-annual report and accounts of the ICAV.

I/We undertake to observe and be bound by the provisions of the Instrument of Incorporation of the ICAV (as amended from time to time) and apply for the Shares issued in relation to this application to be entered in the register of Shareholders in my/our name(s) (or in the name of a nominee or agent).

I/We acknowledge that, owing to anti-money laundering requirements operating within their respective jurisdictions, the ICAV, its Directors, the Administrator, the Investment Manager and any distributor which may be appointed (as the case may be) may require further identification of the applicant(s) before the application can be processed and the ICAV, its Directors, the Administrator, the Investment Manager and any distributor which may be appointed shall be held harmless and indemnified against any loss arising as a result of a failure to process the application if such information has been requested by the parties referred to and has not been provided by me/us.

I/We hereby authorise the Administrator to accept and execute any instructions, (including but not limited to any instructions regarding subscriptions, switches, transfers or redemptions of Shares or any payment in relation to same or otherwise) in respect of Shares to which this application relates, given by me in written form, by facsimile or by electronic means. I hereby agree to indemnify each of the Administrator, Investment Manager and the ICAV and any of their respective affiliates and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of my failure to remit the amount of my subscription by the due date or my failure to comply with the terms of this Subscription Agreement or them acting upon instructions given in written form by me, i.e. facsimile. The Administrator and the ICAV may rely conclusively upon, and shall incur no liability in respect of, any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed by properly authorised persons.

I/We consent to any notice or other document to be sent by the ICAV or the Administrator to me/us as a Shareholder, by electronic means including but not limited to e-mail, swift or posting such notice or other document on a website notified to me/us by post or by e-mail.

I/We confirm that I have the capacity and am duly authorised to complete this form and to make the representations and give the indemnities referred to herein, and that I am in compliance in all material respects with all applicable laws or regulations of any competent jurisdiction.

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

I/We understand that the representations and warranties made herein are continuous and all subsequent subscriptions of Shares in the Fund by me/us shall be governed by them, and I agree to notify the ICAV or the Administrator immediately if any representation or warranty are no longer accurate and to abide by any directions from the ICAV or the Administrator arising as a result.

I/We confirm that I am a person over 18 years of age.

I/We hereby certify that I am aware of the risks involved in the proposed investment as set out in the Prospectus.

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

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

I/We have consulted to the extent I have determined appropriate with my own independent advisors as to the financial, tax, legal and related matters concerning an investment in the Shares and on that basis believe that an investment in the Shares is suitable and appropriate for me.

Immediately prior to the execution of this Subscription Agreement:

(a) I personally possess sufficient knowledge and experience in financial and business matters (including experience with investments of a similar nature to investments of the ICAV and the Fund) to be capable of evaluating the merits and risks of an investment in the Shares; and

(b) I and any account for which I may be acting have sufficient financial risk to be able to bear the economic risk of complete loss of my/our investments in the Shares.

(c) such forms, documentation and other information relating to its status as the ICAV may reasonably request for the purposes of the ICAV's compliance with any other law, regulation, or exchange of information regime.

Section E - Declaration and Signatures

Declaration of applicants resident outside of the Republic of Ireland

Every applicant applying for shares/units on the applicant's own behalf is hereby obliged to notify the Fund or an agent of the Fund appointed for this purpose, as the case may be, in writing if the applicant is or becomes resident or ordinarily resident in Ireland. An individual is ordinarily resident in Ireland if the individual has been resident in Ireland for each of the 3 preceding years of assessment (i.e. calendar years) and that individual continues to be ordinarily resident in Ireland until the individual has not been resident in Ireland in each of the 3 preceding years of assessment.

Every applicant applying for shares/ units on behalf of another person is hereby obliged to notify in writing the Fund or an agent of the Fund appointed for this purpose, as the case may be, if the applicant is, or becomes, aware that any person who is beneficially entitled to any of those shares/ units may be resident or ordinarily resident in Ireland or may have become resident in Ireland. An individual is ordinarily resident in Ireland if the individual has been resident in Ireland for each of the 3 preceding years of assessment (i.e. calendar years) and that individual continues to be ordinarily resident in Ireland until the individual has not been resident in Ireland in each of the 3 preceding years of assessment.

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/units. Terms used in this declaration are defined in the Prospectus.

Terms used in this declaration are defined in the Prospectus. **Please select either A or B:-**

A - Declaration on Own Behalf

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

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

*** (Delete as appropriate)**

B - Declaration as Intermediary

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

- who will be beneficially entitled to the Shares; and
- to the best of my/our* knowledge and belief, none of the beneficiaries is resident or 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)**

IMPORTANT NOTES FOR DECLARATION OF RESIDENCE OUTSIDE OF IRELAND

1. Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
2. To be valid, the application form (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the applicant. Where there is more than one applicant, each person must sign. If the applicant is a company, it must be signed by the company secretary or another authorised officer.
3. If the application form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature.
4. An "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 the Republic of Ireland, on behalf of other persons; or
 - (b) holds units in an investment undertaking on behalf of other persons.
5. Irish Residents who are seeking to apply for Shares should contact the Administrator for an application form which does not include the above declaration. Exempt Investors who are entitled to payment without deduction of tax should also request the appropriate alternative declaration form from the Administrator

Section E - Declaration and Signatures

US Person Confirmation

Please confirm one of the statements below is correct by ticking the relevant box:

I/We confirm that I am/we are not a US Person (as defined in the Prospectus) and am/are not acquiring Shares in the Fund on behalf of, or for the benefit of, a US Person, nor do I/we intend to transfer any Shares which I/we may purchase to any US Person

OR

I/We confirm that I am/we are a US person (as defined in the Prospectus) who is/are both (i) an “accredited investor” (as defined in Rule 501(a) of Regulation D under the 1933 Act) and a (ii) “qualified eligible person” (as defined in CFTC Regulation 4.7)

Signature and Capacity

Signature	Capacity of signatory
Name	
Date	Is signatory a resident or citizen of the US <input type="checkbox"/> Yes <input type="checkbox"/> No

Signature	Capacity of signatory
Name	
Date	Is signatory a resident or citizen of the US <input type="checkbox"/> Yes <input type="checkbox"/> No

Signature	Capacity of signatory
Name	
Date	Is signatory a resident or citizen of the US <input type="checkbox"/> Yes <input type="checkbox"/> No

Signature	Capacity of signatory
Name	
Date	Is signatory a resident or citizen of the US <input type="checkbox"/> Yes <input type="checkbox"/> No

Appendix 1 - Data Protection and Privacy notice

Introduction

This notice sets out details of how and why we (“the Fund”, “we”, “us”, “our”) and third parties collect and process personal information in connection with investments in the Fund or associated interactions with us. We do this in compliance with our obligations under applicable data protection law. This notice explains what personal data is collected, the purposes for which it is used, the third parties to whom it may be disclosed and how individuals can exercise their rights in relation to their personal data.

This notice applies to the collection and processing of personal information relating to any individual applicant in the Fund and personal information relating to individuals associated with institutional applicants in the Fund, such as an institutional applicant’s directors, shareholders, trustees, beneficial owners, employees, representatives, agents, professional advisers and other personnel. References to “you” and “your” mean the relevant individuals who are the subjects of the personal data to which this notice relates or an institutional applicant with which an individual is associated. Institutional applicants should ensure that this notice is provided to any individual whose personal data has been provided to us as soon as practicable.

About Us

The Fund is the controller of the personal data collected via the application form in respect of the Fund (the “Application Form”) and in connection with our dealings with you in relation to investments in the Fund or associated interactions with us. The Fund engages third party service providers to process such personal data on behalf of the Fund and those third parties act as processors. The Fund is not required to designate a Data Protection Officer. If you have any questions about the use of your personal data, your data protection rights or if you want to exercise those rights, please contact us at dmsnotices@dmsgovernance.com.

Personal Data that we Process

The Fund collects personal data relating to you that is provided to it in your Application Form, in connection with our dealings with you in relation to investments in the Fund or associated interactions with us from both you and public sources, including your name, signature, postal address, email address, fax number, date and place of birth, nationality, bank account details, source of funds details, tax identification, signatures, other contact details, shareholder register account numbers (or functional equivalent) and transaction detail.

The Fund may also collect personal data in relation to you in connection with ensuring compliance with its legal obligations including your tax identification number; passport number; utility bills, photographic identification and verification such as copies of your passport, passport number, drivers licence and address verification. For the purposes of carrying out due diligence, we may also collect information relating to your status as an ultimate beneficial owner of an entity, or as a politically exposed person.

The Fund may collect and process personal data relating to you in connection with its on-going relationship with you, such as via correspondence and calls, and in connection with our administration of you or your investment in the Fund and relating to your investment activity. Telephone calls with you may be recorded for the purposes of record keeping, security and training.

In addition, we may collect personal data relating to you from third party sources in connection with complying with legislation relating to anti-money laundering, taxation, and other legislation applicable to investment funds.

To the extent that any information contained in the Application Form or any other information that is furnished in connection with your investment in the Fund constitutes personal data in respect of another individual, you should provide a copy of this notice to such individual and acknowledge, on that individual’s behalf, that such data shall be held and processed by and on behalf of the Fund in the manner outlined herein.

Purposes of Processing and Legal Basis

Personal data that you provide in your Application Form, or that we otherwise obtain in relation to you, will be processed for the following purposes:

- processing the application to become an applicant in the Fund;
- to reflect ownership of shares in the Fund and to manage and administer your holdings in the Fund. This is necessary for the performance of the contract to purchase shares in the Fund and to process redemption, conversion, transfer and additional subscription requests or the payment of distributions or redemption amounts.
- establishing your identity, and providing, servicing and administering your investment;
- complying with our legislative and regulatory obligations in connection with our dealings with you, including under applicable law regarding anti-money laundering and counter terrorist financing, taxation, the regulation of collective investment schemes, or the provision of financial services, crime-detection, prevention, investigation and prosecution, the prevention of fraud, bribery, anti-corruption, tax evasion, to prevent the provision of financial and other services to those who may be subject to economic or trade sanctions, in response to legal or court requests or requests from regulatory authorities or where it is in the public interest;
- for direct marketing purposes (that is, providing information on products and services) or for quality control, business and statistical analysis, market research or for tracking fees and costs or for customer service, training and related purposes;
- if applicable, processing the fact that you are a politically exposed person, to comply with applicable legal obligations;
- to communicate with you by way of notice pursuant to applicable legislation or the Fund’s constitutional documents or circulating reports relating to the Fund;
- maintaining appropriate business records, including maintaining appropriate registers of shareholders;
- where required for global tax reporting purposes, including FATCA or CRS;
- internal training and management of personnel;
- to respond to or evaluate any queries or complaints in relation to your investment;
- internal and external audits and, where necessary, investigations; and
- establishing, exercising or defending legal claims.

The legal grounds that we rely on to process your personal data are:

- that it is necessary to comply with our legal obligations;
- that it is necessary for the purposes of The Funds legitimate interests¹ or the legitimate interests of a third party to whom your personal data is provided. The Fund will not process your personal data for these purposes if our or the third party’s legitimate interests should be overridden by your own interests or fundamental rights and freedoms. The legitimate interests pursued by us in this regard include:
 - o Conducting our business in a responsible and commercially prudent manner and dealing with any disputes that may arise;
 - o Preventing, investigating or detecting theft, fraud or other criminal activity;
 - o Pursuing our corporate and social responsibility objectives.
- where you are an individual applicant, that this is necessary to take steps at your request prior to entering into our contract with you and for the performance of our contract with you;
- in certain limited circumstances, your consent.

¹ Legitimate Interest – as defined under GDPR.

Appendix 1 - Data Protection and Privacy notice

Other Data Controllers

The Fund Administrator may use the information provided by you in order to obtain information it requires in relation to your prospective investment in another fund. The Administrator may consider itself a data controller with respect to this activity.

The Fund Administrator and MLRO may make a report to relevant authorities where it has a suspicion of money laundering or a terrorist financing offence. Where the Administrator makes such a report for itself, not with respect to you, it may consider itself a data controller with respect to this activity. The legal basis for making such disclosure is to comply with a legal requirement.

The Depositary may consider itself a data controller with respect to personal data it receives in the performance of its oversight services with respect to the Fund. The legal basis for obtaining such data is to comply with a legal requirement.

Transfers Abroad

In connection with the above purposes your personal data may be transferred outside the European Economic Area, including to a jurisdiction which is not recognised by the European Commission as providing for an equivalent level of protection for personal data as is provided for in the European Union. These jurisdictions may include the United States of America, the Cayman Islands and Asia. If and to the extent that we do so, we will ensure that appropriate measures are in place to protect the privacy and integrity of such personal data and in particular will comply with our obligations under Regulation (EU) 2016/679, the General Data Protection Regulation (GDPR) governing such transfers, which may include:

- (a) entering into a contract governing the transfer which contains the "standard contractual clauses" approved for this purpose by the European Commission;
- (b) in respect of transfers to the United States of America, ensuring that the transfer is covered by the EU-US Privacy Shield framework (for so long as that it meets with the requirements of GDPR as regards reliance on adequacy decisions under Article 45 of the GDPR);
- (c) transferring your personal data pursuant to binding corporate rules; or
- (d) a transfer where the European Commission has decided that the recipient ensures an adequate level of protection.

Further details of the measures that we have taken in this regard and the territories to which your personal data may be transferred are available by contacting us as set out above.

Recipients of Data

Your personal data may be disclosed to various recipients in connection with the above purposes, including:

- the Board of the Fund;
- Third party service providers that may be appointed in respect of the Fund;
- Money Laundering Reporting Officer;
- Company Secretary;
- Domestic and other foreign tax authorities as required by applicable law, including FATCA or CRS;
- Competent regulatory authorities and bodies as requested or required by law;

- Other third parties who we engage to provide services to us, such as professional advisers, legal advisers, auditors and IT service providers;
- To screening and other reference agencies in order to carry out money laundering and identity checks and to comply with legal obligations;
- Other members of our corporate group or the corporate groups of the entities referred to above, as well as affiliates, agents and delegates; and

Retention

We will retain your personal data for the duration of your investment in the Fund and for such a period of time after the investment ends as is necessary to comply with our obligations under applicable law and, if relevant, to deal with any claim or dispute that might arise.

Your Rights

You have the following rights, in certain circumstances and subject to applicable exemptions, in relation to your personal data, as set out in more detail in Chapter 3 of the GDPR:

- the right to access your personal data, together with information about our processing of that personal data;
- the right to rectify any inaccuracies in your personal data;
- the right to have any incomplete personal data completed;
- the right to erase your personal data (in certain specific circumstances).
- the right to request that your personal data is no longer processed for particular purposes (in certain specific circumstances);
- where the legal basis for processing is consent, the right to withdraw your consent at any time;
- the right to object to the use of your personal data or the way in which it is processed where we have determined it to be necessary for the purposes of our legitimate interests;
- the right to data portability (in certain specific circumstances);
- the 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 infringes applicable data protection law.

Consent to Direct Marketing

From time to time the Fund or any of the entities listed above may send you information about other products and services that they offer by letter, 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, please tick () here.

You have a right to withdraw this consent at any time. However, your withdrawal of consent will not affect the lawfulness of processing based on consent before its withdrawal.

Appendix 2 - Anti-money laundering documentation requirements

Under Irish legislation and supplemental guidance covering anti-money laundering and the taxation of savings the ICAV and the Administrator are required to obtain the documentation set out at Appendix III to verify the identity of all new applicants. This documentation should be provided with the subscription agreement. The documentation listed may not cover all applications and the ICAV and the Administrator reserve the right to request additional documentation if required. Should documents be provided in a language other than English, an English translation may be required.

In any event, redemption and dividend payments will not be processed until full anti-money laundering documentation has been received on the account and the ICAV and the Administrator reserve the right to take further action where full anti-money laundering documentation has not been received.

Please note that the Administrator can only accept application forms from an entity that has legal capacity to enter into contracts on its own right and may require the constitutive document to legitimate legal status.

The Administrator employs a risk based approach to anti money laundering (“AML”). This entails looking at various risk factors such as geographic risk, customer risk and Politically Exposed Person (“PEP”) association among other factors. There are 3 different approaches that can be taken as a result of the risk assessment, these are Simplified Customer Due Diligence (SCDD), Standard Customer Due Diligence (SDD) or Enhanced Customer Due Diligence (ECDD).

Simplified Customer Due Diligence (“SCDD”)

SCDD can be applied in instances where the jurisdiction involved and customer type is deemed lower risk from a Money Laundering and Terrorist Financing perspective. Where SCDD is applied the emphasis is more on independent verification.

Examples of where SCDD can be applied are:

A credit or financial institution that carries out business in an EU Member State or in a jurisdiction, which operates comparable AML/CTF controls

A company listed on a regulated market in a prescribed country.

Standard Customer Due Diligence (“SDD”)

SDD will be applied where the customer/entity investing is located in a jurisdiction deemed to have equivalent levels of AML/CTF controls as Ireland. Additionally the entity type, as a result of our risk assessment, is not deemed to be higher risk, however information on the beneficial owners and controllers is not publicly available and therefore information is required from the Investor.

Enhanced Customer Due Diligence (“ECDD”)

ECDD is applied on a risk sensitive basis in any situation, which by its nature would present a higher risk of money laundering or terrorist financing. Typically ECDD will be applied to investors located in higher risk jurisdiction, with a complex legal structure or where the registered shareholder or ultimate beneficial owner of the registered shareholder has been identified as a Politically Exposed Person (“PEP”).

Please note the above is a guideline and SEI reserve the right to apply ECDD to any Investor where it deems the situation warrants the approach or may request further information as it deems necessary as part of its AML verification process.

Beneficial Ownership

A beneficial owner means any natural person(s) who ultimately owns or controls the customer and/or the natural person(s) on whose behalf a transaction or activity is being conducted and includes at least:

Body Corporate

In the case of a body corporate, a beneficial owner is the natural person(s) who ultimately owns or controls a legal entity through direct or indirect ownership of a sufficient percentage of the shares or voting rights or ownership interest in that entity, including through bearer shareholdings, or through control via other means.

A shareholding of 25% plus one share or an ownership interest of more than 25% in the customer held by a natural person shall be an indication of direct ownership. A shareholding of 25% plus one share or an ownership interest of more than 25% in the customer held by a corporate entity, which is under the control of a natural person(s), or by multiple corporate entities, which are under the control of the same natural person(s), shall be an indication of indirect ownership.

if, after having exhausted all possible means and provided there are no grounds for suspicion, no person under point (i) is identified, or if there is any doubt that the person(s) identified are the beneficial owner(s), the natural person(s) who hold the position of senior managing official(s).

Partnership

In the case of a partnership, a beneficial owner is any individual who ultimately is entitled to or controls, whether the entitlement or control is direct or indirect, more than a 25% share of the capital or profits of the partnership or more than 25% of the voting rights in the partnership, or otherwise controls the partnership.

Deceased Persons

Beneficial owner, in relation to an estate of a deceased person in the course of administration, means the executor or administrator of the estate concerned.

Legal Entity or Legal Arrangement

In relation to a legal entity or legal arrangement (other than a corporate, partnership or trust) a beneficial owner means:

If the individuals who benefit from the entity or arrangement have been determined, any individual who benefits from the property of the entity or arrangement;

If the individuals who benefit from the entity or arrangement have yet to be determined, the class of such individuals in whose main interest the entity or arrangement is set up or operates;

Any individual who exercises control over the property of the entity or arrangement;

Any person holding a position, in relation to the legal entity or legal arrangement that is similar or equivalent to the position of settlor, trustee or protector in relation to a trust.

Appendix 2 - Anti-money laundering documentation requirements

Trust

In the case of a trust, a beneficial owner means any of the following:
 any individual who is entitled to a vested interest in possession, remainder or reversion, whether or not the interest is defeasible, in the capital of the trust property;
 in the case of a trust other than one that is set up or operates entirely for the benefit of individuals referred to in paragraph (a), the class of individuals in whose main interest the trust is set up or operates;
 any individual who has control over the trust;
 the settlor;
 the trustee;
 the protector.

For the purposes of and without prejudice to the generality of subsection A above, an individual who is the beneficial owner of a body corporate that—
 is entitled to a vested interest of the kind referred to in subsection (A)(i), or
 has control over the trust,
 is taken to be entitled to the vested interest or to have control over the trust (as the case may be).

In this section “control”, in relation to a trust, means a power (whether exercisable alone, jointly with another person or with the consent of another person) under the trust instrument concerned or by law to do any of the following:
 dispose of, advance, lend, invest, pay or apply trust property;
 vary the trust;
 add or remove a person as a beneficiary or to or from a class of beneficiaries;
 appoint or remove trustees;
 direct, withhold consent to or veto the exercise of any power referred to in paragraphs (i) to (iv).

Politically Exposed Person (“PEP”)

A PEP is defined as an individual who is, or has at any time in the preceding 12 months been, entrusted with a prominent public function, including either of the following individuals (but not including any middle ranking or more junior official):

- A member of the administrative, management or supervisory body of a state owned enterprise; or
- A specified official – being any of the following officials, including any such officials in an institution of the European Communities or an international body:
 - a head of state, head of government, government minister or deputy or assistant government minister;
 - a member of a parliament or similar legislative body;
 - a member of the governing body of a political party;
 - a member of a supreme court, constitutional court or other high level judicial body whose decisions, other than in exceptional circumstances, are not subject to further appeal;
 - a member of a court of auditors or of the board of a central bank;
 - an ambassador, chargé d’affaires or high-ranking officer in the armed forces;
 - a director, deputy director or member of the board of, or person performing the equivalent function in relation to, an international organisation.

A **close associate** of a politically exposed person 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 politically exposed person;
- any individual who has sole beneficial ownership of a legal entity or legal arrangement set up for the actual benefit of the politically exposed person.

An **immediate family member** of a politically exposed person includes any of the following:

- any spouse of the politically exposed person;
- any person who is considered to be equivalent to a spouse of the politically exposed person under the national or other law of the place where the person or politically exposed person resides;
- any child of the politically exposed person;
- any spouse of a child of the politically exposed person;
- any person considered to be equivalent to a spouse of a child of the politically exposed person under the national or other law of the place where the person or child resides;
- any parent of the politically exposed person;
- any other family member of the politically exposed person who is of a prescribed class.

Appendix 2 - Anti-money laundering documentation requirements

Entity Type	AML Documents Required* -	
	Standard	Enhanced
Individual	<ul style="list-style-type: none"> - Copy of photo ID (copy of Passport, Drivers License or National ID Card) ** - Copy of proof of residential address verification (Utility Bill, Bank or Mortgage Statement***) 	<ul style="list-style-type: none"> - Certified copy of photo ID - Two certified proofs of residential address verification - For PEP Investors a source of wealth confirmation will also be required
Joint Account	- As per the above for each account holder	- As per the above for each account holder
Designated Person (wholly owned subsidiary)	<ul style="list-style-type: none"> - Proof of Regulation - Letter of representation - Original Authorised Signatory List ("ASL") including specimen signatures 	
Corporation	<ul style="list-style-type: none"> - Copy of Certificate of Incorporation or equivalent constituting document - Identify Directors - Identify ultimate beneficial owners holding 25% or more of the share, profit or voting rights - Verify identity of two Directors or one Director and one authorised signatory - Original ASL including specimen signatures 	<ul style="list-style-type: none"> - All documents required under standard - Constituting document to be certified e.g. Certificate of Incorporation - Certified Memorandum and Arts or Association or equivalent - Verify identity of all ultimate beneficial owners holding 25% or more of the share, profit or voting rights - For PEP Investors a Source of Wealth confirmation will also be required
Trust	<ul style="list-style-type: none"> - Copy of Trust Deed - Identify all Trustees - Verify identity of two Trustees or one Trustee and one authorised signatory - Identify Settlor(s)/Donor - Identify all ultimate beneficial owners holding 25% or more of the trust assets - Original ASL including Specimen Signatures 	<ul style="list-style-type: none"> - All documents required under standard - Certified copy of Trust Deed - Verify identity of Settlor(s)/Donor - Verify identity of all beneficiaries entitled to more than 25% of the trust assets - For PEP Investors a Source of Wealth confirmation will also be required
Partnership	<ul style="list-style-type: none"> - Copy of Partnership Agreement - Identify all Partners including percentage holdings - Verify identity of general partner - Original ASL including specimen signatures 	<ul style="list-style-type: none"> - All documents required under standard - Certified copy of Partnership Agreement - Verify identity of all Partners holding 25% of the capital - For PEP Investors a Source of Wealth confirmation will also be required

Appendix 2 - Anti-money laundering documentation requirements

Entity Type	AML Documents Required* -	
	Standard	Enhanced
Limited Liability Company ("LLC")	<ul style="list-style-type: none"> - Copy of Certificate of Formation or equivalent - Identify Managing Members - Verify identity of two Managing Members or one Managing Member and one authorised signatory - Identify all members holding 25% or more of the share capital - Original ASL including Specimen Signatures 	<ul style="list-style-type: none"> - All documents required under standard - Certified copy of Certificate of Formation or equivalent - Certified copy of Operating Agreement or equivalent - Verify the identity of all members beneficially entitled to more than 25% of the entity's share capital - For PEP Investors a Source of Wealth confirmation will also be required
USA Individual Retirement Account ("IRA")	<ul style="list-style-type: none"> - Identify individual in line with individual requirements as noted above - Proof of regulation for Custodian of the IRA - Original ASL including specimen signatures where applicable 	
Fund	<ul style="list-style-type: none"> - Copy of the Offering Memorandum / Prospectus or equivalent - Name and Address of Fund's Promoter and Administrator - Proof of regulation for entity conducting AML checks on the fund investors - Identify all investors who own more than 25% of the shares / units of the fund - Original ASL including specimen signatures 	<ul style="list-style-type: none"> - Certified copy of the Offering Memorandum / Prospectus or equivalent - Certified copy of Certificate of Incorporation or equivalent - Verify the identity of all investors who own more than 25% of the share capital - For PEP Investors a Source of Wealth confirmation will also be required
Pension Plan	<ul style="list-style-type: none"> - Copy of the Formation document of pension plan - Identify Trustees / Directors / Governors / Board Members or equivalent - Verify identity of two of the above noted in point 2 as applicable - Original ASL including Specimen Signatures 	<ul style="list-style-type: none"> - All documents required under standard - Certified copy of the Formation Document of the pension plan - Verify identity of plan administrator <p><u>And / or</u></p> <ul style="list-style-type: none"> - Confirmation from plan administrator that AML checks are conducted at appropriate level <u>And / or</u> - Certified copy of the most recent Audited Financial Statements - For PEP Investors a Source of Wealth confirmation will also be required
Schools, colleges or universities	<ul style="list-style-type: none"> - Copy of constitutional document where feasible - Verify identity independently - Identify main officials - Verify the identity of two officials - Determine ownership of entity - Original ASL including Specimen Signatures 	<ul style="list-style-type: none"> - All documents required under standard - Certified copy of constitutional document where feasible - Verify identity of individuals who own or control over 25% of the entity's share capital - For PEP Investors a Source of Wealth confirmation will also be required

Appendix 2 - Anti-money laundering documentation requirements

Entity Type	AML Documents Required* -	
	Standard	Enhanced
Public Body	<ul style="list-style-type: none"> - Name of the home state authority and nature of its relationship with the public body - Details of the ownership of the entity - Identify the main public body officials - Identify all persons who own or control more than 25% of the capital - Independent research of entity - Original ASL including Specimen Signatures 	<ul style="list-style-type: none"> - All documents required under standard - Verify identity of two officials <u>And / or</u> - Verify identity of all persons who own or control over 25% of capital - Certified copy of the most recent Audited Financial Statements - For PEP Investors a Source of Wealth confirmation will also be required
Charity	<ul style="list-style-type: none"> - Independent verification of the charity as an approved body e.g. for US Charities confirmation of 501(c) status via Guidestar <u>Or all points below</u> - Nature / purpose including nature of the funding - Identify Trustees / Directors / Governors / Board Members or equivalent - Verify identify two of the above noted in point 3 as applicable - Identify beneficiaries where ascertainable - Copy of Constitutional / Formation document - Original ASL including Specimen Signatures 	<ul style="list-style-type: none"> - All documents required under standard except point 1 - Certified copy of Constitutional / Formation document - Certified copy of the most recent Audited Financial Statements - For PEP Investors a Source of Wealth confirmation will also be required

* Subject to change in line with Irish regulatory requirements and relevant guidelines.

** Document must have signature, must be in date and have clear photo.

*** Document must be recent (under 6 months old), must match application form and must not be a c/o or PO Box Address.

Appendix 3 - FATCA, CRS Self-Certification

Individual (including Controlling Persons) Self-Certification for FATCA and CRS

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

Please tick either of the below and complete as appropriate.

- 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:

U.S TIN

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

Section 3: Common Reporting Standard (CRS) Declaration of Tax Residency/Residencies

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

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

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

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

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

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

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

Appendix 3 - FATCA, CRS Self-Certification

Individual (including Controlling Persons) Self-Certification for FATCA and CRS

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 NFE or an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution)

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

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

Section 5: Declaration and Undertaking

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

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

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