

# MontLake Oriel UCITS Platform ICAV

## Account Opening and Subscription Agreement

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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 E-mail: <a href="mailto:tadublin@seic.com">tadublin@seic.com</a>	
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### Instructions

In order for initial subscriptions for Shares in the FVC Equity Dispersion Fund (the “Fund”) of MontLake Oriel UCITS Platform ICAV (the “ICAV”), you must complete this Subscription Agreement and email a pdf copy to [tadublin@seic.com](mailto:tadublin@seic.com).

Failure to provide the Subscription Agreement along with the documentation required for anti-money laundering purposes will result in the deduction of tax due to the Irish taxation requirements outlined in the anti-money laundering section and/or a delay in the acceptance and/or payment of a transfer/redemption request or distribution. Applications for shares will not be deemed to be complete until all anti-money laundering procedures have been completed. Redemption payments will not be made on non-cleared/verified accounts.

Following receipt of the subscription agreement, the Administrator on behalf of the ICAV will contact the investor with a list of additional information that is required for anti-money laundering purposes.

Subsequent subscriptions following an initial subscription pursuant to a properly completed Subscription Agreement may be made by compiling and submitting an additional Subscription Agreement to the Administrator in writing or by facsimile.

Any changes to the original account details must be received in original, wet ink format, signed in accordance with the signature mandate held on files, on corporate letterhead and, in the case of retail applicants, all account signatories must authorise every instruction.

Capitalised terms in this Subscription Agreement shall bear the same meaning as defined under the ICAV’s prospectus dated 18 December 2020 as may be amended or supplemented from time to time (the “Prospectus”), unless otherwise expressly defined herein.

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Subscription Information
<p>Please pay subscription monies in the relevant class currency to the following account(s) referencing the name of the applicant</p>
<p><b>Pay:</b> <u>The Northern Trust International Banking Corporation, NJ</u></p> <p><b>SWIFT BIC:</b> <u>CNORUS33</u></p> <p><b>FED ABA:</b> <u>026-001-122</u></p> <p><b>Account Name:</b> <u>MontLake Oriel UCITS Platform ICAV – FVC Equity Dispersion Fund S/R USD</u></p> <p><b>Account Number:</b> <u>233734-20010</u></p> <p><b>Reference:</b> <u>(Please insert applicant name)</u></p>
<p><b>Pay:</b> <u>Barclays Bank PLC, Frankfurt</u></p> <p><b>SWIFT BIC:</b> <u>BARCDEFF</u></p> <p><b>For Account:</b> <u>The Northern Trust International Banking Corporation, NJ</u></p> <p><b>SWIFT BIC:</b> <u>CNORUS33</u></p> <p><b>Account Number:</b> <u>0210472800</u></p> <p><b>FED ABA:</b> <u>026-001-122</u></p> <p><b>Beneficiary Name:</b> <u>MontLake Oriel UCITS Platform ICAV – FVC Equity Dispersion Fund S/R EUR</u></p> <p><b>Beneficiary Number:</b> <u>670810-20019</u></p> <p><b>Reference:</b> <u>(Please insert applicant name)</u></p>
<p><b>Pay:</b> <u>Barclays Bank PLC, London</u></p> <p><b>SWIFT BIC:</b> <u>BARCGB22</u></p> <p><b>For Account:</b> <u>The Northern Trust International Banking Corporation, NJ</u></p> <p><b>IBAN:</b> <u>GB64 BARC 2032 5353 5294 95</u></p> <p><b>Beneficiary Name:</b> <u>MontLake Oriel UCITS Platform ICAV – FVC Equity Dispersion Fund S/R GBP</u></p> <p><b>Beneficiary Number:</b> <u>670927-20019</u></p> <p><b>Reference:</b> <u>(Please insert applicant name)</u></p>
<p><b>Pay:</b> <u>Credit Suisse AG, Zurich</u></p> <p><b>SWIFT BIC:</b> <u>CRESCHZZ80A</u></p> <p><b>For Account:</b> <u>The Northern Trust International Banking Corporation, NJ</u></p> <p><b>IBAN:</b> <u>CH10 0483 5098 4990 3301 0</u></p> <p><b>FED ABA:</b> <u>026-001-122</u></p> <p><b>Beneficiary Name:</b> <u>MontLake Oriel UCITS Platform ICAV – FVC Equity Dispersion Fund S/R CHF</u></p> <p><b>Beneficiary Number:</b> <u>670984-20019</u></p> <p><b>Reference:</b> <u>(Please insert applicant name)</u></p>

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

Shareholders must forward cleared settlement monies in respect of any subscription made during the Initial Offer Period to the account details set out above by 3 pm (Irish time) on 11 May 2022 or, in the event of any change in the Initial Offer Period, the second Business Day falling after the close of the Initial Offer Period.

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Details of Investment:					
The Applicant, having received and read a copy of the prospectus of the ICAV, the supplement for the Fund (“ <b>Supplement</b> ”) and key investor information document(s) (“ <b>KIID(s)</b> ”) of the relevant Share Class(es) hereby applies to subscribe for Shares in the Fund as indicated in the table below:					
Fund Name	Share Class	Currency	Number of Shares	Value of Subscription	ISIN
FVC Equity Dispersion Fund	Class F	USD			IE00BNRK6Y98
	Class F	GBP			IE00BNRK6Z06
	Class F	EUR			IE00BNRK7020
	Class F	CHF			IE00BNRK7137
	Class A	USD			IE00BNRK7244
	Class A	GBP			IE00BNRK7350
	Class A	EUR			IE00BNRK7467
	Class A	CHF			IE00BNRK7574
	Class Z	USD			IE00BNRK7681
	Class Z	GBP			IE00BNRK7798
	Class Z	EUR			IE00BNRK7806
	Class Z	CHF			IE00BNRK7913
	Class C	USD			IE000P6TIBI1
	Class C	GBP			IE000MEN9KZ9
	Class C	EUR			IE000P3DLHM5
	Class C	CHF			IE000MQD5ZZ3

Should you have any questions, please contact the Administrator, [tadublin@seic.com](mailto:tadublin@seic.com) using the account details set out on page 1 of this Subscription Agreement.

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

Account Registration Details	
Registered Name	
Account Designation (if any)	
Shareholder Type <sup>1</sup> and Main Business Activity	

<sup>1</sup>: 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)

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Occupation (if individual or joint account) or Nature of purpose of entity (if entity)				
Registered Address PO or C/O will not be accepted				
Mailing Address (if different)				
Contact Name				
Contact Details	Telephone (inc. country code)		Facsimile	
Email				

Date of Birth / Formation Date if Entity
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Nationality / Domicile
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Country of Birth
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Source of Wealth (such as inheritance, income from employment)  Note: Supporting evidence of same may be required.
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### **BENEFICIARY OWNERS – TO BE COMPLETED WHERE THE INVESTOR(S) IS/ARE NOT A NATURAL PERSON**

Please complete the appropriate sections below

#### **Financial Institution (Subsidiary of Financial Institution) Intermediary**

We, [Name of Investor providing declaration] confirm the following (please complete Part A or B below):

**A.**

- We confirm that no individual(s) owns/controls directly or indirectly [10%/25%] or more of the above-named investment account.<sup>1</sup>

**A1.**

- We also confirm that the following individual(s) is/are Senior Managing Officials of the Investor.<sup>2</sup>

Last Name	First Name	Date of Birth (dd/mm/yyyy)
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<sup>1</sup> For Financial Institutions ("FI") investing in an intermediary capacity, confirmation is required for beneficial owners of the underlying beneficiaries of the respective investment account (not the FI itself).

<sup>2</sup> As per Directive (EU) 2015/849: "There may be cases where no natural person is identifiable who ultimately owns or exerts control over a legal entity. In such exceptional cases, obliged entities, having exhausted all other means of identification, and provided there are no grounds for suspicion, may consider the senior managing official(s) to be the beneficial owner(s)." Senior managing official means an officer or employee with sufficient knowledge of the institution's money laundering and terrorist financing risk exposure and sufficient seniority to take decisions affecting its risk exposure, and need not, in all cases, be a member of the board of directors.

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Last Name	First Name	Date of Birth (dd/mm/yyyy)
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Where there are more than two Senior Managing Officials provide details on a separate, signed document

**OR**

**B.**

We confirm that the following individuals are the only Ultimate Beneficial Owners owning/controlling [10%/25%] or more of the above-named investment account.<sup>3</sup>

Last Name	First Name
Date of Birth (dd/mm/yyyy)	Country of birth
Nationality	Citizenship
Address (private or professional)	
Nature and extent of the beneficial interest held <sup>4</sup>	

Last Name	First Name
Date of Birth (dd/mm/yyyy)	Country of birth
Nationality	Citizenship
Address (private or professional)	
Nature and extent of the beneficial interest held <sup>4</sup>	

Where there are more than two Ultimate Beneficial Owners provide details on separate, signed document

Where B has been selected above, please enclose:

- A copy of each declared Ultimate beneficial owner's valid photo identification document (such as passport)
- A copy of address verification (dated within the past 6 months) for each declared ultimate beneficial owner

**Corporate**

**Financial Institution (Subsidiary of Financial Institution) Proprietary CIS, Benefit Plan  
Charities/Non-Profit/Charitable Foundation (Corporate Type)**

We, [Name of Investor providing declaration] confirm the following (please complete Part A or B below):

**A.**

We confirm that no individual(s) owns/controls directly or indirectly (via intermediary ownership layers) [10%/25%] or more of the above-named registered investor (select A1 or A2 below)

A1)  We confirm that no entities own/control directly or indirectly (via intermediary ownership layers) [10%/25%] or more of the above-named registered investor.

OR

A2)  We enclose a copy of the entity ownership structure, including percentage ownership, for the purpose of identification of all beneficial ownership layers (i.e.: all entities owning/controlling directly/indirectly [10%/25%] or more of the above-named registered investor).<sup>5</sup>

<sup>3</sup> Ultimate Beneficial Owner is defined as a natural person who ultimately owns or controls the customer or any natural person(s) on whose behalf a transaction or activity is being conducted. For Financial Institutions ("FI") investing in an intermediary capacity, confirmation is required for beneficial owners of the underlying beneficiaries of the respective investment account (not the FI itself).

<sup>4</sup> Please provide the rationale why the individual is considered Ultimate Beneficial Owner – at minimum, the information on % of the shares or voting rights held in a legal entity should be provided.

<sup>5</sup> The document must be signed by an Authorized Signatory or Compliance Officer (or authorized delegate). Proof of existence (certificate of incorporation or other formation document) and proof of beneficial ownership (e.g. share register) is required for all intermediate legal entity owners in the ownership chain.

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As there are no individuals who own/control directly or indirectly (via intermediary ownership layers) [10%/25%] or more of the above-named registered investor, we confirm that the following individual(s) is/are Senior Managing Officials<sup>2</sup> of the investor.

Last Name	First Name	Date of Birth (dd/mm/yyyy)
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Last Name	First Name	Date of Birth (dd/mm/yyyy)
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Where there are more than two Senior Managing Officials provide details on a separate, signed document

**OR**

**B.**

We confirm that the following individuals are the only Ultimate Beneficial Owners owning/controlling [10%/25%] or more of the above-named registered investor.

Last Name	First Name
Date of Birth (dd/mm/yyyy)	Country of birth
Nationality	Citizenship
Address (private or professional)	
Nature and extent of the beneficial interest held <sup>4</sup>	

Last Name	First Name
Date of Birth (dd/mm/yyyy)	Country of birth
Nationality	Citizenship
Address (private or professional)	
Nature and extent of the beneficial interest held <sup>4</sup>	

Where there are more than two Ultimate Beneficial Owners provide details on a separate, signed document

In addition to above (select B1 or B2):

B1)  We confirm that no entities own/control directly or indirectly (via intermediary ownership layers) [10%/25%] or more of the above-named investor.

OR

B2)  We enclose a copy of the entity ownership structure, including percentage ownership, for the purpose of identification of all beneficial ownership layers (i.e.: all entities owning/controlling directly/indirectly [10%/25%] or more of the above-named investor).<sup>5</sup>

Where B has been selected above, please also enclose:

- A copy of each declared Ultimate beneficial owner's valid photo identification document (such as passport)
- A copy of address verification (dated within the past 6 months) for each declared ultimate beneficial owner

**C. This section must only be completed in cases the account owner is a Charity/Non-Profit/Charitable Foundation or if any of the beneficial owners disclosed in Sections A2 or B2 above is a trust.<sup>6</sup>**

Name of the Charity/Non-Profit/Foundation/Trust
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<sup>6</sup> For the purpose of Trusts, Charities and Foundations, the beneficial owners are (i) the settlor, (ii) the protector (if any), (iii) the trustee(s), (iv) the beneficiaries, or the class of persons in whose main interest the legal arrangement or entity is set up or operates, (v) any other natural person exercising ultimate control over the legal arrangement or entity by means of direct or indirect ownership or by other means.

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### Settlor's/Grantor's/Founder's details

Last Name	First Name
Date of Birth (dd/mm/yyyy)	Country of birth
Nationality	Citizenship
Address (private or professional)	
Nature and extent of the beneficial interest held (if applicable) <sup>7</sup>	

### Protector's details (if applicable)

Last Name	First Name
Date of Birth (dd/mm/yyyy)	Country of birth
Nationality	Citizenship
Address (private or professional)	
Nature and extent of the beneficial interest held (if applicable) <sup>7</sup>	

Where there are more one Protectors, provide details on a separate, signed document

### Trustee's details (1)

Last Name	First Name
Date of Birth (dd/mm/yyyy)	Country of birth
Nationality	Citizenship
Address (private or professional)	
Nature and extent of the beneficial interest held (if applicable) <sup>7</sup>	

### Trustee's details (2)

Last Name	First Name
Date of Birth (dd/mm/yyyy)	Country of birth
Nationality	Citizenship
Address (private or professional)	
Nature and extent of the beneficial interest held (if applicable) <sup>7</sup>	

### Trustee's details (3)

Last Name	First Name
Date of Birth (dd/mm/yyyy)	Country of birth

<sup>7</sup> Please provide any additional information regarding the ownership, interest, or control structure that results in this person being a beneficial owner of the entity/legal arrangement. Verification documents may be required.

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Nationality	Citizenship
Address (private or professional)	
Nature and extent of the beneficial interest held (if applicable) <sup>7</sup>	

Where there are more Trustees, provide details on a separate, signed document

### Trusts/Estates

#### Charities/Non-Profit/Charitable Foundation/Charitable Trust (Non-Corporate Type)

We, [Name of Entity/Legal Arrangement providing declaration], provide the details of our beneficial owner(s) below<sup>6</sup>

#### Settlor's/Grantor's/Founder's details

Last Name		First Name	
Date of Birth (dd/mm/yyyy)		Country of birth	
Nationality		Citizenship	
Address (private or professional)			
Nature and extent of the beneficial interest held (if applicable) <sup>7</sup>			

#### Protector's details (if applicable)

Last Name		First Name	
Date of Birth (dd/mm/yyyy)		Country of birth	
Nationality		Citizenship	
Address (private or professional)			
Nature and extent of the beneficial interest held (if applicable) <sup>7</sup>			

Where there are more one Protectors, provide details on a separate, signed document

#### Trustee's details (1)

Last Name		First Name	
Date of Birth (dd/mm/yyyy)		Country of birth	
Nationality		Citizenship	
Address (private or professional)			
Nature and extent of the beneficial interest held (if applicable) <sup>7</sup>			

#### Trustee's details (2)

Last Name		First Name	
Date of Birth (dd/mm/yyyy)		Country of birth	
Nationality		Citizenship	
Address (private or professional)			



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Nature and extent of the beneficial interest held (if applicable) <sup>7</sup>	

### Trustee's details (3)

Last Name		First Name	
Date of Birth (dd/mm/yyyy)		Country of birth	
Nationality		Citizenship	
Address (private or professional)			
Nature and extent of the beneficial interest held (if applicable) <sup>7</sup>			

**Where there are more Trustees, provide details on a separate, signed document**

Below are the details of the beneficiaries or other natural persons exercising ultimate control over the Entity/ Legal Arrangement:

### Beneficiary (1)

Last Name		First Name	
Date of Birth (dd/mm/yyyy)		Country of birth	
Nationality		Citizenship	
Address (private or professional)			
Nature and extent of the beneficial interest held (if applicable) <sup>7</sup>			

### Beneficiary (2)

Last Name		First Name	
Date of Birth (dd/mm/yyyy)		Country of birth	
Nationality		Citizenship	
Address (private or professional)			
Nature and extent of the beneficial interest held (if applicable) <sup>7</sup>			

### Beneficiary (3)

Last Name		First Name	
Date of Birth (dd/mm/yyyy)		Country of birth	
Nationality		Citizenship	
Address (private or professional)			
Nature and extent of the beneficial interest held (if applicable) <sup>7</sup>			

**Where there are more Beneficiaries, provide details on a separate, signed document**

We enclose:

- A copy of each declared Ultimate Beneficial Owner's valid photo identification document (such as passport)

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- A copy of address verification (dated within the past 6 months) for each declared ultimate beneficial owner

### Governmental Entity

### Senior Managing Official Declaration

I / We, [Name of Investor providing declaration] confirm the following:

We confirm that the following individual(s) is/are Senior Managing Officials<sup>2</sup> of the Investor.

Last Name	First Name	Date of Birth (dd/mm/yyyy)
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Last Name	First Name	Date of Birth (dd/mm/yyyy)
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Where there are more than two Senior Managing Officials provide details on a separate, signed document

The above list of information/documentation requirements for beneficial ownership is not an exhaustive list and the Administrator reserves the right to request additional documentation or information in order to verify the identity of the investor or of any entity(ies) or person(s) on whose behalf the investor is acting, and the source and ultimate ownership of any funds used in connection with the investment(s).

## BANK ACCOUNT INFORMATION FOR REDEMPTION AND DISTRIBUTION PROCEEDS

**Note: Please complete Schedule 3 of this document in order to submit a redemption request.**

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 / Distributions will not be paid on non cleared/verified accounts.

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

Amendments to investors' payment instructions will only be effected upon receipt of a wet ink instruction which has been duly authorised. In the case of joint accounts, instructions will only be made upon receipt of original 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.

<b>Correspondent Bank Name</b>	
<b>Correspondent Bank Address</b>	
<b>Correspondent Bank Sort Code/ SWIFT (BIC)/ ABA/Fedwire</b>	

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<b>Beneficiary Bank Name</b>	
<b>Beneficiary Bank Address</b>	
<b>Beneficiary Bank Sort Code/ SWIFT (BIC)/ ABA/Fedwire</b>	
<b>Beneficiary Account Name</b>	
<b>Beneficiary Account Number</b>	
<b>Currency</b>	
<b>Reference</b>	

### Distribution of dividend Income

If sufficient net income after expenses is available in a sub-fund, it is the intention of the directors to make a single distribution once a year. In the event of a distribution, please select which you prefer to receive:

Cash (credited to the bank account provided)

Reinvestment for additional shares

Investors should note that if they elect cash dividends the dividends will be paid in the class currency invested to the payment details provided on this application form.

Failure to elect one of the above options will result in a default option being applied to your account in line with the terms of the prospectus.



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## Account Opening and Subscription Agreement

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### Data Protection Legislation

I/We hereby acknowledge that we have reviewed the Privacy Statement of the ICAV appended at Schedule 2 of this Subscription Agreement.

I/We hereby acknowledge that my/our personal information will be handled by the Administrator (as data processor on behalf of the Manager, in its capacity as the data controller of the ICAV) in accordance with all applicable data protection laws, including the Irish Data Protection Acts 1988 to 2018 as amended from time to time and the General Data Protection Regulation (Regulation (EU) 2016/679 of the European Parliament and the Council of 27 April 2016), including any amendments thereto (the "Data Protection Legislation")

I/We also acknowledge that this information will be processed by the Administrator for the purposes of carrying out the services of administrator, registrar and transfer agent of the ICAV and to comply with legal obligations including legal obligations under company law and anti-money laundering legislation.

I/We acknowledge that the Administrator or Manager will disclose my/our information to third parties where necessary or for legitimate business interests. This may include disclosure to third parties such as the auditors, the Irish Revenue Authorities and the Central Bank of Ireland or agents of the Administrator who process the data for anti-money laundering purposes or for compliance with foreign regulatory requirements.

I/We hereby consent to the processing of my/our information, which may include (1) the recording of telephone calls with the Administrator for the purpose of confirming data, (2) the disclosure of my/our information as outlined above to the Manager or the Investment Manager (3) the disclosure of my/our information where necessary, or in the Manager's or the Administrator's legitimate interests, to the MLRO and/or any company in the Administrator's and/or the Investment Manager's group of companies, or (4) the disclosure of my/our information to agents of the Administrator, including companies situated in countries outside of the European Economic Area which may not have the same data protection laws as in Ireland.

I/We acknowledge my/our right of access to and the right to amend and rectify my/our personal data, as provided herein. For the avoidance of doubt the Manager shall be considered a data controller in accordance with the Data Protection Legislation and the Administrator shall be considered a data processor.

### Politically Exposed Persons

Please complete EITHER Section A or B below, with reference to the definitions below

A Politically-Exposed Person ("PEP") is an individual who has been, entrusted with a prominent public function. This includes the following individuals (but excluding any middle ranking or more junior official):

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

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

- a. a head of state, head of government, government minister or deputy or assistant government minister;
- b. a member of a parliament or of a similar legislative body;
- c. a member of the governing body of a political party
- d. 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;
- e. a member of a court of auditors or of the board of a central bank;
- f. an ambassador, chargé d'affaires or high-ranking officer in the armed forces;
- g. a director, deputy director or member of the board of, or person performing the equivalent function in relation to, an international organisation.

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

- a. any spouse of the PEP;
- b. any person who is considered to be equivalent to a spouse of the PEP under the national or other law of the place where the person or PEP resides;
- c. any child of the PEP;
- d. any spouse of a child of the PEP;
- e. any person considered to be equivalent to a spouse of a child of the PEP under the national or other law of the place where the person or child resides;
- f. any parent of the PEP;

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g. any other family member of the PEP who is of a class prescribed by the Minister for Justice under section 37(11) of the Act.

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

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

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

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

SECTION A: TO BE COMPLETED ONLY IF THE PEP RULES APPLY WITH REFERENCE TO THE ABOVE DEFINITIONS

the application is being made by a PEP / immediate family member of a PEP / close associate of a PEP

OR

the applicant has a beneficial owner who is a PEP / immediate family member of a PEP / close associate of a PEP

OR

the application is being made for the benefit of a PEP / immediate family member of a PEP / close associate of a PEP

OR

it is intended to transfer the Shares to a PEP / immediate family member of a PEP / close associate of a PEP

Name of PEP		Address of PEP	
Office of PEP		Relationship of Applicant or Applicant's Beneficial Owner to PEP	
Source of Wealth of the PEP (e.g. Income from employment, Income from company business, inheritance, etc). Please note that, depending upon your answer, further documentary evidence may be required.			

### US Person Confirmation

Please tick

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 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

PLEASE SUPPLY A COPY OF THE US INTERNAL REVENUE SERVICE FORM W-8, COMPLETED AND SIGNED AS REQUIRED. PLEASE SEE THE LINK SET OUT BELOW TO THE IRS WEBSITE FOR VARIOUS US W-8 TAX FORMS AND INSTRUCTIONS FOR COMPLETION.

W-8BEN <http://www.irs.gov/pub/irs-pdf/fw8ben.pdf>

W-8BEN-E <http://www.irs.gov/pub/irs-pdf/fw8bene.pdf>

W-8IMY <http://www.irs.gov/pub/irs-pdf/fw8imy.pdf> W-

8ECI <http://www.irs.gov/pub/irs-pdf/fw8eci.pdf>

W-8EXP <http://www.irs.gov/pub/irs-pdf/fw8exp.pdf>

You hereby acknowledge that none of the ICAV, the Manager or the Administrator is a tax advisor and they are unable to advise on the completion of the relevant tax forms.

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### Personal Portfolio Investment Undertaking

\*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.

Please enter name(s) of PPIU \_\_\_\_\_

[\\*Delete as appropriate](#)

### Declarations and Signatures

I/We, having received and considered a copy of the Prospectus, the Supplement and KIID(s) hereby confirm that this application is based solely on the current Prospectus, the Supplement, the KIID(s) and the instrument of incorporation of the ICAV (as may be amended from time to time) and the material contracts therein referred to in the Prospectus together (where applicable) with the most recent 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 confirm that I/we have received, carefully read and understood the Prospectus, outlining, among other things, the organization and investment objectives and policies of, and the risks and expenses of an investment in the ICAV.

I/We acknowledge that I/we have made an independent decision to invest in the Fund and that, in making my/our decision to subscribe for Shares, I/we confirm that I/we have relied solely upon the Prospectus and other Fund documents (such as the Supplement and KIID(s)) and independent investigations made by me/us and that I am/we are not relying on the Manager, the Administrator, the Investment Manager or any other person or entity with respect to the legal, tax and other economic considerations involved in this investment other than my/our own advisers. I/We acknowledge that investment in the Shares is consistent with my/our investment purposes, objectives and cash flow requirements and it will not adversely affect its overall need for diversification and liquidity. I/We represent that I/we have knowledge and experience in financial and business matters and I am / we are capable of evaluating the merits and risks of its investment in the Fund, and is able to bear such risks.

I/We represent that I am/we are acquiring the Shares for my/our own account, for investment purposes only and not with a view toward distributing or reselling the Shares in whole or in part.

I/We understand that the value of Shares and the performance of Fund may be based on unaudited and in some cases, estimated, valuations of the Fund's investments and that valuations provided in its account statement may be an unaudited, estimated value.

I/We agree to promptly take such action, including providing and periodically updating information (which may include, among other things, the identities of my/our direct and indirect beneficial owners), that any of the Manager or the Fund, in its sole discretion, reasonably determines is necessary for the Manager or the Fund to reduce or eliminate withholding taxes which may apply to the Fund.

I/We acknowledge that, owing to anti-money laundering requirements operating within their respective jurisdictions, the ICAV, the Manager, 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), including to verify the identity of the applicant(s) or of any entity(ies) or person(s) on whose behalf the applicant(s) is acting, and the source and ultimate ownership of any funds used in connection with the investment(s), before the application can be processed and the ICAV, the Manager, the Administrator and the Investment Manager 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/us in written form or by facsimile. I/We hereby agree to indemnify each of the ICAV, the Administrator and the Manager and agree to keep each of them indemnified against any loss of any nature whatsoever arising to any of them as a result of either of them acting upon instructions given in written form by me/us, i.e. facsimile, instructions. The ICAV, the Administrator and the Manager 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.

# MontLake Oriel UCITS Platform ICAV

## Account Opening and Subscription Agreement

I/We consent to any notice or other document to be sent by the ICAV, the Manager 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/we have the capacity and am/are duly authorised to complete this form and to make the representations and give the indemnities referred to herein.

I/We agree to provide these representations to the ICAV and the Manager at such times as either of them may request and to provide on request such certifications, documents or other evidence as the ICAV or the Manager 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/we agree to notify the Manager or the Administrator immediately, if any representation or warranty are no longer accurate and to abide by any directions from the Manager or the Administrator arising as a result. I/We understand that the representations and warranties made herein will be relied upon by the ICAV, the Manager and the Administrator in determining my/our suitability as a purchaser of Shares and such entities' compliance with various securities laws, and shall survive me/us becoming a Shareholder.

I/We understand cleared funds representing settlement monies in respect of any subscription made must be received to the account details set out above by the deadline set out in the Prospectus. If cleared funds representing the subscription monies are not received by the Administrator by such time, the Manager reserves the right to reject the subscription and/or cancel the provisional allotment of Shares, as appropriate. In such an event the investor shall indemnify the ICAV, the Manager, the Depositary, the Administrator and the Investment Manager and any of their respective affiliates for any and all claims, losses, liabilities or damages (including attorneys' fees and other related out-of-pocket expenses) suffered or incurred by any such person as a result of the investor not remitting the amount of its subscription by the due date for such subscription or otherwise failing to comply with the terms of this Subscription Agreement. In the event that the ICAV or the Manager decides not to cancel a provisional allotment of Shares notwithstanding that cleared funds have been received by the Administrator after the relevant time outlined above, the ICAV or the Manager reserves the right to charge interest on such subscription monies. In addition, upon the failure of me/us to pay subscription monies by the date due, the ICAV or the Manager may, in its sole discretion, redeem any Shares held by me/us in the Fund and apply the redemption proceeds in satisfaction of the my/our liabilities to the ICAV, the Manager, the Depositary, the Investment Manager or any of their respective affiliates pursuant to the indemnity described above.

I/We confirm that I was/we were not formed for the specific purpose of investing in the Fund and that I/we will not group amounts of less than the minimum initial subscription for any other individual (save where I/we have been granted specific discretionary authority or mandate by such persons to invest on their behalf).

I/We hereby represent and warrant that I/we (i) am/are capable of evaluating investment risks independently, both in general and with regard to all transactions and investment strategies involving a security or securities; and (ii) will exercise independent judgment in evaluating the recommendations of any broker-dealer or its associated persons.

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

I/We represent that I am/we are not a US Person (as defined in the Prospectus) and I am/we are not acquiring the Shares in the ICAV for the account or benefit of any US Person or with a view to their offer, sale, transfer or delivery, directly or indirectly, either in the United States or to or for the benefit of any US Person. I am/We are aware of the restrictions on transfer of Shares to US Persons (as defined in the Prospectus) the provisions for compulsory repurchase of Shares from US Persons. I/We represent that I/we will not offer, sell, transfer or deliver, directly or indirectly, the Shares of the ICAV in the United States or to or for the account of any US Person expect with the prior written consent of the ICAV. I/We; (i) acknowledge that reoffers, resales or any transfer of the Shares may be made only in compliance with applicable securities laws and only with the prior authorization of the Manager; and (ii) understand that a transfer of Shares may only be effected on the books of the ICAV and acknowledges that the Shares shall be transferable only to investors who are eligible investors as described in the Prospectus. I/We understand and acknowledge that the Manager may compulsorily redeem all or any portion of my/our Shares in accordance with the ICAV documents.

I/We acknowledge that the Shares subscribed for hereunder have not been and will not be registered under the US Securities Act of 1933, as amended (the "Securities Act"), in reliance on Section 4(2) thereof and Rule 506 of Regulation D promulgated thereunder ("Regulation D"), or any other law of the US or any other jurisdiction thereof.

I/We understand that the Shares have not been approved or disapproved by any securities regulatory authority in any jurisdiction including without limitation any securities regulatory authority of any State of the United States or by the US Securities and Exchange Commission, nor has any such authority or commission passed on the accuracy or adequacy of the Prospectus.

I/We represent that I am/we are not, or I am/we are not acting on behalf of, and I/We will not become (a) an employee benefit plan as defined in section 3(3) of the Employee Retirement Income Security Act of 1974, as amended ("ERISA"), whether or not it is subject to the provisions of Title I of ERISA; (b) any plan to which section 4975 of the US Internal Revenue Code of 1986, as amended ("Code"),

# MontLake Oriel UCITS Platform ICAV

## Account Opening and Subscription Agreement

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applies, or (c) any entity whose underlying assets include plan assets by reason of a plan's investment in such entity (collectively (a), (b), and (c) are referred to as "Benefit Plan Investors").

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 agree to indemnify and hold harmless the ICAV, the Manager, the Investment Manager, the Depositary and the Administrator, and their respective directors, members, managers, partners, shareholders, officers, employees, agents and affiliates from and against any and all losses, liabilities, damages, penalties, costs, fees and expenses (including legal fees and disbursements) that may result, directly or indirectly, from any inaccuracy in or breach of any representation, warranty, covenant or agreement set forth in this Subscription Agreement or in any other document delivered by me/us to the ICAV, the Depositary, the Manager, the Investment Manager or the Administrator, or from my/our assertion of its proper authorisation to act.

If any provision of this Subscription Agreement shall be found invalid or unenforceable under any applicable law, it shall be deemed inoperable only to that extent and its invalidity or in-operability shall not affect any other provision hereof.

### **Investor Status**

I/We, being a subscriber for Shares in the ICAV confirm that I/we fulfill the following conditions:

I am/we are aware of the risk involved in the proposed investment and of the fact that inherent in such investment is the potential to lose all of the sum invested.

I/we hereby further certify that:

(i) I am/We are not, and any applicable clients for whom we are making an investment, are not named on a list of prohibited countries, territories, entities and individuals maintained by the US Treasury Department's Office of Foreign Assets Control ("OFAC") and not operationally based or domiciled in a country or territory in relation to which current sanctions have been issued by the European Union, the United Kingdom or the United Nations.

(ii) I am/We are not acquiring and will not be holding Shares in violation of any applicable laws.

(iii) I/We have performed all required anti-money laundering, know-your-customer and other similar investigations of my/our applicable clients in accordance with all applicable law.

(iv) I/We have implemented and maintain an anti-money laundering, countering of the financing of terrorism and sanctions program in accordance with Financial Action Task Force standards designed to comply with applicable laws and regulations which are equivalent to the standards prescribed in the European Union

(Please tick (i) to (iv) above)



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### Declaration of Residence Outside the Republic of Ireland

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

Terms used in this declaration are defined in the Prospectus. 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 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

### 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 (delete as appropriate)

Signature (2)

\_\_\_\_\_

Capacity of Authorised Signatory

\_\_\_\_\_

Name Authorised Signatory (2)

\_\_\_\_\_

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

Signature (3)

\_\_\_\_\_

Capacity of Authorised Signatory

\_\_\_\_\_

Name Authorised Signatory (3)

\_\_\_\_\_

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

Signature (4)

\_\_\_\_\_

Capacity of Authorised Signatory

\_\_\_\_\_

Name Authorised Signatory (4)

\_\_\_\_\_

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## Account Opening and Subscription Agreement

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Is Signatory a resident or citizen of the US: \_Yes / No (delete as appropriate)

Date \_\_\_\_\_

### Important Information

Non resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.

To be valid, this Subscription Agreement (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the applicant and in the case of joint applicants, each must sign. In the case of a corporation, the application must be signed by authorised signatories as agreed in the corporate signing mandate.

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.

Applicants who are resident or ordinarily resident in the Republic of Ireland or are an Exempt Irish resident as defined in the Prospectus, please contact the Administrator immediately.



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## Account Opening and Subscription Agreement

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<b>KNOW YOUR CUSTOMER REQUIREMENTS</b>
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Under Irish legislation and supplemental Guidance covering anti-money laundering and the taxation of savings the Manager and the Administrator are required to obtain the documentation set out at Schedule 1 to verify the identity of all new applicants. Following receipt of the subscription agreement, the Administrator on behalf of the ICAV will contact the investor with a list of additional information that is required for anti-money laundering purposes. The documentation listed is indicative, may not cover all applications and may be changed from time to time. The Manager and the Administrator on behalf of the ICAV reserve the right to request additional documentation if required.

Should documents be provided in a language other than English, an English translation will be required.

In any event, Shares will not be issued and redemption and dividend payments will not be paid until full anti-money laundering documentation has been received on the account and the Manager 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.



# MontLake Oriel UCITS Platform ICAV

## Account Opening and Subscription Agreement

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<b>DISCLOSURE OF INFORMATION</b>
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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>

# MontLake Oriel UCITS Platform ICAV

## Account Opening and Subscription Agreement

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<b>FATCA AND CRS SELF-CERTIFICATION</b>
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The ICAV is 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 investor's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances the ICAV, or the Manager on its behalf, may be legally obliged to share this information, and other financial information with respect to an investor's interests in the Fund with relevant tax authorities. This form is intended to request information only where such request is not prohibited by Irish law.

### Individual (Controlling Person's) Self-Certification

*If you have any questions about this form or defining the investor'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 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 investor'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 investor is required to complete a separate Self-Certification form.*

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

**Section 4 should only be completed by any individual who is a Controlling Person of an entity investor 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 an \*)**

#### Section 1: Investor Identification

Investor 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\*

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## Account Opening and Subscription Agreement

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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 investor 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 investor 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 investor'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

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

### Section 4 – Type of Controlling Person

(ONLY to be completed by any individual who is a Controlling Person of an entity investor 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 investor by ticking the appropriate box.	Please tick	Entity Name
Controlling Person of a legal person – control by ownership		
Controlling Person of a legal person – control by other means		
Controlling Person of a legal person – senior managing official		
Controlling Person of a trust - settlor		
Controlling Person of a trust – trustee		
Controlling Person of a trust – protector		
Controlling Person of a trust – beneficiary		
Controlling Person of a trust – other		
Controlling Person of a legal arrangement (non-trust) – settlor-equivalent		
Controlling Person of a legal arrangement (non-trust) – trustee-equivalent		
Controlling Person of a legal arrangement (non-trust) – protector-		

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## Account Opening and Subscription Agreement

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equivalent		
Controlling Person of a legal arrangement (non-trust) – beneficiary-equivalent		
Controlling Person of a legal arrangement (non-trust) – other-equivalent		

### Section 5: Declaration and Undertakings:

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

I acknowledge 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.

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

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

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

Capacity\*: \_\_\_\_\_

### Entity Self-Certification

*If you have any questions about this form or defining the investor'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 website at <http://www.revenue.ie/en/business/aeoi/index.html> or the following link: <http://www.oecd.org/tax/automatic-exchange/> in the case of CRS only.*

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

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

***Investors that are individuals should not complete this form and should complete the form entitled "Individual Self-Certification for FATCA and CRS".***

### Section 1: Investor Identification

Investor Name\*: \_\_\_\_\_ (the "Entity")

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

Current Registered Address\*:

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## Account Opening and Subscription Agreement

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

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

**Or**

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

**Or**

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

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

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

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

I.	<i>I. 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: _____</i>	
II.	<i>Exempt Beneficial Owner</i>	



# MontLake Oriel UCITS Platform ICAV

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III.	<i>Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution under Annex II of the Agreement)</i>	
IV.	<i>Non-Participating Foreign Financial Institution</i>	
V.	<i>Excepted Foreign Financial Institution</i>	

### 3.4 Non-Financial Institutions under FATCA:

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

I.	<i>Active Non-Financial Foreign Entity</i>	
II.	<i>Passive Non-Financial Foreign Entity (If this box is ticked, please include self-certification forms for each of your Controlling Persons)</i>	
III.	<i>Excepted Non-Financial Foreign Entity</i>	

### 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")).

**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 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

I.	<i>Financial Institution under CRS (other than (II) below)</i>	
II.	<i>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 **)</i>	

### 5.2 Non Financial Institutions under CRS:

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

I.	<i>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</i>	
II.	<i>Active Non-Financial Entity – a Government Entity or Central Bank</i>	

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III.	Active Non-Financial Entity – an International Organisation	
IV,	Active Non-Financial Entity – other than (I)-(III) (for example a start-up NFE or a non-profit NFE)	
V.	Passive Non-Financial Entity (If this box is ticked, please complete a separate Individual Self-Certification Form for each of your Controlling Person(s))	

**\*\*Controlling Persons:**

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

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

*For further information on Identification requirements under CRS for Controlling Persons, see the Commentary to Section VIII of the CRS Standard.*

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

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## Account Opening and Subscription Agreement

### SCHEDULE I

#### Administrator KYC Requirements

Entity Type;	Risk Rating	Documentation Required <i>N.B. Pending receipt and review of documentation, further documents may be required.</i>
An EU public body that is investing on its own behalf	Low	<ol style="list-style-type: none"> <li>1. Proof that the EU public body is investing on its own behalf</li> <li>2. Organisation structure chart</li> <li>3. Proof that the entity is an EU public body</li> <li>4. Identify the beneficial owners(s)</li> </ol>
<p>A Credit or Financial Institution acting as an Investor that is investing on its own behalf</p> <p><i>(that carries on business in a Member State or in a country (other than a high risk country) where it is supervised or monitored for compliance with the requirements of Section 2 of Chapter VI of the Fourth Money Laundering Directive)</i></p>	Low	<ol style="list-style-type: none"> <li>1. Proof that the credit or financial institution is investing on its own behalf</li> <li>2. Organisation structure chart</li> <li>3. Confirmation of regulatory body name and country which the entity is regulated in</li> <li>4. Identify the beneficial owner(s)</li> </ol>
<p>An intermediary</p> <p><i>(that is subject to AML/CTF obligations in an EEA jurisdiction or third country that has AML/CTF requirements)</i></p>	Low	<ol style="list-style-type: none"> <li>1. Confirmation of regulatory body name and country which the entity is regulated in</li> <li>2. Intermediary AML letter</li> </ol>
<p>An intermediary that is a subsidiary of a parent</p> <p><i>(that is subject to AML/CTF obligations in an EEA jurisdiction or third country that has AML/CTF requirements that are not less robust than those required by Directive (EU) 2015/849 (The Fourth Money Laundering Directive)</i></p>	Low	<ol style="list-style-type: none"> <li>1. Confirmation of regulatory body name and country which the entity is regulated in</li> <li>2. Intermediary AML letter</li> <li>3. Parent AML letter</li> </ol>
<p>Mid-tier entity</p> <p><i>(an entity within the customer's structure that is not the customer, controller or beneficial owner of the customer)</i></p>	Medium	<ol style="list-style-type: none"> <li>1. Organisation structure chart</li> <li>2. Copy of the constituting or formation document</li> <li>3. Identify the list of controllers</li> <li>4. Identify the beneficial owner(s)</li> </ol>

# MontLake Oriel UCITS Platform ICAV

## Account Opening and Subscription Agreement

<p><b>Collective investment scheme (the "CIS")</b></p>	<p><b>Medium</b></p>	<ol style="list-style-type: none"> <li>1. Organisation structure chart</li> <li>2. Copy of the constituting documentation</li> <li>3. Identify the entity conducting AML on the beneficial owner(s) is a credit or financial institution that is regulated for compliance with the requirements of Section 2 of Chapter 6 of 4MLD <u>OR</u> Verify 2 controllers or 1 controller and 1 authorised signer</li> <li>4. Identify the beneficial owner(s)</li> </ol>
<p><b>A school, college or university ("educational body")</b></p>	<p><b>Medium</b></p>	<ol style="list-style-type: none"> <li>1. Organisation structure chart</li> <li>2. Copy of constituting or formation document</li> <li>3. Identify the ownership of the educational body - confirm whether the educational body is publicly or privately owned and details of the owner(s)</li> <li>4. Identify the list of controllers</li> <li>5. Verify 2 controllers <u>OR</u> 1 controller and 1 authorised signer</li> <li>6. Identify the beneficial owner(s)</li> <li>7. Copy audited financial statements</li> </ol>
	<p><b>High</b></p>	<ol style="list-style-type: none"> <li>1. Certified organisation structure chart</li> <li>2. Certified constituting or formation document</li> <li>3. Identify the ownership of the education body</li> <li>4. Certified list of controllers</li> <li>5. Verify 2 controllers <u>OR</u> 1 controller and 1 authorised signer</li> <li>6. Certified list of the beneficial owners</li> <li>7. Verify the identity of the beneficial owners</li> <li>8. Certified audited financial statements</li> </ol>
<p><b>Club or society</b></p>	<p><b>High</b></p>	<ol style="list-style-type: none"> <li>1. Certified true copy of an organisation structure chart</li> <li>2. Certified true copy of the constituting or formation document</li> <li>3. Certified true copy of the list of controllers</li> <li>4. Verify 2 controllers <u>OR</u> 1 controller and 1 authorised signer</li> <li>5. Certified true copy of list of the beneficial owner(s)</li> <li>6. Verify the beneficial owner(s)</li> <li>7. Certified true copy of the audited financial statements</li> </ol>
<p><b>A pension plan, superannuation or similar scheme (the "scheme") that is regulated / registered</b></p>	<p><b>Low</b></p>	<ol style="list-style-type: none"> <li>1. Scheme document confirming it provides retirement benefits to employees, has contributions made by an employer or by way of deduction from an employee's wages and has scheme rules that do not permit the assignment of the member's interest</li> <li>2. Confirmation letter from the regulatory body which the entity is regulated/registered a relevant tax authority or pension board in a country that is a low risk jurisdiction</li> <li>3. Identify the beneficial owner(s)</li> </ol>
	<p><b>Medium</b></p>	<ol style="list-style-type: none"> <li>1. Organisation structure chart</li> <li>2. Copy of the constituting or formation document</li> <li>3. Identify the list of controllers</li> <li>4. Verify 2 controllers <u>OR</u> 1 controller and 1 authorised signer</li> <li>5. Identify the beneficial owner(s)</li> </ol>

# MontLake Oriel UCITS Platform ICAV

## Account Opening and Subscription Agreement

	<b>High</b>	<ol style="list-style-type: none"> <li>1. Certified true copy of organisation structure chart</li> <li>2. Certified true copy of the constituting or formation document</li> <li>3. Certified true copy of the list of controllers</li> <li>4. Verify 2 controllers <u>OR</u> 1 controller and 1 authorised signer</li> <li>5. Certified true copy of list of the beneficial owner(s) <b>&amp;</b></li> <li>6. Verify the beneficial owner(s) <b>Or</b></li> <li>7. Verify the scheme administrator and</li> <li>8. Verify the entity conducting the AML on the scheme investors</li> </ol>
<b>Individual</b>	<b>Medium</b>	<ol style="list-style-type: none"> <li>1. Copy of photographic identification</li> <li>2. Copy of non-photographic address identification</li> </ol>
	<b>High</b>	<ol style="list-style-type: none"> <li>1. Certified true copy of photographic identification</li> <li>2. Two certified true copies of non-photographic address identification</li> </ol>
<b>A corporate body</b>	<b>Medium</b>	<ol style="list-style-type: none"> <li>1. Organisation structure chart</li> <li>2. Copy of the certificate of incorporation or equivalent document</li> <li>3. Copy of the memorandum and articles of association or equivalent document</li> <li>4. Identify the list of directors</li> <li>5. Verify 2 directors <u>OR</u> 1 director and 1 authorised signer</li> <li>6. Identify the beneficial owner(s)</li> </ol>
	<b>High</b>	<ol style="list-style-type: none"> <li>1. Certified true copy of an organisation structure chart</li> <li>2. Certified true copy of the certificate of incorporation or equivalent document</li> <li>3. Certified true copy of the memorandum and articles of association or equivalent</li> <li>4. Certified true copy of the list of directors</li> <li>5. Verify 2 directors <u>OR</u> 1 director and 1 authorised signer</li> <li>6. Certified true copy of list of the beneficial owner(s)</li> <li>7. Verify the beneficial owner(s)</li> </ol>
<b>A partnership</b>	<b>Medium</b>	<ol style="list-style-type: none"> <li>1. Organisation structure chart</li> <li>2. Copy of partnership agreement</li> <li>3. Identify the list of partners</li> <li>4. Verify the general partner <u>OR</u> 2 partners <u>OR</u> 1 partner and 1 authorised signer</li> <li>5. Identify the beneficial owner(s)</li> </ol>
	<b>High</b>	<ol style="list-style-type: none"> <li>1. Certified true copy of an Organisation structure chart</li> <li>2. Certified true copy of partnership agreement</li> <li>3. Certified true copy of the list of partners</li> <li>4. Verify the general partner <u>OR</u> 2 partners <u>OR</u> 1 partner and 1 authorised signer</li> <li>5. Certified true copy of the list of beneficial owner(s)</li> <li>6. Verify the beneficial owner(s)</li> </ol>
<b>A limited liability company ("LLC")</b>	<b>Medium</b>	<ol style="list-style-type: none"> <li>1. Organisation structure chart</li> <li>2. Copy of the formation document or equivalent</li> <li>3. Copy of the operating agreement or equivalent</li> <li>4. Identify the list of managing members</li> <li>5. Verify 2 managing members <u>OR</u> 1 managing member and 1 authorised signer</li> <li>6. Identify the beneficial owner(s)</li> </ol>

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## Account Opening and Subscription Agreement

	<b>High</b>	<ol style="list-style-type: none"> <li>1. Certified true copy of Organisation structure chart</li> <li>2. Certified true copy of the formation document or equivalent</li> <li>3. Certified true copy of the operating agreement or equivalent</li> <li>4. Certified true copy of the list of managing members</li> <li>5. Verify 2 managing members OR 1 managing member and 1 authorised signer</li> <li>6. Certified true copy of the list of beneficial owner(s)</li> <li>7. Verify the beneficial owner(s)</li> </ol>
<b>A trust</b>	<b>Medium</b>	<ol style="list-style-type: none"> <li>1. Organisation structure chart</li> <li>2. Copy of Trust Deed or equivalent document</li> <li>3. Identify the settlor(s), donor and protector(s)</li> <li>4. Identify all trustees</li> <li>5. Verify the identity of two trustees/protector or one trustee/protector and one authorised signatory</li> <li>7. Identify all beneficial owner(s) who are entitled to a vested interest of the trust assets</li> </ol>
	<b>High</b>	<ol style="list-style-type: none"> <li>1. Certified true copy Organisation structure chart</li> <li>2. Certified true copy of Trust Deed or equivalent document</li> <li>3. Identify the settlor(s), donor and protector(s)</li> <li>4. Identify the trustee(s)</li> <li>5. Verify identity of trustees/settlor(s)/donor/protectors</li> <li>6. Certified true copy of the list of beneficial owner(s)</li> <li>7. Verify identify of all beneficial owners who are entitled to a vested interest of the trust assets</li> </ol>
<b>An individual person's pension, superannuation or similar scheme</b>	<b>Medium</b>	<ol style="list-style-type: none"> <li>1. Constitution document for the pension plan, superannuation or similar scheme (the "scheme")</li> <li>2. Copy of photographic identification</li> <li>3. Copy of non-photographic address identification</li> </ol>
	<b>High</b>	<ol style="list-style-type: none"> <li>1. Certified true copy of the constituting or formation document</li> <li>2. Certified true copy of photographic identification</li> <li>3. Two certified true copies of non-photographic address identification</li> </ol>
<b>A regulated / registered charity, not-for-profit or foundation in a low risk jurisdiction</b>	<b>Medium</b>	<ol style="list-style-type: none"> <li>1. Organisation structure chart</li> <li>2. Confirmation that the charity, not-for-profit, foundation is registered or regulated in a low risk country</li> <li>3. Identify the list of controllers</li> <li>4. Identify the beneficial owner(s)</li> <li>5. Copy audited financial statements</li> </ol>
<b>An unregulated charity, not-for-profit or foundation</b>	<b>Medium</b>	<ol style="list-style-type: none"> <li>1. Organisation structure chart</li> <li>2. Copy of the constituting or formation document</li> <li>3. Identify the list of controllers</li> <li>4. Verify 2 controllers <u>OR</u> 1 controller and 1 authorised signer</li> <li>5. Identify the beneficial owner(s)</li> <li>6. Verify the beneficial owner(s)</li> <li>7. Copy audited financial statements</li> </ol>
	<b>High</b>	<ol style="list-style-type: none"> <li>1. Certified true copy of an organisation structure chart</li> <li>2. Certified true copy of the constituting or formation document</li> <li>3. Certified true copy of the list of controllers</li> <li>4. Verify 2 controllers OR 1 controller and 1 authorised signer</li> <li>5. Certified true copy of list of the beneficial owner(s)</li> <li>6. Verify the beneficial owner(s)</li> <li>7. Certified true copy of the audited financial statements</li> </ol>

# MontLake Oriel UCITS Platform ICAV

## Account Opening and Subscription Agreement

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<b>A public body</b>	<b>Medium</b>	<ol style="list-style-type: none"> <li>1. Organisation structure chart</li> <li>2. Copy of the constituting or formation document</li> <li>3. Identify the home authority of the public body</li> <li>4. Identify the ownership of the public body</li> <li>5. Identify the list of controllers</li> <li>6. Identify the beneficial owner(s)</li> </ol>
	<b>High</b>	<ol style="list-style-type: none"> <li>1. Certified true copy of an organisation structure chart</li> <li>2. Certified true copy of the constituting or formation document</li> <li>3. Identify the home authority of the public body</li> <li>4. Identify the ownership of the public body</li> <li>5. Certified true copy of the list of controllers</li> <li>6. Verify 2 controllers OR 1 controller and 1 authorised signer</li> <li>7. Certified true copy of list of the beneficial owner(s)</li> <li>8. Verify the beneficial owner(s)</li> <li>9. Certified true copy of the audited financial statements</li> </ol>

# MontLake Oriel UCITS Platform ICAV

## Account Opening and Subscription Agreement

### Schedule 2

#### Privacy Statement in respect of the ICAV

In accordance with the General Data Protection Regulation (2016/679/EU) (the “**GDPR**”) and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1988 to 2018) as same may be amended from time to time (collectively, “**Data Protection Legislation**”) Waystone Management Company (Ireland) Limited (the “**Manager**”) acting solely in its capacity as the alternative investment fund manager of FVC Equity Dispersion Fund (the “**Fund**”), and being the data controller, must provide you with information on how the personal data that you provide in connection with your admission to the Fund will be processed by the Manager, its service providers and delegates and their duly authorised agents and any of their respective related, associated or affiliated companies.

As a consequence of your investment, the Manager acting as a data controller may itself (or through third parties including but not limited to SEI Investments - Global Fund Services Limited (the “**Administrator**”) and Waystone Asset Management (Ireland ) Limited as investment manager (the “**Investment Manager**”) together with any distributors or sub-distributors or placement agents that may be appointed from time to time (collectively the “**Distributor**”), the money laundering reporting officer (the “**MLRO**”) local paying agents and mailing firms appointed by any of the foregoing (together the “**Service Providers**”) process your personal information or, to the extent that you are a non-natural person, that of your directors, officers, employees, intermediaries and/or beneficial owners. Save where otherwise expressly provided, any reference in this Data Privacy Statement to “you” or “your” in the context of processing personal data of data subjects shall be understood to mean and relate to the personal data of your directors, officers, employees, intermediaries and/or beneficial owners as the context may require.

In certain limited circumstances, each of the Administrator, Investment Manager, the Distributor, SEI Investments – Depository and Custodial Services (Ireland) Limited (the “**Depository**”) and the MLRO may itself use your personal data for its own purposes and as a result be considered a data controller of such data. In such circumstances, all rights afforded to you as a data subject under the GDPR shall be solely exercisable against each of the Administrator, Investment Manager, Depository, the Distributor and the MLRO.

In this regard, please note the following:

#### Purposes of Processing and Legal Basis for Processing

The personal data collected from you or provided by you or on your behalf in connection with your holdings in the Fund will be collected, stored, disclosed, used and otherwise processed by the Service Providers on behalf of the Manager for the purposes outlined in the table below.

Processing Activity by or on behalf of the Fund	Legal Basis for Processing
<p>Where you are a natural person, processing your application to become an investor in the Fund, reflecting your holdings in the Fund and managing and administering your holdings in the Fund and any related account on an ongoing basis including</p> <ul style="list-style-type: none"> <li>• communicating with you by way of notice pursuant to applicable legislation or the Fund’s instrument of incorporation;</li> <li>• maintaining appropriate business records including the register of shareholders;</li> <li>• processing, subscription, redemption and transfer documentation;</li> </ul>	<p>Performance of the contract between the Manager and you.</p>



# MontLake Oriel UCITS Platform ICAV

## Account Opening and Subscription Agreement

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Processing Activity by or on behalf of the Fund	Legal Basis for Processing
<ul style="list-style-type: none"> <li>processing payments in respect of subscriptions, redemptions and any dividends declared on behalf of the Fund;</li> <li>responding to or evaluating any queries or complaints in relation to your investment;</li> <li>preparing and facilitating distribution of statements to investors including without statements of account, fee calculations, net asset value statements</li> </ul>	
<p>Where you are a non-natural person, processing your application to become an investor in the Fund, and managing and administering your holdings in the Fund and any related account on an ongoing basis including</p> <ul style="list-style-type: none"> <li>communicating with you by way of notice pursuant to applicable legislation or the Fund's instrument of incorporation;</li> <li>maintaining appropriate business records including the register of shareholders</li> <li>processing subscription, redemption and transfer documentation;</li> <li>processing payments in respect subscriptions, redemptions or any dividends declared on behalf of the Fund;</li> <li>responding to or evaluating any queries or complaints in relation to your investment;</li> <li>preparing and facilitating distribution of statements to Investors</li> </ul>	<p>Pursuing the legitimate interests of the Manager in managing and administering the holdings of the non-natural person in the Fund and any related account on an ongoing basis</p>
<p>Where you are a natural person, disclosures to third parties such as auditors, legal advisors, regulatory authorities, tax authorities and technology providers in the context of the day to day operations of the Fund, internal and external audit and where necessary investigations, internal and external audit and where necessary investigations;</p>	<p>Performance of the contract between the Manager and you.</p>
<p>Where you as an investor are a non-natural person, disclosures to third parties such as auditors, regulatory bodies, tax authorities and technology providers in the context of the day to day operations of the Fund, internal and external audit and where necessary investigations, internal and external audit and where necessary investigations;</p>	<p>Pursuing the legitimate interests of the Manager in managing and administering the holdings of the non-natural person in the Fund and any related account on an ongoing basis.</p>
<p>Complying with any applicable legal, tax or regulatory obligations imposed on the Manager and the Fund including legal obligations under the law and</p>	<p>Compliance with a legal obligation to which the Manager is subject</p>

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## Account Opening and Subscription Agreement

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Processing Activity by or on behalf of the Fund	Legal Basis for Processing
<p>regulation applicable to the Manager as an alternative investment fund manager and the Fund as an alternative investment fund and in particular qualifying investor alternative investment fund, authorised by the Central Bank of Ireland (the “<b>Central Bank</b>”), under tax law (including with respect to global tax reporting purposes, including FATCA or CRS), under anti-money laundering / counter terrorist financing legislation (including processing the fact that a data subject may be a politically exposed person), under law relating to the provision of financial services, under law relating to crime-detection, prevention, investigation and prosecution, under law relating to the prevention of fraud, bribery, anti-corruption, under law prohibiting the provision of financial and other services to those who are subject to economic and trade sanctions,, in response to legal or court requests or requests from regulatory authorities or where it is in the public interest.</p>	
<p>(i) Quality control, carrying out business and statistical analysis and market research;</p> <p>(ii) Recording, maintaining, storing and using recordings of telephone calls and electronic communications that you make to and receive from the Manager, the Service Providers and their delegates or duly appointed agents and any of their respective related, associated or affiliated companies for any matters related to investment in the Fund, dispute resolution, record keeping, security and/or training purposes, management of personnel, maintaining the customer relationship, tracking fees and costs and other related purposes;</p> <p>(iii) Retaining demographic, contact (business addresses, email addresses, telephone information) tax ID, government identification numbers, work authorisations and bank account information received in connection with your investment in the Fund</p> <p>(iv) establishing, exercising or defending legal claims.</p>	<p>Pursuing the legitimate interests of the Manager including:</p> <ul style="list-style-type: none"> <li>○ conducting the business of the Fund as a fund with exposure to the direct lending strategy employed by the Investment Manager in a responsible and commercially prudent manner</li> <li>○ dealing with any disputes that may arise with respect to your investment in the Fund;</li> <li>○ preventing, investigating or detecting theft, fraud or other criminal activity;</li> <li>○ pursuing our corporate objectives through the ongoing management of the relationship with investors .</li> </ul> <p>Further information relating to the balancing test undertaken by the Manager in respect of such processing is available upon request.</p>

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## Account Opening and Subscription Agreement

Processing Activity by or on behalf of the Fund	Legal Basis for Processing

Each of the Administrator, Depositary and the Investment Manager **as a data controller** of your personal data (as provided to the Manager) may also collect, store, disclose, use or otherwise process your personal data for the purposes outlined below.

### Processing Activity by the Administrator and Depositary as a Data Controller and Legal Basis for Processing

The Administrator and Depositary may also each be separate Data Controllers of the Personal Data of Shareholders and prospective Shareholders, beneficial owners, directors and officers of Shareholders and prospective Shareholders which they obtain as a result of their respective contracts in respect of the Fund:

- (i) to the extent that it is necessary for either of them, respectively, to comply with their own obligations under anti-money laundering legislation (on the basis of their respective legal obligations);
- (ii) in the case of the Administrator, where the Administrator utilises such Personal Data for the purposes of anti-money laundering verification and monitoring in connection with investments made by Shareholders in other collective investment schemes administered by the Administrator (on the basis of a legitimate purpose of the Administrator and the other collective investment scheme(s) in which the relevant Shareholder has invested); and
- (iii) in the case of the Depositary, in the discharge of its statutory oversight and monitoring obligations (on the basis of its legal obligations).

Processing Activity by the Investment Manager and Distributor as a Data Controller	Legal Basis for Processing
Retaining demographic, contact (business addresses, email addresses, telephone information) tax ID, government identification numbers, work authorizations and bank account information received in connection with your investment in the Fund	Pursuing the legitimate interests of the Investment Manager including: <ul style="list-style-type: none"> <li>• supporting the business of pursuing a direct lending strategy</li> <li>• using such Personal Data in order to comply with its own legal obligations under relevant anti-money laundering/counter-terrorist financing laws;</li> <li>• report tax or regulatory related information to competent bodies or authorities in order to comply with its own legal and regulatory obligations;</li> </ul>

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## Account Opening and Subscription Agreement

Processing Activity by the Investment Manager and Distributor as a Data Controller	Legal Basis for Processing
	<ul style="list-style-type: none"> <li>retain the Personal Data as required by applicable law and/or justified by applicable statutory limitation periods, whichever is the later;</li> <li>for the purposes of servicing the client relationship.</li> </ul> <p>Further information relating to the balancing test undertaken by the Investment Manager in respect of such processing is available upon request.</p>

The MLRO may also act as data controller of the investor’s personal data to satisfy its own legal and regulatory obligations being those legal obligations imposed on it under AML/CTF legislation in particular the reporting of its own suspicious transactions to An Garda Síochána pursuant to section 42 of the Criminal Justice (Money Laundering and Terrorist Financing) Act 2010 (as amended, supplemented or restated from time to time).

**Please note that where personal data is processed for purposes of legitimate interests, you have a right to object to such processing and the Manager and its appointed Service Providers will no longer process the personal data unless it can be demonstrated that there are compelling legitimate grounds for the processing which override your interests, rights and freedoms or for the establishment, exercise or defence of legal claims.**

### Consent

Your consent is not required to process your personal data for the purposes referenced above. However, in order to process your personal data for the purposes outlined below, the Manager and the Investment Manager and Distributor seek your consent.

### **Consent to Direct Marketing by the Investment Manager or entities within its group**

The Manager and the Investment Manager seek your consent to the transfer of your personal data to, and use by, the Investment Manager and other entities within its group to send you information about other investment products or investment services by letter, by telephone, by email or by other reasonable means of communication.

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

Please return this section by e-mail to ..... and..... at your earliest convenience or by hand, post or courier, for the attention of .....

FIRST NAME: \_\_\_\_\_ LAST NAME: \_\_\_\_\_

ADDRESS: \_\_\_\_\_

PHONE NUMBER: \_\_\_\_\_

EMAIL ADDRESS: \_\_\_\_\_

You have a right to withdraw the consent(s) provided above at any time. However, your withdrawal of consent will not affect the lawfulness of processing based on consent before its withdrawal. You can withdraw your consent by contacting us using the details outlined under “Contact Us” below.

# MontLake Oriel UCITS Platform ICAV

## Account Opening and Subscription Agreement

**You also have a right to object to the processing of your personal data by the Manager or the Investment Manager or any other entity within its group for direct marketing purposes.**

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

### **Profiling and Screening**

The Manager and its appointed Service Providers may engage in PEP screening and financial sanctions screening programs defined by the European Union (“EU”), the United Nations (“UN”), Her Majesty’s Treasury (“HMT”) and the Office of Foreign Assets Control (“OFAC”) for the purposes of complying with the Criminal Justice (Money Laundering and Terrorist Financing) Acts 2010-2018 as may be amended or replaced from time to time and with UN, EU and other applicable sanctions regimes. The implementation of such PEP screening and financial sanctions screening programmes may result in the Manager or its Service Providers refusing an application for admission to the Fund or delaying or refusing to make any distribution payment or return of capital to you if you, your directors or any beneficial owner of your holding in the Fund appear on such screening programmes. In the event that you are identified as a PEP as a result of the screening process, you may be required to provide additional information and/or documentation to the Manager or its Service Providers. Such processing, which may reveal your political opinion, is considered lawful on the grounds of substantial public interest permitted under Article 9(2)(g) of the GDPR.

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

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

### **Disclosures to Service Providers and / or Third Parties**

Personal data relating to you which is collected from you or provided by you or on your behalf may be handled by Service Providers appointed by the Manager and its or their duly appointed agents and any of related, associated or affiliated companies within the Administrator’s and Depositary’s and Investment Manager’s group(s) for the purposes specified above. Your personal data may also be transferred by or on behalf of the Manager to such third parties as may be necessary to support the investment strategy pursued by the Investment Manager on behalf of the Fund and the collective investment schemes in which it invests, including to banks, loan agents, fund administrators, other interested parties identified by you and at your direction, tax and audit firms, and to government authorities if requested by them or as required by law.

The Service Providers and other recipients will be obliged to adhere to the data protection laws of the countries in which they operate.

The Manager, the Administrator, the Depositary the Investment Manager and Distributor may disclose your personal data to other third parties where required by law or for legitimate business interests. This may include disclosure to third parties such as auditors, legal advisors, consultants, the Central Bank, other regulatory bodies, screening and other reference agencies in order to carry out money laundering and identity checks and to comply with legal obligations, taxation authorities and technology providers including cloud based repositories.

### **Transfers Abroad**

Personal data collected from you or provided by you or on your behalf may be transferred outside of Ireland including to companies situated in countries outside of the European Economic Area (“EEA”) which may not have the same data protection laws as in Ireland. These countries include the United States of America and jurisdictions in Asia.

Where data transfers outside of the EEA take place, the Manager and/or the relevant Service Provider have taken the necessary steps to ensure that appropriate safeguards have been put in place to protect the privacy and integrity of such personal data, in particular ensuring that the recipient is in a jurisdiction in relation to

# MontLake Oriel UCITS Platform ICAV

## Account Opening and Subscription Agreement

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which there is a European Union finding of adequacy or the implementation of binding corporate rules between companies within the group of any Service Provider and/or ensuring the implementation of model contracts by the Service Providers and their affiliates. Please contact us at the e-mail addresses identified below under the heading Contact Us should you wish to obtain information concerning such safeguards.

### **Data Retention Period**

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

The Administrator, the Depositary, the Investment Manager and Distributor will retain all information and documentation provided by you for compliance with any processing carried out on the Manager's or its own behalf as outlined above for in the case of the Depositary and Administrator a period of 5 years and in the case of the Investment Manager and Distributor a period of 6 years or to the extent required by and for such period as required by EU law, the laws of an EU member state or the law applicable to the Service Provider.

### **Your data protection rights**

Please note that you have the following rights under the GDPR. In each case, the exercise of these rights is subject to the provisions of the GDPR:

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

Where you wish to exercise any of your data protection rights against the Manager or against the Administrator or the Investment Manager/Distributor, please contact us via the details provided below under "Contact Us".

The Manager or its Service Provider (in cases where they are the Data Controller) will respond to your request to exercise any of your rights under the GDPR in writing, as soon as practicable and in any event **within one month** of receipt of your request, subject to the provisions of the GDPR. The Fund or its Service Provider may request proof of identification to verify your request.

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

As outlined in the section titled "**Purposes of Processing and Legal Basis for Processing**", the provision of personal data by you is required for us to manage and administer your holdings in the Fund and so that we can comply with the legal, regulatory and tax requirements referenced above. Where you fail to provide such

# MontLake Oriel UCITS Platform ICAV

## Account Opening and Subscription Agreement

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personal data in order to comply with anti-money laundering/counter terrorist financing or other legal requirements, in certain circumstances, we may be prohibited from making redemption or any applicable dividend payments to you and/or may be required to discontinue our business relationship with you by compulsorily redeeming your shareholding in the Fund.

### **Contact us**

If you have any questions about the Administrator's or Investment Manager and Distributor's use of your personal information where they act as data controller, please contact the Administrator, Investment Manager or Distributor respectively.

# MontLake Oriel UCITS Platform ICAV

## Account Opening and Subscription Agreement

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### Schedule 3

#### Redemption request form

Dated: \_\_\_\_\_, 20\_\_\_\_

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](mailto:tadublin@seic.com)

Dear Sir/Madam:

The undersigned Shareholder of FVC Equity Dispersion Fund (the "Fund") hereby requests to redeem the selected Shares of the Fund as indicated below on the next available Redemption Day following receipt of this redemption request. Please indicate the appropriate Share Class and number or value of Shares to be redeemed by completing the sections below.

Shareholder Name: \_\_\_\_\_

Shareholder Account Number: \_\_\_\_\_

<b>Details of Redemption:</b>					
The Applicant, having received and read a copy of the Prospectus, the Supplement of the Fund and the KIID(s) in respect of the relevant Share Class hereby applies to redeem Shares in the Fund as indicated in the table below:					
Fund Name	Share Class	Currency	Number of Shares	Value of Redemption	ISIN
FVC Equity Dispersion Fund	[•]	[•]			[•]
	[•]	[•]			[•]

Shareholder should send a completed redemption request form to be received by the Administrator no later than 10 am Irish time (6 pm Tokyo time) on the Business Day prior to the relevant Redemption Day, failing which the redemption request will be held over until the next Redemption Day and Shares will be redeemed at the redemption price applicable on that Redemption Day.

A redemption request, once given, is irrevocable save with the consent of the Manager (which may be withheld in its discretion) or during a period when the calculation of Net Asset Value is suspended as described in the Prospectus.

Redemption payments will be paid to the bank account details outlined in the Subscription Agreement previously provided by the Shareholder.

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

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

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

Capacity\*: \_\_\_\_\_