



CIFIC Global Floating Rate Credit Fund (the **Sub-Fund**)

a sub-fund of DMS UCITS Platform ICAV (an umbrella fund with segregated liability between sub-funds) (the **Fund**)

APPLICATION FORM

INSTRUCTIONS

Mailing Address

C/o SEI Investments – Global Fund Services Limited (the “Administrator”)
 Styne House
 Upper Hatch Street
 Dublin 2, D02 DY27
 Ireland
 Tel: +353 1 6382440
 Fax: +353 1 4774768
 E-mail: tadublin@seic.com

For initial subscriptions in cash you must complete this Application Form and submit by fax or e-mail to the Administrator together with the supporting documentation required for anti-money laundering (“AML”) purposes, by 3pm, (Irish time), 5 business prior to Dealing Day subsequent subscriptions and redemption requests may be submitted separately. The completed Application Form and the supporting documentation required for AML must then be sent to the Administrator by post with proof of mailing to the address provided above.

Failure to post the Application Form along with the original documentation required for AML purposes may result in the deduction of tax due to the Irish Finance Act requirements outlined in the AML section and/or a delay in the acceptance and/or payment of a transfer/redemption request.

Non-Retail Accounts - An authorised signatory list must be provided at the time of account opening for the investing entity in whose name the account is being opened. The Application Form must be signed in accordance with that authorised signatory list.

Any future changes to the original account details must be received in original format and signed by no less than two authorised signatories, in the case of a company, on corporate letterhead, and in the case of retail applicants, all account signatories must authorise every instruction.

Applicants to the Fund (the “Applicants”) who are resident or ordinarily resident in the Republic of Ireland as defined in the Prospectus, should contact the Administrator immediately prior to investing.

Applicants who are persons referred to in section 739D(6) of the Taxes Consolidation Act 1997 (as amended) of Ireland (TCA) must complete the Irish Revenue Commissioners prescribed declaration form at the end of this Application Form (Exempt Irish Applicants Declaration).

Subscription Information

Please pay subscription monies in the relevant class currency to the following account(s) referencing the name of the Applicant.

British Pounds – GBP

Pay	Barclays Bank PLC, London
SWIFT/BIC	BARCGB22
For Account	The Northern Trust International Banking Corporation, NJ
SWIFT/BIC	CNORUS33
IBAN	GB64 BARC 2032 5353 5294 95
Beneficiary Name	DMS UCITS Platform ICAV – CIFC Global Floating Rate Credit Fund S/R GBP (Sub-Fund)
Beneficiary Number	656660-22213
Reference	<i>(Please insert applicant name)</i>

US Dollar - USD

Pay	The Northern Trust International Banking Corporation, NJ
SWIFT/BIC	CNORUS33
FED ABA	026-001-122
Account Name	DMS UCITS Platform ICAV – CIFC Global Floating Rate Credit Fund S/R USD (Sub-Fund)
Account Number	209601-20010
CHIPS ABA	0112
Reference	<i>(Please insert applicant name)</i>

Euro - EUR

Pay	Barclays Bank PLC, London
SWIFT/BIC	BARCGB22
For Account	The Northern Trust International Banking Corporation, NJ
SWIFT/BIC	CNORUS33
Account Number	56080488
Beneficiary Name	DMS UCITS Platform ICAV – CIFC Global Floating Rate Credit Fund S/R EUR (Sub-Fund)
Beneficiary Number	656652-22213
Reference	<i>(Please insert applicant name)</i>

Swiss Franc - CHF

Pay	Credit Suisse AG, Zurich
SWIFT/BIC	CRESCHZZ80A
For Account	The Northern Trust International Banking Corporation, NJ
SWIFT/BIC	CNORUS33
IBAN	CH100483509849903301 0
Beneficiary Name	DMS UCITS Platform ICAV – CIFC Global Floating Rate Credit Fund S/R CHF (Sub-Fund)
Beneficiary Number	656678-22213
Reference	<i>(Please insert applicant name)</i>

Swedish Krona - SEK

Pay	Nordea Bank AB, Stockholm
SWIFT/BIC	NDEASESS
For Account	The Northern Trust International Banking Corporation, New Jersey
SWIFT/BIC	CNORUS33
IBAN	SE5030000000039527707854
Beneficiary Name	DMS UCITS Platform ICAV – CIFC Global Floating Rate Credit Fund S/R SEK (Sub-Fund)
Beneficiary Number	656710-22213
Reference	<i>(Please insert applicant name)</i>

Israeli New Shekel - ILS

Pay	Bank Hapoalim, Tel Aviv
SWIFT/BIC	POALILIT
For Account	The Northern Trust International Banking Corporation, New Jersey
SWIFT/BIC	CNORUS33
IBAN	IL47012600000000260082
Beneficiary Name	DMS UCITS Platform ICAV – CIFC Global Floating Rate Credit Fund S/R ILS (Sub-Fund)
Beneficiary Number	656702-22213
Reference	<i>(Please insert applicant name)</i>

Danish Krone - DKK

Pay	Nordea Bank A/S, Copenhagen
SWIFT/BIC	NDEADKKK
For Account	The Northern Trust International Banking Corporation, New Jersey
SWIFT/BIC	CNORUS33
Account Number	5000021034
Beneficiary Name	DMS UCITS Platform ICAV – CIFC Global Floating Rate Credit Fund S/R DKK (Sub-Fund)
Beneficiary Number	656645-22213
Reference	<i>(Please insert applicant name)</i>

Japanese Yen - YEN

Pay	Bank of America, NA, Tokyo
SWIFT/BIC	BOFAJPJX
For Account	The Northern Trust International Banking Corporation, New Jersey
SWIFT/BIC	CNORUS33
Account Number	50234015
Beneficiary Name	DMS UCITS Platform ICAV – CIFC Global Floating Rate Credit Fund S/R YEN (Sub-Fund)
Beneficiary Number	656744-22213
Reference	<i>(Please insert applicant name)</i>

Please ensure that your bank quotes the details above in the electronic funds transfer to the appropriate bank.

Subscription monies should be received by wire transfer in cleared funds by the time and date specified in the Prospectus and Supplement in the currency of the relevant Share Class. The Administrator may, at its discretion, accept payment in other currencies, but such payments will be converted into the currency of the relevant share class at the then prevailing exchange rate and any conversion expenses shall be borne by the Shareholder. This may result in a delay in processing the application

Details of Investment – Share Class

Class	Currency	Distribution Policy	ISIN	Value of Subscription
GBP Class A-1	GBP	Accumulating	IE00BGRX5Z38	
GBP Class A-2	GBP	Distributing	IE00BGRX6059	
GBP Class B-1	GBP	Accumulating	IE00BGSNDF85	
GBP Class B-2	GBP	Distributing	IE00BGRCDQ78	
Euro Class A-1	Euro	Accumulating	IE00BGRX6166	
Euro Class A-2	Euro	Distributing	IE00BGRX6273	
Euro Class B-1	Euro	Accumulating	IE00BGRCDR85	
Euro Class B-2	Euro	Distributing	IE00BGRCDW39	
DKK Class B-1	DKK	Accumulating	IE00BGRCDV22	
DKK Class B-2	DKK	Distributing	IE00BGRCDT00	
CHF Class A-1	CHF	Accumulating	IE00BNG8NG54	
CHF Class B-1	CHF	Accumulating	IE00BGRCDX46	
CHF Class B-2	CHF	Distributing	IE00BGRCDS92	

USD Class A-1	USD	Accumulating	IE00BGRX5X14	
USD Class A-2	USD	Distributing	IE00BGRX5Y21	
USD Class B-1	USD	Accumulating	IE00BH3JFP20	
USD Class B-2	USD	Distributing	IE00BFMZRT52	

The Applicant, having received and read a copy of the Prospectus and Supplement hereby applies to invest in the Sub-Fund, as indicated in the table below. Enter Value of Subscription.

Please note that if you are an existing investor in the Sub-Fund, you should complete an additional subscription document. This is an initial application for new Applicants.

**APPLICANT INFORMATION
(TO BE COMPLETED BY ALL APPLICANTS)**

Account Registration Details

Individual Applicants:	
Name	
Shareholder Type ¹	
Date of Birth	
Nationality	

Entity Applicants:	
Registered Name	
Account Designation (if any)	
Shareholder Type ²	
Nature of purpose of entity	
Formation Date	
Domicile	

Registered Address			
Address PO or C/O will not be accepted			
Mailing Address (if different)			
Contact Name			
Contact Details	Telephone (inc. country code)		Facsimile

¹ e.g. (i) individual or (ii) joint account (please specify)

² e.g. (i) publicly-listed company (ii) state-owned entity (iii) pension fund (iv) regulated credit and financial institution (v) nominee company/intermediary company (vi) private and unlisted company (vii) partnerships (viii) collective investment schemes (ix) trusts, foundations and similar entities (x) charities (xi) clubs & societies (xii) places of worship (xiii) other (please specify)

Email	
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Joint Applicant(s)

Details of up to 3 additional holders may be added to the application. Please complete details in block capitals below.

First additional Applicant details				
Registered Name				
Occupation (if individual or joint account) or Nature of purpose of entity (if entity)				
Source of wealth (e.g. inheritance, income from employment, income from business activities)				
Registered Address PO or C/O will not be accepted				
Contact Name				
Contact Details	Telephone (inc. country code)		Facsimile	
Email				

Second additional Applicant details				
Registered Name				
Occupation (if individual or joint account) or Nature of purpose of entity (if entity)				
Source of wealth (e.g. inheritance, income from employment, income from business activities)				
Registered Address PO or C/O will not be accepted				
Contact Name				
Contact Details	Telephone (inc. country code)		Facsimile	
Email				

Third additional Applicant details				
Registered Name				
Occupation (if individual or joint account) or Nature of purpose of entity (if entity)				
Source of wealth (e.g. inheritance, income from employment, income from business activities)				
Registered Address PO or C/O will not be accepted				
Contact Name				
Contact Details	Telephone (inc. country code)		Facsimile	
Email				

Additional Applicants will be required to provide all required documentation for AML verification purposes.

Bank Account Details for Redemption and Distribution Payments

Please list the details of the account to which redemption proceeds, and/or dividend distributions should be paid. Payments will only be made to a bank account held in the name of the registered Shareholder. No Third Party Payments will be made. Redemptions will not be processed on non-cleared/verified accounts.

Both IBANS and SWIFT (BIC) Codes should be quoted for all banks within the EU/EEA.

Amendments to Applicants' payment instructions will only be effected upon receipt of written instruction which has been duly authorised. In the case of joint accounts, instructions will only be made upon receipt of instruction duly signed by all Applicants.

The Administrator does not accept any responsibility for the bank account details quoted and any payments made using these details will be at your risk.

Correspondent Bank Name	
Correspondent Bank Address	
Correspondent Bank Sort Code / SWIFT (BIC) / ABA / Fedwire	
Beneficiary Bank Name	
Beneficiary Bank Address	
Beneficiary Bank Sort Code / SWIFT (BIC) / ABA / Fedwire	
Beneficiary Account Name	
Beneficiary Account Number	
IBAN (International Bank Account Number)	
Currency	
Reference	

BENEFICIARY OWNERS

Beneficiary Owner Details

Beneficiary Owners – TO BE COMPLETED WHERE THE APPLICANT(S) IS/ARE NOT A NATURAL PERSON

A beneficial owner is considered by the Fund to be an individual or corporate entity

- (a) which 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 in the Applicant, or
- (b) otherwise exercises controls over the management of the Applicant.

We have noted below any beneficiary owner of the registered Applicant.

Beneficiary Owner 1 (where applicable)

Registered Name	
Address	
Entity Type ³	
Formation of entity or Date of Birth (if individual)	

Beneficiary Owner 2 (where applicable)

³ e.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, (xi) trusts, foundations and similar entities, (xii) charities, (xiii) clubs & societies, (xiv) places of worship, (xv) other (please specify)

Registered Name	
Address	
Entity Type ³	
Formation of entity or Date of Birth (if individual)	

Beneficiary Owner 3 (where applicable)

Registered Name	
Address	
Entity Type ³	
Formation of entity or Date of Birth (if individual)	

Beneficiary Owner 4 (where applicable)

Registered Name	
Address	
Entity Type ³	
Formation of entity or Date of Birth (if individual)	

Intermediary Details (if applicable)

Broker ID		Branch ID	
Broker Name			
Broker Address			
Representative Name		Representative ID	
Contact Details	Telephone (inc. country code)	Facsimile	
Email			

AML NOMINEES AND INTERMEDIARIES

AML confirmation for nominees / intermediaries

This confirmation can only be completed by designated bodies regulated for AML purposes by the appropriate regulator in one of the following countries: Australia, Austria, Belgium, Canada, Denmark, Finland, France, Germany, Guernsey, Hong Kong, Iceland, Ireland, Italy, Jersey, Luxembourg, Isle of Man, Netherlands, Norway, Portugal, Singapore, Spain, Sweden, Switzerland, United Kingdom, United States (please note this list may be subject to change).

Description of Applicant	Designated body investing as an intermediary <input type="checkbox"/> Nominee company <input type="checkbox"/>
Relationship of confirmation provider (regulated entity) to Applicant	Applicant <input type="checkbox"/> Parent of applicant <input type="checkbox"/>

Unless the following box is ticked the Administrator will apply the below confirmation to any subsequent designated accounts in the name of this Applicant.

Do not apply the below confirmation to subsequent designations

Name of Regulated Entity

Name of Regulator

Address of Regulated Entity

**FATCA AND CRS SELF-CERTIFICATION – FOR INDIVIDUALS
(TO BE COMPLETED BY INDIVIDUAL APPLICANTS OR CONTROLLING PERSONS)**

Individual Self-Certification

Your application to invest in the Sub-Fund, and the information you disclose in this Application Form, 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. They may in turn exchange this information, and other financial information with foreign tax authorities, including tax authorities outside the EU. 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 TCA and regulations made pursuant to those sections to collect certain information about each Applicant’s tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an Applicant’s interests in the Sub-Fund with the Irish Revenue Commissioners, who may in turn share the information with tax authorities of other jurisdictions. This form is intended to request information only where such request is not prohibited by Irish law.

If you have any questions about this form or defining the Applicant’s tax residency status, please refer to the OECD CRS Portal or speak to a tax adviser.

For further information on FATCA or CRS please refer to Irish Revenue Commissioners website 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 Applicant’s tax residence or FATCA/CRS classification changes in the future, please advise of these changes promptly.

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

Sections 1, 2, 3 and 5 must be completed by all Applicants.

Section 4 should only be completed by any individual who is a Controlling Person of an equity Applicant which is a Passive Non-Financial Entity.

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 a *)

Section 1 - Applicant Identification

Applicant Name*: _____

Current Residential Address*:

Number: _____

Street: _____

City, Town, State, Province or County: _____

Postal/ZIP Code: _____

Country: _____

Mailing address (if different from above)*:

Number: _____

Street: _____

City, Town, State, Province or County: _____

Postal/ZIP Code: _____

Country: _____

Place 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] / [the Applicant is] a U.S. citizen and/or resident in the U.S. for tax purposes

and [my] / [its] U.S. federal taxpayer identifying number (U.S. TIN) is as follows:

OR

(b) I confirm that [I am not] / [the Applicant is not] a U.S. citizen or resident in the U.S. for tax purposes

Section 3 - CRS Declaration of Tax Residency (Please note you may chose more than one country)

Please indicate your / the Applicant's country of tax residence (if resident in more than one country please detail all countries of tax residence and associated taxpayer identification numbers (TIN)).

Please see the CRS Portal for more information on Tax Residency.

Country of Tax Residency	Tax ID Number	If TIN is unavailable, please select reason a, b or c, and check the box below

NOTE: Under the Irish legislation implementing CRS, the provision of a Tax ID number (TIN) is required unless you are tax resident in a jurisdiction that does not issue a TIN or you are tax resident in a non reportable jurisdiction (ie, Ireland or the US).

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 any individual who is a Controlling Person of an entity Applicant 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 complete a separate Self-Certification form for each Controlling Person.

Please confirm what type of Controlling Person applicable under CRS that applies to you/the Applicant 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 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/these account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information.

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

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

*(Mandatory fields are marked with a *)*

Authorised Signature*: _____

Print Name*: _____

Date: (dd/mm/yyyy)*: _____

Capacity*: _____

**FATCA AND CRS SELF-CERTIFICATION – FOR ENTITIES
(TO BE COMPLETED BY ENTITY APPLICANTS)**

Entity Self-Certification

Your application to invest in the Sub-Fund, and the information you disclose in this Application Form, 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. They may in turn exchange this information, and other financial information with foreign tax authorities, including tax authorities outside the EU. 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 TCA and regulations made pursuant to those sections to collect certain information about each Applicant’s tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an Applicant’s interests in the Sub-Fund with the Irish Revenue Commissioners who may in turn share the information with the tax authorities of other jurisdictions. This form is intended to request information only where such request is not prohibited by Irish law.

If you have any questions about this form or defining the Applicant’s tax residency status, please refer to the OECD CRS Portal or speak to a tax adviser.

For further information on FATCA or CRS please refer to Irish Revenue Commissioners website:-

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

OR

<http://www.oecd.org/tax/automatic-exchange/> (in the case of CRS only)

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

Applicants that are individuals should not complete this form and should complete the form entitled “Individual Self-Certification for FATCA and CRS”.

Section 1: Applicant Identification

(Mandatory fields are marked with a *)

Applicant Name* (the “Entity”): _____

Country of Incorporation or Organisation: _____

Current 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 Specified U.S. Person

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

(a) 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: _____

(b) The Entity is not a Specified U.S. Person

(please also complete Sections 3, 4 and 5)

(c) The Entity is a US person but not a Specified U.S. Person

(please also complete Sections 3, 4 and 5)

Section 3: 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 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

Irish Financial Institution or a Partner Jurisdiction Financial Institution	<input type="checkbox"/>
Registered Deemed Compliant Foreign Financial Institution	<input type="checkbox"/>
Participating Foreign Financial Institution	<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:

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: _____ Sponsor's GIIN: _____ NOTE: 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.	<input type="checkbox"/>
Exempt Beneficial Owner Please tick and confirm the category of Exempt Beneficial Owner: I. Government Entity II. International Organisation III. Foreign Central Bank IV. Exempt Retirement Sub-Fund V. Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners	<input type="checkbox"/>
Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution under Annex II of the Agreement) Indicate exemption: _____	<input type="checkbox"/>
Non-Participating Foreign Financial Institution	<input type="checkbox"/>
Excepted Foreign Financial Institution	<input type="checkbox"/>
The Entity is a Trustee Documented Trust. Please provide your Trustee's name and GIIN: _____	<input type="checkbox"/>

3.4 Non-Financial Institutions under FATCA

If the Entity is not a Financial Institution, please tick one of the below categories:

Active Non-Financial Foreign Entity	<input type="checkbox"/>
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Passive Non-Financial Foreign Entity. Please indicate which applies: - Passive NFFE with no Controlling Persons that are specified US persons - Passive NFFE with Controlling Persons that are specified US persons (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 and include self-certification forms for each of your Controlling Persons)	<input type="checkbox"/>
Excepted Non-Financial Foreign Entity	<input type="checkbox"/>
Direct Reporting Non-Financial Foreign Entity. Please provide your GIIN: _____	<input type="checkbox"/>

Section 4: 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)).

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	If TIN is unavailable, please select reason a, b or c, and check the box below

NOTE: Under the Irish legislation implementing CRS, the provision of a Tax ID number (TIN) is required unless you are tax resident in a jurisdiction that does not issue a TIN or you are tax resident in a non reportable jurisdiction (ie, Ireland or the US).

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 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)

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>

5.1 Financial Institutions under CRS

If the Entity is a *Financial Institution*, please tick one of the below categories:

A Reporting Financial Institution resident in a participating CRS jurisdiction	<input type="checkbox"/>
A Financial Institution Resident in a Non-Participating Jurisdiction (Please also tick the box that applies) An Investment Entity resident 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 in section 6 below and complete a separate individual self-certification forms for each of your Controlling Persons) An Investment Entity resident in a Non-Participating Jurisdiction that is not managed by another Financial Institution Other Financial Institution , including a Depository Financial Institution, Custodial Institution or Specified Insurance Company	<input type="checkbox"/>

Non-Reporting Financial Institution under CRS.

Specify the type of Non-Reporting Financial Institution below:

- Governmental Entity
- International Organization
- Central Bank
- Broad Participation Retirement Sub-Fund
- Narrow Participation Retirement Sub-Fund
- Pension Sub-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:

5.2 Non Financial Institutions 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. Please provide the name of the established securities market on which the corporation is regularly traded	<input type="checkbox"/>
Active Non-Financial Entity – if you are a related entity of an entity that is regularly traded. 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"/>
Active Non-Financial Entity – a Government Entity or Central Bank	<input type="checkbox"/>
Active Non-Financial Entity – an International Organisation	<input type="checkbox"/>
Active Non-Financial Entity – other than above (for example a start-up NFE or a non-profit NFE)	<input type="checkbox"/>
Passive Non-Financial Entity - (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

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:

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

6.2 Complete a separate Individual (Controlling Person's) Self-Certification for FATCA and CRS 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 Commissioners or OECD website) occurs which causes any of the information contained in this form to be incorrect.

Authorised signature:

Print name:

Date:

Capacity in which declaration is made:

TAX RESIDENCY
(TO BE COMPLETED BY ALL APPLICANTS)

Excepted and Non-Excepted Shareholders

Pursuant to the Return of Values (Investment Undertakings) Regulations 2013 (S.I. 245 of 2013) (the "**Regulations**"), the Fund is required to collect certain information from non-Excepted Share Holders. All Applicants, whether individuals, bodies corporate or unincorporated bodies of persons, which are Irish resident or ordinarily resident should review the list of Excepted Share Holders set out below.

If the Applicant is an Irish resident or non-Irish resident and is not an Excepted Share Holder, please provide the following information and documentations:

Tax Identification Number (TIN) / PPS Number: _____

Excepted Share Holders	
Share Holders	TCA reference
An investment undertaking	739D(6)(c)
An investment limited partnership	739D(6)(cc)
A pension scheme which is an exempt approved scheme	739D(6)(a)
A company carrying on a life assurance business	739D(6)(b)
A special investment scheme	739D(6)(d)
A unit trust to which section 731(5) applies	739D(6)(e)
A charity	739D(6)(f)(i)
ARFs, AMRFs	739D(6)(h)
A qualifying fund manager	739D(6)(g)
A qualifying savings manager	739D(6)(g)
PRSA providers	739D(6)(i)
The National Pensions Reserve Sub-Fund	739D(6)(l)
The National Asset Management Agency	739D(6)(ka)
A Section 110 Company	739D(6)(m)
A Credit Union	739D(6)(j)
An Irish resident company but only where the Sub-Fund is a money market fund	739D(6)(k)
A non-Irish resident unit holder in respect of whom the Sub-Fund has obtained a completed non-resident declaration or where the Sub-Fund has adopted the Equivalent Measures Regime	739D(7) 739D(7B)
A shareholder who holds their Shares in a recognised clearing system	739B

U.S. 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 U.S. Person (as defined in the Prospectus) and am/are not acquiring Shares in the Sub-Fund on behalf of, or for the benefit of, a U.S. Person, nor do I/we intend to transfer any Shares which I/we may purchase to any U.S. Person and hereby make(s) the representations and warranties contained in Attachment A

OR

I/We confirm that I am/we are a U.S. person (as defined in Regulation S under the U.S. Securities Act of 1933 Act ("**1933 Act**") who is/are (i) an "accredited investor" (as defined in Rule 501(a) of Regulation D under the 1933 Act) and hereby makes the representations and warranties contained in Attachment A, Attachment A and Attachment E of the U.S. Persons Supplement and is/are a "qualified purchaser" (as defined in Section 2(a)(51) of the 1940 Act, as amended) or (ii) "qualified institutional buyer" (as defined in Rule 144A promulgated under the 1933 Act). I/we also understand(s) that the Sub-Fund is not, and will not be, registered under the U.S. Investment Company Act of 1940, as amended (the "**Investment Company Act**"). In furtherance thereof, I/we hereby make(s) the representations and warranties contained in Attachment B, and if applicable, Attachment C and Attachment G of the U.S. Persons Supplement.

Personal Portfolio Investment Undertaking (PPIU)

I/We* confirm that I am/we* are an Irish Resident or Irish Ordinary Resident who is a director or has a relationship with a director of the fund: **YES** **NO**

Please enter name(s) of PPIU _____

(*Delete as appropriate)

**DECLARATIONS AND SIGNATURES
(TO BE COMPLETED BY ALL APPLICANTS)**

By signing this Application Form, I/we* acknowledge that I/we* have viewed, reviewed and understood the Key Applicant Information Document (KIID) or Packaged Retail and Insurance-based Investment Products (PRIIPs) (where relevant) 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 also acknowledge that I/we* will read further potential issuances of applicable KIID and PRIIP (where relevant) before any subsequent investment that I/we* wish to make in the relevant 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 and the material contracts therein referred to together (where applicable) with the most recent annual report or semi-annual report and accounts of the Fund.

I/ We undertake to observe and be bound by the provisions of the constitutional document of the Fund (as amended from time to time), the Prospectus and the relevant Supplement 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 AML requirements operating within their respective jurisdictions, the Fund, its Directors and the delegates and service providers which may be appointed by them (as the case may be) may require further identification of the Applicant(s) before the application can be processed and the Fund, its Directors and the delegates and service providers (including, for the avoidance of doubt, any sub-delegate such as the Investment Manager) which may be appointed by them or by any delegate of them 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/us in written form, by facsimile or by electronic means. I/ We hereby agree to indemnify each of the Fund, its Directors and the delegates and service providers (including, for the avoidance of doubt, any sub-delegate such as the Investment Manager) which may be appointed by them or any delegate of them 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/our failure to remit the amount of my subscription by the due date or my/our failure to comply with the terms of this Application Form, for any misrepresentation or breach of warranty, condition, covenant or agreement given or delivered by me/us or them acting upon instructions given in written form by me/us. The Administrator and the Fund 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.

In the event that Shares are allotted / issued notwithstanding that cleared funds have not been received within the usual time limits by the Fund, I/we acknowledge that the Fund may cancel the allotment / issue of my / our Shares and I/we will be liable to pay to the Fund interest at such rate as may be determined by the Directors from time to time and/or other losses, charges or expenses suffered or incurred by the Fund or their delegates as a result of late payment or non-payment by me/us of subscription monies.

I/We confirm that we confirm/our underlying clients have confirmed to us that we/they are not subscribing for Shares on behalf of one or more (i) employee benefit plans (“**ERISA Plans**”) subject to Title I of United States Employee Retirement Income Security Act of 1974, as amended (“**ERISA**”), (ii) retirement plans covering only self-employed individuals and individual retirement accounts or otherwise defined as a “plan” in Section 4975(e)(1) of the United States Internal Revenue Code of 1986, as amended (collectively “**Qualified Plans**”), or (iii) entities deemed to hold the assets of an ERISA Plan or Qualified Plan.

I/ We consent to any notice or other document to be sent by the Fund 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 www.dmsgovernance.com or another website notified to me/us by post or by e-mail and that a paper copy will be provided to us free of charge on request.

I/ We confirm that I/we have the capacity and am/are duly authorised to complete this Application Form and to make the representations and give the indemnities referred to herein, and that I am/we are 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 Fund 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 Fund and/or its Directors may reasonably require to substantiate such representations.

(In respect of joint shareholdings only) We direct that on the death of one of us, the Shares for which we hereby apply be held in the name of and to the order of the survivor(s) of us or the executor or administrator of such survivor(s).

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

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

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

I/ We confirm that I am/we are 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/we have determined appropriate with my/our 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/us.

Immediately prior to the execution of this Application Form:

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

(b) I/ We and any account for which I/we 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.

I/ We undertake to supply to the Fund with;

(a) such forms, documentation and other information relating to its status under FATCA, CRS (and / or any other tax reporting regime) as the Fund may reasonably request for the purposes of the Fund's compliance with FATCA and / or CRS, including the applicable FATCA and CRS self-certifications at sections 3 and 4 of this Application Form; and

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

I/ We acknowledge that, depending on my/our status under FATCA and / or CRS, the Fund may report information in relation to the me/us and my/our Shares to the Irish Revenue Commissioners and that any information reported by the Fund to the Irish Revenue Commissioners may be communicated to the US Internal Revenue Service pursuant to Ireland's intergovernmental agreement with the United States of America in relation to FATCA or to tax authorities of other jurisdictions which have implemented the CRS regime. I/ We also acknowledge that it is possible that the Irish Revenue Commissioners may also exchange such information with other tax authorities pursuant to the terms of any applicable double tax treaty, intergovernmental agreement or exchange of information regime.

Any Applicant which is a person referred to in Section 739D(6) of the TCA, hereby acknowledges and agrees that it shall complete the Irish Revenue Commissioners prescribed declaration set out below. Any such Applicant also hereby acknowledges and agrees that they shall notify the Fund promptly if a declaration previously provided ceases to be correct.

Applicants resident outside of the Republic of Ireland

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

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

A - Declaration on Own Behalf

i. 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 an Irish Resident or Irish Ordinary Resident, and

should I/we/the company* become an Irish Resident, I/we will so inform you, in writing, accordingly.

**Delete as appropriate*

B - Declaration as Intermediary

i. 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 an Irish Resident or Irish Ordinary Resident, and

ii. 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

iii. I/we* will inform you in writing if I/we* become aware that any person, on whose behalf I/we* hold Shares, becomes an Irish Resident.

**Delete as appropriate*

Exempt Irish Applicants Declaration

Declaration referred to in Section 739D(6) TCA

It is important to note that this declaration, if it is then still correct, shall apply in respect of any subsequent acquisitions of shares.

i. I declare that the information contained in this declaration is true and correct.

ii. I also declare that I am applying for the shares on behalf of the Applicant named below who is entitled to the shares in respect of which this declaration is made and is a person referred to in Section 739D(6) of the TCA, being a person who is: (please tick as appropriate)

a pension scheme;	<input type="checkbox"/>
a company carrying on life business within the meaning of section 706 TCA;	<input type="checkbox"/>
an investment undertaking;	<input type="checkbox"/>
an investment limited partnership;	<input type="checkbox"/>
a special investment scheme;	<input type="checkbox"/>

a unit trust to which section 731(5)(a) TCA applies;	
a charity being a person referred to in section 739D(6)(f)(i) TCA;	
a qualifying management company;	
entitled to exemption from income tax and capital gains tax by virtue of section 784A(2) TCA, 1997* (see further requirement for Qualifying Fund Manager below);	
a PRSA Administrator;	
a credit union within the meaning of section 2 of the Credit Union Act 1997.	

Additional requirements where the declaration is completed on behalf of a Charity

- I also declare that at the time of making this declaration, the Shares in respect of which this declaration is made are held for charitable purposes only and
 - form part of the assets of a body of persons or trust treated by the Irish Revenue Commissioners as a body or trust established for charitable purposes only, or
 - are, according to the rules or regulations established by statute, charter, decree, deed of trust or will, held for charitable purposes only and are so treated by the Irish Revenue Commissioners.
- I undertake that, in the event that the person referred to in paragraph (7) of Schedule 2B TCA ceases to be a person referred to in Section 739D(6)(f)(i) TCA, 1997, I will, by written notice, bring this fact to the attention of the investment undertaking accordingly.

Additional requirements where the declaration is completed by a qualifying fund manager / PRSA Administrator

- I/we* also declare that at the time this declaration is made, the Shares in respect of which this declaration is made
 - are assets of *an approved retirement fund/an approved minimum retirement fund or a PRSA, and
 - are managed by the Declarant for the individual named below who is beneficially entitled to the shares.
- I/we* undertake that, if the Shares cease to be assets of *the approved retirement fund/the approved minimum retirement fund or the PRSA, including a case where the Shares are transferred to another such fund or account, I/we* will, by written notice, bring this fact to the attention of the investment undertaking accordingly.

*Delete as appropriate

Additional requirements where the declaration is completed by an Intermediary

- I/we* also declare that I am/we are* applying for Shares on behalf of persons who
 - to the best of my/our* knowledge and belief, have beneficial entitlement to each of the Shares in respect of which this declaration is made, and
 - is a person referred to in section 739D(6) TCA.
- I/we* further 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 persons referred to in section 739D TCA, and
 - I/we* will inform you in writing if I/we* become aware that any person ceases to be a person referred to in section 739D(6) TCA.

* Delete as appropriate

Name of Applicant: _____

Irish tax reference number of Applicant (if applicable): _____

Authorised signatory: _____ **(declarant)**

Title: (Mr/Ms. Etc.) _____

Capacity in which declaration is made: _____

Date: ____ / ____ / ____

IMPORTANT NOTES

1. This is a form authorised by the Irish Revenue Commissioners which may be subject to inspection. It is an offence to make a false declaration.
2. Tax reference number in relation to a person has the meaning assigned to it by Section 885 TCA, 1997 in relation to a "specified person" within the meaning of that section. In the case of a charity, quote the Charity Exemption Number (CHY) as issued by the Irish Revenue Commissioners. In the case of a qualifying fund manager, quote the tax reference number of the beneficial owner of the shares.
3. The Applicant must sign the declaration and in the case of joint applicants, each must sign. In the case of an exempt pension scheme, the administrator must sign the declaration; a retirement annuity contract to which Section 784 or 785 applies, the person carrying on the business of granting annuities must sign the declaration; a trust scheme, the trustees must sign the declaration. In the case of a charity, the declaration must be signed by the trustees or other authorised officer of a body of persons or trust established for charitable purposes only within the meaning of Sections 207 and 208 TCA. In the case of an approved retirement fund/an approved minimum retirement fund or a PRSA, it must be signed by a qualifying fund manager or PRSA administrator. In the case of an intermediary, the declaration must be signed by the intermediary. In the case of a company, the declaration must be signed by the company secretary or other authorised officer. In the case of a unit trust it must be signed by the trustees. In any other case it must be signed by an authorised officer of the entity concerned or a person who holds a power of attorney from the entity. A copy of the power of attorney should be furnished in support of this declaration.

Authorisation

I/We agree to be bound by the Declarations, Representations, Consents and Indemnities set out in this Application Form

Signature (1)

Capacity of Authorised Signatory

Name Authorised Signatory (1)

Is Signatory a resident or citizen of the US: **Yes** / **No** (select appropriate)

Signature (2)

Capacity of Authorised Signatory

Name Authorised Signatory (2)

Is Signatory a resident or citizen of the US: **Yes** / **No** (select appropriate)

Signature (3)

Capacity of Authorised Signatory

Name Authorised Signatory (3)

Is Signatory a resident or citizen of the US: **Yes** / **No** (select appropriate)

Signature (4)

Capacity of Authorised Signatory

Name Authorised Signatory (4)

Is Signatory a resident or citizen of the US: **Yes** / **No** (select appropriate)

Date

ATTACHMENT A
(TO BE COMPLETED BY ALL APPLICANTS)
APPLICABILITY OF REGULATION S UNDER THE 1933 ACT
TO THE APPLICANT

The Applicant represents and warrants that (please check the appropriate box):

1. The Applicant (i) is a U.S. Person or (ii) was located in the United States at the time the offer to buy the Shares was made and at the time the order to buy the Shares originated, or (iii) is acquiring the Shares for the account or benefit of a U.S. Person. *(Note: If this box is checked, the Applicant should complete the U.S. Persons Supplement)*

2. The Applicant (i) has a principal address outside the United States, (ii) was located outside the United States at the time the offer to buy the Shares was made and at the time the order to buy the Shares originated, (iii) is not a "U.S. Person" and (iv) is not acquiring the Shares for the account or benefit of any U.S. Person. The Applicant is acquiring the Shares for the Applicant's own account or for the account of one or more other non-U.S. Persons for investment only and not with a view to, or with any intention of, a distribution or resale thereof, in whole or in part, or the grant of any participation therein.

Definitions:

The term "U.S. Person" means any person who is a "U.S. person" as set forth in Regulation S promulgated under the 1933 Act (as modified by related guidance of the U.S. Securities and Exchange Commission).

Each of the following is a "U.S. person" under Regulation S (as modified by related guidance): (1) any natural person resident in the United States; (2) any natural person who is only temporarily residing outside the United States; (3) any partnership or corporation organized or incorporated under the laws of the United States; (4) any estate of which any executor or administrator is a U.S. person; (5) any trust of which any trustee is a U.S. person; (6) any agency or branch of a non-U.S. entity located in the United States; (7) any non-discretionary account or similar account (other than an estate or trust) held by a dealer or other fiduciary for the benefit or account of a U.S. person; (8) any discretionary account or similar account (other than an estate or trust) held by a dealer or other fiduciary organized, incorporated, or (if an individual) resident in the United States; (9) any account of a U.S. person over which a non-U.S. fiduciary has investment discretion or any entity, which, in either case, is being used to circumvent the registration requirements of the Investment Company Act; (10) any employee benefit or pension plan that does not have as its participants or beneficiaries persons substantially all of whom are not U.S. persons; and (11) any partnership or corporation if (i) organized or incorporated under the laws of any non-U.S. jurisdiction and (ii) formed by a U.S. person principally for the purpose of investing in securities not registered under the 1933 Act, unless it is organized or incorporated, and owned, by accredited investors (as defined in Rule 501(a) under the 1933 Act) who are not natural persons, estates or trusts. *Terms used in this Attachment A have the meanings given to them in Regulation S under the 1933 Act.*

Notwithstanding the above, "U.S. person" under Regulation S and related guidance does not include: (1) any discretionary account or similar account (other than an estate or trust) held for the benefit or account of a non-U.S. person by a dealer or other professional fiduciary organized, incorporated or, if an individual, resident in the United States; (2) any estate of which any professional fiduciary acting as executor or administrator is a U.S. person if (i) an executor or administrator of the estate who is not a U.S. person has sole or shared investment discretion with respect to the assets of the estate and (ii) the estate is governed by non-U.S. law; (3) any trust of which any professional fiduciary acting as trustee is a U.S. person if a trustee who is not a U.S. person has sole or shared investment discretion with respect to the trust assets, and no beneficiary of the trust (and no settlor if the trust is revocable) is a U.S. person; (4) an employee benefit plan established and administered in accordance with the law of a country other than the United States and customary practices and documentation of such country; (5) any agency or branch of a U.S. person located outside the United States if (i) the agency or branch operates for valid business reasons and (ii) the agency or branch is engaged in the business of insurance or banking and is subject to substantive insurance or banking regulation, respectively, in the jurisdiction where located; or (6) the International Monetary Fund, the International Bank for Reconstruction and Development, the Inter-American Development Bank, the Asian Development Bank, the African Development Bank, the United Nations and their agencies, affiliates and pension plans, and any other similar international organizations, their agencies, affiliates and pension plans.

**CIFC GLOBAL FLOATING RATE CREDIT FUND
INSTRUCTIONS TO SHAREHOLDER FINANCIAL INFORMATION
(ALL APPLICANTS)**

Persons wishing to become Shareholders in CIFC Global Floating Rate Credit Fund should complete the following:

1. **U.S. Persons.** If the Applicant is a "United States person" as defined in Section 7701(a)(30) of the Code (a "**U.S. Person**"), complete an IRS Form W-9.
2. If the Applicant is an entity disregarded as separate from its owner for U.S. federal income tax purposes (a "**Disregarded Entity**") and the first direct or indirect beneficial owner of the Applicant that is not a Disregarded Entity (the "**Applicant's Owner**") is a U.S. Person, have the Applicant's Owner complete and submit an IRS Form W-9.
3. If the Applicant or the Applicant's Owner is a U.S. Person and is also a grantor trust for U.S. federal income tax purposes, then (i) have each of the Applicant and the Applicant's Owner, if applicable, complete and submit an IRS Form W-9 and (ii) have each of the grantor trust's grantors or other owners complete and submit an IRS Form W-9 or an appropriate IRS Form W-8 (together with any additional documentation required in connection therewith), as applicable.
4. **Non-U.S. Persons.** If the Applicant or the Applicant's Owner (as applicable) is not a U.S. Person, complete or have the Applicant's Owner complete (as applicable) the appropriate IRS Form W-8 (together with any additional documentation required in connection therewith), which can be obtained at the Internal Revenue Service website at www.irs.gov, and submit with the completed IRS Form W-8 any additional documentation required in connection therewith.

Send to the address below one (1) fully-executed and completed copy of the foregoing by electronic mail and by overnight courier to:

SEI Investments – Global Fund Services Limited
Styne House
Upper Hatch Street
Dublin 2, D02 DY27
Ireland
Tel: +353 1 6382440
Fax: +353 1 4774768
E-mail: tadublin@seic.com

DO NOT SEND THIS DOCUMENT TO ANY OTHER PERSON UNLESS EXPRESSLY INSTRUCTED.

If you have any questions concerning the completion of the Shareholder Financial Information, please contact Investor Relations at CIFC Asset Management on +44 (0) 203 841 6195.

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 interests⁴ 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:
 - Conducting our business in a responsible and commercially prudent manner and dealing with any disputes that may arise;
 - Preventing, investigating or detecting theft, fraud or other criminal activity;
 - 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.

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

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;

⁴ Legitimate Interest – as defined under GDPR.

(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.

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.