

Note: Defined terms should mirror those in the offer document eg: Company, Fund, Trust, Directors, Manager etc (at umbrella level) and Fund, Sub-Fund, Portfolio (at sub-fund level etc). Client should track defined terms throughout this Application Form

**STENHAM INVESTMENT FUNDS P.L.C. (THE "COMPANY")**

## **Application Form**

### **IMPORTANT**

- **INVESTORS SHOULD ENSURE THAT THE ORIGINAL APPLICATION FORM IS RETURNED BY POST TO THE ADMINISTRATOR AT THE ADDRESS BELOW. FAILURE TO RETURN THE ORIGINAL APPLICATION FORM AND SUPPORTING DOCUMENTATION WILL DELAY THE PAYMENT OF REDEMPTION PROCEEDS (AND DIVIDENDS/DISTRIBUTIONS IF APPLICABLE).**
- **INVESTORS SHOULD ENSURE THE SECTION HEADED "SIGNATURE" ON PAGE 24 HAS BEEN SIGNED BEFORE RETURNING THIS TO THE ADMINISTRATOR.**

### **ADMINISTRATOR**

**Northern Trust International Fund Administration Services (Ireland) Limited  
George's Court  
54-62 Townsend Street  
Dublin 2  
Ireland**

**Telephone: +353 1 434 5096  
Facsimile: +353 1 434 5291**

**Please ensure that you have read the Prospectus and the Key Investor Information Document (the "KIID") before completing this Application Form. The KIID is available at the Investment Manager's website [www.stenham.com](http://www.stenham.com)**

**Defined terms used in this Application Form are those used in the Prospectus (unless the context otherwise requires).**

**Your personal information will be handled by the Administrator or its duly appointed delegates as Data Processor for the Fund in accordance with the Irish Data Protection Acts 1988 to 2003 ("Data Protection Legislation"). Your information provided herein will be processed for the purposes of complying with Data Protection Legislation and this may include disclosure to the Irish Revenue Commissioners.**

**Please complete this Application Form in blue or black ink using BLOCK CAPITALS.**

This Application Form, together with the Money Laundering Verification Requirements and the Declaration of Irish Residence outside Ireland<sup>1</sup>, constitutes your agreement to subscribe for Shares in the Fund. You should post or fax this Application Form (in which case the original Application Form and supporting documentation must also be forwarded) to the Administrator at the address on the cover page;

**INVESTOR TAX RESIDENCY**

**PLEASE TICK (✓) THE RELEVANT BOX**

- A) NON-U.S. TAXPAYER
- B) U.S. TAXPAYER\*
- C) ONE OR MORE JOINT  
APPLICANTS IS A U.S. TAXPAYER
- D) NON-U.S. TAXPAYER HOLDING SHARES  
ON BEHALF OF A U.S. TAXPAYER

If B, C or D has been ticked then each U.S. taxpayer must complete and sign IRS Form W-9 to certify their tax identification number. The form can be downloaded from [www.irs.gov](http://www.irs.gov). **Failure to submit a completed IRS Form W-9 (where applicable) will result in a delay in the settling of redemption proceeds and no interest will accrue.**

“U.S. Taxpayer” is defined to include a U.S. citizen or resident alien of the United States (as defined for United States federal income tax purposes); any entity treated as a partnership or corporation for U.S. tax purposes that is created or organised in, or under the laws of, the United States or any state thereof (including the District of Columbia); any other partnership that is treated as a U.S. Taxpayer under U.S. Treasury Department regulations; any estate, the income of which is subject to U.S. income taxation regardless of source; and any trust over whose administration a court within the United States has primary supervision and all substantial decisions of which are under the control of one or more U.S. fiduciaries. Persons who have lost their U.S. citizenship and who live outside the United States may nonetheless, in some circumstances, be treated as U.S. Taxpayers.

An investor may be a “U.S. Taxpayer” but not a “U.S. Person”. For example, an individual who is a U.S. citizen residing outside of the United States is not a “U.S. Person” but is a “U.S. Taxpayer”.

U.S. Taxpayers will be required to furnish the Administrator with a properly executed IRS Form W-9. Amounts paid to Shareholders who are U.S. Taxpayers as a distribution from the Company, or as gross proceeds from a redemption of Shares, will generally be reported to Shareholders who are U.S. Taxpayers and the IRS on an IRS Form 1099 (except as otherwise noted below). Failure to provide an appropriate and properly executed IRS Form W-9 (for Shareholders who are U.S. Taxpayers) may subject such Shareholders to backup withholding tax. Backup withholding tax is not an additional tax. Any amounts withheld may be credited against such Shareholders’ U.S. federal income tax liability.

Tax exempt entities, corporations, non-U.S. Shareholders and certain other categories of Shareholders generally will not be subject to reporting on IRS Form 1099 or backup withholding, provided that, in the case of tax exempt entities and corporations such Shareholders furnish the Administrator with an appropriate and properly executed IRS Form W-9 certifying as to their tax exempt status.

**Dealing Procedure**

All dealing instructions in relation to the Shares in the Company must be received before the time(s) specified in the Company’s Prospectus and/or relevant Fund Supplement as the case may be, together, the (“Prospectus”). Dealing Instructions received after such times will generally be deemed to have been received for the next relevant dealing day.

**No redemption payment may be made until the original Application Form has been received and the Administrator is satisfied that all necessary anti-money laundering checks have been completed in full.**

By ticking the box below box, I hereby consent to the provision of contract notes, statements and other reports, by secured or encrypted electronic transmission, which may be issued from time to time by the Administrator in respect of my holdings in the Company.

<sup>1</sup> Only applicable to Irish domiciled funds.

**Dealing and Holding Minimum**

**Stenham Equity Fund**

Class	Minimum Holding	Minimum Initial Subscription	Minimum Subsequent Subscription	Minimum Redemption
A (USD)	US\$10,000	US\$25,000	US\$5,000	US\$5,000
A (GBP)	GBP10,000	GBP25,000	GBP5,000	GBP5,000
A (EUR)	EUR10,000	EUR25,000	EUR5,000	EUR5,000
A1 (USD)	US\$1,000,000	US\$25,000,000	US\$1,000,000	US\$1,000,000

**SELECT FUND AND SETTLEMENT CURRENCY**

Please tick (✓) the Fund in which the investment will be made

STENHAM EQUITY FUND

Please tick (✓) the currency in which the investment will be made

EURO  OTHER (Please Specify)

GBP

USD

**PLEASE COMPLETE EITHER THE “MONETARY AMOUNT” OR THE “NO. OF SHARES” FIELD AND SPECIFY THE CURRENCY OF INVESTMENT**

Name of Fund	
Share Class	

Monetary Amount (including currency of investment)	
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Amount in Words	
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**Please note that the original fully signed Application Form must be returned to the address indicated for forwarding to the Administrator appointed by the Company if this is your first investment in the Shares of the Fund. No redemption or conversion or transfer requests may be processed prior to receipt of this original form and supporting documentation.**

Incomplete Application Forms (where documentation relating to money laundering has not been provided) may be rejected and subscription monies received may be returned. If an application is rejected, the Administrator at the cost and risk of the applicant will, subject to any applicable laws, return application monies or the balance thereof, without interest, expenses or compensation by electronic transfer to the account from which it was paid.

**1. NAME(S) FOR REGISTRATION (BLOCK CAPITALS)**

<b>SHAREHOLDER 1</b>	<b>SHAREHOLDER 2</b>
First Name & Family Name/Company Name <input type="text"/>	First Name & Family Name/Company Name <input type="text"/>
Street 1 <input type="text"/>	Street 1 <input type="text"/>
Street 2 <input type="text"/>	Street 2 <input type="text"/>
Town/Country/Postcode <input type="text"/>	Town/Country/Postcode <input type="text"/>
Contact Telephone Number <input type="text"/>	Contact Telephone Number <input type="text"/>
Contact Fax Number& Email Address <input type="text"/>	Contact Fax Number& Email Address <input type="text"/>
<b>SHAREHOLDER 3</b>	<b>SHAREHOLDER 4</b>
First Name & Family Name/Company Name <input type="text"/>	First Name & Family Name/Company Name <input type="text"/>
Street 1 <input type="text"/>	Street 1 <input type="text"/>
Street 2 <input type="text"/>	Street 2 <input type="text"/>
Town/Country/Postcode <input type="text"/>	Town/Country/Postcode <input type="text"/>
Contact Telephone Number <input type="text"/>	Contact Telephone Number <input type="text"/>
Contact Fax Number& Email Address <input type="text"/>	Contact Fax Number& Email Address <input type="text"/>
Mailing address (if different from the address of the first names holder) <input type="text"/>	

Confirm whether (A) listed/not listed; and, if listed, (B) subject to the requirements of the Transparency Directive<sup>2</sup> or equivalent standards regarding transparency of ownership (specifying applicable regime)<sup>3</sup>

**1.1. BENEFICIAL OWNER**

- Same as account owner (You **must** also complete Part 2 of this Section 1.1)
- Third party (account owner is an intermediary) (You **must** also complete both Part 1 and Part 2 of this Section 1.1)

**Part 1: Third Party and Intermediary Information** Complete ONLY if account owner is an intermediary.

Third Party Beneficial Owner(s) Name(s)	Name Of Regulator Where Intermediary Is Regulated
Type of Investor (Individual, corporate, pension fund, etc)	Confirm whether investor is (A) listed/not listed, and, if listed (B) subject to the requirements of the Transparency Directive <sup>4</sup> or equivalent standards regarding transparency of ownership (specifying applicable regime) <sup>5</sup>

**Part 2: Beneficial Owners and the European Union (Anti-Money Laundering: Beneficial Ownership of Corporate Entities) Regulation 2016**

Please tick here and proceed to Section 2 where the account holder or, if the account holder is an intermediary, the third party beneficial owner is listed on a regulated market and subject to disclosure requirements consistent with Union law<sup>6</sup> or subject to equivalent standards which ensure adequate transparency of ownership information:

Where sub-paragraphs (A) or (B) below are relevant, the following table must also be completed in order to enable the Fund to comply with the European Union (Anti Money Laundering Beneficial Ownership of Corporate Entities) Regulation 2016 (SI No. 560 of 2016) (the "**Beneficial Ownership Regulations**"). If you become aware that you are a "beneficial owner" of the Fund (as that term is defined in the Beneficial Ownership Regulations) you have certain legal obligations to provide the Fund with relevant information, in particular any changes to the information below (including if you become aware that you have ceased to be a beneficial owner)(a "**Relevant Change**"). Please see the section entitled "Representations and Warranties" in respect of the statutory obligations to the Fund.

- (A) If either (i) the beneficial owner is a natural person, and is the same as the account holder or (ii) the third party beneficial owner is a natural person please provide all information below.
- (B) If either (i) the account holder names in Section 1 or (ii) the third party beneficial owner named in Part 1 of Section .1.1 is **not** a natural person, please provide the following information for:
  - Each shareholder (or equivalent) that is a natural person with at least 25% ownership or control of the subscribing entity; and
  - Where shareholder(s) (or equivalent) in the subscribing entity is/are an entity, any natural person(s) indirectly having at least 25% ownership or control of each relevant shareholder entity.

Name (First Name, Surname)	Residential Address
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<sup>2</sup> Directive 2004/109/EC of the European Parliament and of the Council of 15 December 2004 on the harmonisation of transparency requirements in relation to information about issuers whose securities are admitted to trading on a regulated market and amending Directive 2001/34/EC

<sup>3</sup> Note the Fund in its sole discretion retains power to decide on equivalence of any other regime.

<sup>4</sup> Directive 2004/109/EC of the European Parliament and of the Council of 15 December 2004 on the harmonisation of transparency requirements in relation to information about issuers whose securities are admitted to trading on a regulated market and amending Directive 2001/34/EC

<sup>5</sup> Note the Company in its sole discretion retains power to decide on equivalence of any other regime.

<sup>6</sup> Including the Transparency Directive (as defined in footnote (2))

Date Of Birth	Nationality
Statement Of (i) The Nature And (ii) The Extent Of The Interest In The Fund Held By The Relevant Natural Person As Beneficial Owner <sup>7</sup>	

For intermediaries only

Is This Information Being Provided With The Knowledge Of The Relevant Natural Person? (Yes Or No): _____
If you cannot provide the information requested in this Part 2 of Section 1 or any part(s) thereof, please (A) set out the reason(s) and (B) provide the particulars of any person likely to have knowledge of a relevant natural person, with confirmation as to whether this information is being provided with their knowledge <sup>8</sup>

**1.2 INTERMEDIARY/NOMINEE CERTIFICATIONS<sup>9</sup>**

By signing below, the signer certifies that all of the following are true:

1. the intermediary has verified the identity of the above named investor (meaning the third-party beneficial owner(s)) consistent with the anti-money laundering regulations of Ireland or, if they are at least equivalent, of the jurisdiction of sale
2. the intermediary has documentation to support the investor identification, can produce it on demand and will hold it for five years after the final transaction in this account
3. the intermediary has identified all parties owning or controlling 25% or more of the equity or the voting rights of the investor, and all parties that in turn own or control 25% or more of the equity or voting rights of the parties initially described, and agrees to provide documentation on all of these parties that is satisfactory to us upon request
4. the intermediary has the power and authority to act on behalf of the investor as concerns all matters regarding this application and investment
5. the intermediary indemnifies us from any costs or any damages resulting from any misrepresentation the intermediary makes on this form
6. the intermediary agrees to notify us immediately should its relationship to investor end
7. the intermediary agrees to provide the beneficial owner(s) with all current standard and local offering documents as and when required by law and regulation, and to maintain adequate records that it has done so
8. the signer is authorised to make all of these representations on behalf of the intermediary

Authorised Signer Name in Block Letter

\_\_\_\_\_

Title

Date

\_\_\_\_\_

<sup>7</sup> For example, whether shares will be held by a natural person directly or indirectly via the account owner (or both), or control is exercised via other means (e.g. a right to issue binding directions affecting financial/operational policies under a shareholder agreement with the investor), and (ii) number of shares subscribed for if account holder is a natural person (with a breakdown of direct and indirect ownership as appropriate) or percentage of shares/voting rights held by a natural person in the investor.

<sup>8</sup> Please attach a continuation sheet if the space herein is insufficient

<sup>9</sup> Required if beneficial owner is not account owner

**2. Banking Details - THIS SECTION MUST BE COMPLETED BY ALL APPLICANTS**

**BANK ACCOUNT DETAILS FOR SETTLEMENT OF REDEMPTION (AND DIVIDEND/DISTRIBUTION PROCEEDS IF APPLICABLE)**

Name of Bank		
A/c Name		
Address of Bank		
A/c Number		
Sort Code		
IBAN:		
Swift Code		Reference Code:

**NOTE: NO THIRD PARTY PAYMENTS WILL BE UNDERTAKEN.**

**NOTE: A REQUEST TO CHANGE BANK ACCOUNT DETAILS MUST BE MADE IN WRITING TO THE ADMINISTRATOR AND MUST BE ACCOMPANIED BY A BANK STATEMENT OR BANKER'S REFERENCE.**

**NOTES:**

- (a) Requests for redemption or distribution payments to be made by electronic transfer will be subject to bank charges. Such charges will normally be payable by the Shareholder although the Company has the discretion to determine that these charges should be borne by the Company or the relevant Fund.
- (b) If subscribing for Shares in more than one Fund investors must clearly mark the payment reference accounts for each particular Fund and the sub-account.
- (c) The Base Currency of the Fund and the designated currency of any Shares will be set out in the Prospectus and is also noted above. Applications for Shares shall be accepted in the Base Currency of the relevant Fund or the designated currency of the relevant Share Class.
- (d) Please ensure that you have read the Prospectus before completing this Application Form. Defined terms used in this Application Form are those used in the Prospectus (unless the context otherwise requires).
- (e) Any subscription proceeds paid in currencies other than the designated currency of the relevant Share Class will be converted into that currency at prevailing exchange rates. This foreign exchange transaction will be arranged by the Administrator (at the discretion of the Company) at the cost and risk of the relevant investor.
- (f) All applicants should sign the necessary additional declarations on pages 21 and 24. Exempt from tax non-Irish Residents and Exempt from tax Irish Residents should also complete the relevant declarations.

**Method of Payment**

- Please pay monies in accordance with the deadlines outlined in the relevant Supplement of the Fund.
- Please remit payment to the following bank account:-

	<b>FOR GBP SETTLEMENT</b> Stenham Investment Funds Plc	<b>FOR EURO SETTLEMENT</b> Stenham Investment Funds Plc	<b>FOR USD SETTLEMENT</b> Stenham Investment Funds Plc
<b>Pay to</b>	Barclays Bank PLC, London SWIFT: BARCGB22 CHAPS: 20-32-53	Barclays Bank PLC, Frankfurt SWIFT: BARCDEFF	The Northern Trust International Banking Corporation, New Jersey, USA  SWIFT: CNORUS33 Fedwire ABA: 026001122 CHIPS ABA: 0112
<b>Beneficiary Bank</b>	The Northern Trust International Banking Corporation, New Jersey, USA SWIFT: CNORUS33 IBAN: GB64BARC20325353529495 Beneficiary A/C Number: 53529495	The Northern Trust International Banking Corporation, New Jersey, USA SWIFT: CNORUS33 Beneficiary A/c Number: 0210472800	Not Applicable
<b>A/C Name:</b>	STENHAM INVESTMENT FUNDS PLC Account Number: 607895-20019	STENHAM INVESTMENT FUNDS PLC Account Number: 607903-20019	STENHAM INVESTMENT FUNDS PLC – 179242-20010
<b>Reference</b>	Client Register Number or Agent Number	Client Register Number or Agent Number	Client Register Number or Agent Number

**Note:** Monies must come from the account of the investor.



Please specify your Ordering Institution details for subscriptions

Currency \_\_\_\_\_ Correspondent Bank \_\_\_\_\_

Swift/ABA \_\_\_\_\_ Account Number \_\_\_\_\_

**Agent Details**

<b>Agents Details</b> Contact Name _____
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Agent Name \_\_\_\_\_

Address \_\_\_\_\_  
\_\_\_\_\_

Contact Fax Number \_\_\_\_\_ Contact Telephone Number \_\_\_\_\_

Regulator \_\_\_\_\_ Regulator Approval Number \_\_\_\_\_

Agents Stamp 

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Agency Number: \_\_\_\_\_ Commission Terms agreed with the Fund Promoter: \_\_\_\_\_

<b>Return of Values (Investment Undertakings) Regulations 2013</b>
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The Company must collect additional information in order to satisfy Return of Values (Investment Undertakings) Regulations 2013(S.I. 245 of 2013). Therefore any individual, company or any unincorporated body of persons which are an Irish resident or ordinarily Irish resident must provide the following additional information:

<b>Tax Identification Number (TIN) / PPS Number</b>	
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**Any one of the following additional documents is required to verify the TIN or PPS Number (either a copy or the original is sufficient)**

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

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

*Your personal information will be handled by the Administrator or it's duly appointed delegates as Data Processor for the Company in accordance with the Data Protection Legislation. Your information provided herein will be processed for the purposes of complying with the Return of Values (Investment Undertakings) Regulations 2013 and this may include disclosure to the Irish Revenue Commissioners.*

## Due Diligence Documentation

**Due Diligence Documentary Requirements in accordance with The Criminal Justice (Money Laundering and Terrorist Financing) Act, 2010 (The ‘CJA 2010’) as amended and updated by The Criminal Justice Act 2013 (The ‘CJA 2013’).**

### 1. Guide to completing this form.

**Part I-** This section must be completed by all applicants.

**Part II-** Please provide the due diligence documentation outlined in this section.

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### 2. Certification of Documents – Required for High Risk countries

Certified copies of personal identification documents and corporate documentation are required for certain identified investors. Documents must be a ‘certified true copy of original’.

In terms of certifying a document as a true copy, certification means that there is an original signature on the document from a suitable person.

Suitable persons include:

- An authorised signatory of a Regulated Financial Institution or Credit Institution.
- An authorised signatory of a Financial Adviser.
- A Justice of the Peace.
- A Notary Public or Practising Solicitor.
- A Practising Chartered or Certified Public Accountant.
- Medical Professional
- A person authorised to sign on behalf of an Embassy or a Consul.
- A Police Officer.

Certification of each document should include:

- A signed statement confirming that this document is a true and accurate copy of the original document as seen by the person certifying the document.
- The name (in block capitals), occupation and contact details (address, telephone number and email address) of the person certifying the document, as a true copy of the original document.
- The date of certification of the document, as a true copy of the original document.

**Note 1:** Where the document, being certified as a true copy of the original document, contains a photograph, the person certifying the document as a true copy should also confirm that this a true likeness of the person named in the document.

**Note 2:** The document being provided as a true and accurate copy of the original document must include a wet ink signature of the person certifying the document as a true and accurate copy of the original document (i.e. no scanned or photocopied copies of the document being certified as a true copy of the original document, can be accepted).

**Note 3:** For multiple page documents, the certifier should sign or initial each page of the copy and confirm on the first or last page of the document the actual number of pages in the document.

**Note 4:** Where available, the statement of certification as a true copy of the sighted original should be accompanied by the professional stamp or seal of the certifier.

**Note 5:** When certifying documents as true copies, the certifier should not be a close family member of, or have any apparent or potential conflicts of interest with, the investor.

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### 3. English Translations

Where due diligence documents are provided in a language other than English, the prospective investor should, at the same time, provide a relevant extract translated by an independent source confirming also the adequacy of the foreign language documents.

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## Due Diligence Documentation- Investor Type

### Part I – All Investors

Please tick investor type below (Please note, investor type indicates the documents required to open account):

- |   |                          |                                   |                          |
|---|--------------------------|-----------------------------------|--------------------------|
| Private/ Unlisted Company                 | <input type="checkbox"/> | Charities                         | <input type="checkbox"/> |
| Partnership                               | <input type="checkbox"/> | Trusts/ Foundations               | <input type="checkbox"/> |
| Listed Company                            | <input type="checkbox"/> | Collective Investment Scheme/Fund | <input type="checkbox"/> |
| Subsidiary of a Listed Company            | <input type="checkbox"/> | School, college or university     | <input type="checkbox"/> |
| Regulated Credit or Financial Institution | <input type="checkbox"/> | Pension Schemes                   | <input type="checkbox"/> |
| Nominee Company                           | <input type="checkbox"/> | Trade Unions                      | <input type="checkbox"/> |
| Government Body or Public Authority       | <input type="checkbox"/> | Church                            | <input type="checkbox"/> |
| Individual                                | <input type="checkbox"/> | Other- Please specify: _____      | <input type="checkbox"/> |

Please confirm whether you are a Politically Exposed Person

*A Politically Exposed Person ('PEP') means an individual (or family member or close associate of such individual) who is, or has, at any time in the preceding 12 months, been entrusted with a prominent public function.*

*A prominent public function is defined as:*

- (a) a member of the administrative, management or supervisory body of a state-owned enterprise;*
- (b) a head of state, head of government, government minister or deputy or assistant government minister;*
- (c) a member of a parliament;*
- (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; and*
- (f) an ambassador, chargé d'affairs or high-ranking officer in the armed forces,*

*including any such officials in an institution of the European Communities or an international body.*

## Due Diligence Documentation- Leverage Across Investments

I hereby authorize NTIFASIL (the administrator) to leverage the due diligence documentation provided for the purposes of compliance with applicable regulatory requirements across all investments which I currently hold/ may hold in the future across all funds which are administered by NTIFASIL

## Due Diligence Documentation- Ultimate Beneficial Owner

Ultimate Beneficial Owners are individuals who directly or indirectly hold ownership of 25% or more of the shares or voting rights in an entity, or otherwise exercise control over the management of the entity.

Name	Address	% Ownership	Nationality	Date of Birth

Declaration - I/We declare that the information contained in this form and the attached documentation, if any, is true and accurate to the best of my/our knowledge and belief.

Signature 1 \_\_\_\_\_ Print Name \_\_\_\_\_ Date \_\_\_\_\_

Signature 2 \_\_\_\_\_ Print Name \_\_\_\_\_ Date \_\_\_\_\_

## **Due Diligence Documentation- Requirements**

### **Part II- Due Diligence Requirements**

Outlined below is guidance on the documentation which the Fund/ICAV/ Manager & Northern Trust (as Administrator) will require when undertaking due diligence to establish the identity of an investor and verify same to the extent warranted by risk.

**The Fund/ICAV/ Manager & Administrator hereby reserves the right to request such further information and/or documentation from investors as is necessary from time to time to satisfy Irish regulatory requirements.**

#### Examples of Photographic Identity Documentation

- Current passport.
- Current driving licence.
- Current national identity card.
- Current identification form with the photo signed by a police officer or equivalent.
- Social welfare/revenue card or any identity document with photographic identity issued by a government department.

#### Examples of Proof of Address

- Bank statements/credit card statements.
- Utility bill.
- Household/motor insurance certificate and renewal notices.
- Correspondence from local authorities.
- Correspondence from the revenue commissioners or equivalent.
- Correspondence from any government body.
- Driving licence which confirms the address provided it has not also been used to satisfy the photographic identity requirement above.
- Payslip or salary advice dated within the previous 6 months.
- Confirmation of address from a lawyer or financial institution.

**Note: All documentation must reflect the current residential address and must be dated within the previous 6 months other than in the case of an official document known to be issued only or typically at fixed intervals of more than 6 months, in which case such document may be accepted during that period, to a maximum of 12 months (e.g. correspondence from local authorities).**

#### Letter of Assurance

Please contact Northern Trust for a template letter of assurance if required.

**Note: Investors are required to notify the Fund/ICAV Manager & Northern Trust of any changes to the AML information which was previously provided (e.g. changes in directors/controllers or beneficial owners).**

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#### **Prescribed Countries (i.e. jurisdictions where a presumption of comparability with Ireland may be made)**

Australia, Austria, Belgium, Brazil, Bulgaria, Canada, Channel Islands, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hong Kong, Hungary, Iceland, India, Ireland, Isle of Man, Italy, Japan, Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Mexico, Netherlands, Norway, Poland, Portugal, Romania, Singapore, Slovakia, Slovenia, South Africa, South Korea, Spain, Sweden, Switzerland, United Kingdom, United States.

The Dutch overseas territories of Netherlands Aruba, Curacao, Sint Maarten, Bonaire, Sint Eustatius and Saba.

The French overseas territories of Mayotte, New Caledonia, French Polynesia, Saint Pierre and Miquelon and Wallis & Futuna.

### **Deemed High Risk Countries**

Afghanistan, Albania, Angola, Azerbaijan, Bahamas, Belarus, Belize, Benin, Bolivia, Bosnia and Herzegovina, Burma (Myanmar), Burundi, Cambodia, Cape Verde, Central African Republic, Chad, China, Colombia, Comoros, Congo Democratic Republic, Congo Republic, Costa Rica, Cyprus, Dominican Republic, Ecuador, Egypt, El Salvador, Equatorial Guinea, Eritrea, Ethiopia, Ghana, Guatemala, Guinea, Guinea Bissau, Haiti, Honduras, India, Iraq, Ivory Coast (Coted'Ivoire), Jamaica, Jordan, Kazakhstan, Laos, Latvia, Lebanon, Liberia, Libya, Liechtenstein, Macau, Maldives, Marshall Islands, Mauritania, Mexico, Moldova, Monaco, Montenegro, Morocco, Myanmar (Burma), Nauru, Nicaragua, Nigeria, Pakistan, Palestinian Territories, Panama, Peru, Russia, Saint Kitts and Nevis, Saudi Arabia, Senegal, Serbia, Seychelles, Sierra Leone, Somalia, South Sudan, Sudan, Tajikistan, Tanzania, Tunisia, Turkey, Uganda, United Arab Emirates, Uzbekistan, Vanuatu, Venezuela, Yemen and Zimbabwe.

**Note: Northern Trust reviews the risks associated with all locations on a regular basis. The risk associated with a location may change over time. Northern Trust reserves the right to apply a different risk rating than shown in this document.**

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### **Regulated Credit or Financial Institution**

**Where the applicant is a Regulated Credit or Financial Institution from one of the above referenced Prescribed Countries:**

1. Please provide proof of regulation.

**Where the applicant is a Regulated Credit or Financial Institution but is not regulated in a Prescribed Country please provide the following confirmations/documentation:**

1. Full name of the company
2. Registered number of the company
3. Registered legal address and principal business address of the company
4. Details of Directors of the company
5. Details of any Beneficial Owner beneficially entitled to more than 25% of the share capital, profit or voting rights or otherwise exercising control over the management of the company.

Note: Where the Beneficial Owner is a corporate entity, Northern Trust requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).

6. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) confirmation of any underlying investor who is a Beneficial Owner of the proposed investment.
7. One or more of the following:
  - Extract from the relevant company registry providing details of the company; and/or
  - Copy of the certificate of incorporation or equivalent of the company; and/or
  - Copy of the Memorandum and Articles of Association or equivalent of the company; and/or
  - Copy of the latest audited financial statements of the company.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, the following is also required:**

8. Photographic identity document and proof of address for 2 directors of the company.
9. Due diligence documentation (by reference to the legal form of the entity) for any Beneficial Owner beneficially entitled to more than 25% of the share capital, profit or voting rights or otherwise exercising control over the management of the company.
10. Where the company is investing on behalf of underlying investors, due diligence documentation (by reference to the legal form of the investor) for any Beneficial Owner of the proposed investment.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Nominee Company**

**Where the applicant is a Regulated Nominee Company of a Credit or Financial Institution from one of the above referenced Prescribed Countries:**

1. Please provide proof of regulation.

**Where the applicant is an Unregulated Nominee Company of a Regulated Credit or Financial Institution from one of the above referenced Prescribed Countries please provide the following:**

1. Letter of Assurance from the Regulated Credit or Financial Institution.
2. Proof of regulation for the Regulated Credit or Financial Institution.

**or**

**Please provide the following confirmations/documentation**

1. Full name of the Nominee Company.
2. Registered number of the Nominee Company.
3. Registered legal address and principal business address of the Nominee Company.
4. Details of the directors of the Nominee Company.
5. Proof of regulation for the Regulated Parent Company.
6. Identify any beneficial owner of the investment through the Nominee Company.
7. One or more of the following:
  - Extract from the relevant company registry providing details of the Nominee company; and/or
  - Copy of the certificate of incorporation or equivalent of the Nominee Company; and/or
  - Copy of the Memorandum and Articles of Association or equivalent of the Nominee Company; and/or
  - Copy of the latest audited financial statements of the Nominee Company.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, the following is also required:**

8. Photographic identity document and proof of address for 2 directors or one director and one authorised signatory of the Nominee Company.
9. Due diligence documentation (by reference to the legal form of the entity) for any Beneficial Owner of the Nominee Company.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Listed Company**

**Where the applicant is a company listed on a regulated financial market in an EEA (European Economic Area) State or a regulated financial market in a place other than an EEA State, being a place that imposes on companies whose securities are admitted to trading on the market disclosing requirements consistent with legislation of the European Communities.**

1. Please provide proof of listing.

**Where the applicant is not a Listed Company on an above referenced regulated financial market please provide the following confirmations/documentation:**

1. Proof of listing of the company.
2. Full name of the company.
3. Registered number of the company.

4. Registered legal and principal business address of the company.
5. Details of the directors of the company.
6. Details of any beneficial owners who own more than 25% of the share capital, profit or voting rights or exercise control over management of the company.

Note: Where the Beneficial Owner is a corporate entity, Northern Trust requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).

7. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) confirmation of any underlying investor who is a Beneficial Owner of the proposed investment.
8. One or more of the following:
  - Extract from the relevant company registry providing details of the company; and/or
  - Copy of the certificate of incorporation or equivalent of the company; and/or
  - Copy of the Memorandum and Articles of Association or equivalent of the company; and/or
  - Copy of the latest audited financial statements of the company.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, the following is also required:**

9. Photographic identity document and proof of address for 2 directors or one director and one authorised signatory of the company.
10. Due diligence documentation (by reference to the legal form of the entity) for any Beneficial Owner beneficially entitled to more than 25% of the share capital, profit or voting rights or otherwise exercising control over the management of the company.
11. Where the company is investing on behalf of underlying investors due diligence documentation (by reference to the legal form of the entity) for any Beneficial Owner of the proposed investment.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Subsidiary of a Listed Company**

**Where the applicant is a Subsidiary of a Company listed on a regulated financial market in an EEA (European Economic Area) State or a regulated financial market in a place other than an EEA State, being a place that imposes on companies whose securities are admitted to trading on the market disclosing requirements consistent with legislation of the European Communities.**

1. Full name of the subsidiary company.
2. Registered number of the subsidiary company.
3. Registered legal and principal business address of the subsidiary company.
4. Details of the directors of the subsidiary company.
5. Details of any beneficial owners who own more than 25% of the share capital, profit or voting rights or exercise control over management of the subsidiary company.

Note: Where the Beneficial Owner is a corporate entity, Northern Trust requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).

6. Confirmation as to whether the company is investing on its own behalf or on behalf of underlying investors and (as applicable) confirmation of any underlying investor who is a Beneficial Owner of the proposed investment.
7. One or more of the following:
  - Extract from the relevant company registry providing details of the company; and/or
  - Copy of the certificate of incorporation or equivalent of the company; and/or
  - Copy of the Memorandum and Articles of Association or equivalent of the company; and/or
  - Copy of the latest audited financial statements of the company.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, the following is also required:**



8. Photographic identity document and proof of address for 2 directors or one director and one authorised signatory of the company.
9. Due diligence documentation (by reference to the legal form of the entity) for any Beneficial Owner beneficially entitled to more than 25% of the share capital, profit or voting rights or otherwise exercising control over the management of the company.
10. Where the company is investing on behalf of underlying investors, due diligence documentation (by reference to the legal form of the entity) for any Beneficial Owner of the proposed investment.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Government / Public Body**

**Where the applicant is a Government Body or Public Authority in Ireland:**

1. Please provide background information sourced from a reliable source (e.g. copy of the legal instrument establishing the government body/public authority).

**Where the applicant is not a Government Body or Public Authority in Ireland, please provide the following confirmations/documentation:**

1. Full name of the government body or public authority.
2. Nature and status of the government body or public authority.
3. Registered legal address of the government body or public authority.
4. Details of the home state of the public authority and details of the nature of its relationship with the public authority.
5. Details of the ownership of the public authority.
6. Names of the main officials of the government body or public authority.
7. Appropriate background information on the government body or public authority.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, the following is also required:**

8. Photographic identity document and proof of address for 2 official of the government body or public authority.
9. Copy of the audited financial statements of the government body or public authority.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Pension Scheme**

**Where the applicant is an Employee/Superannuation or similar scheme in one of the above referenced Prescribed Countries please provide the following confirmations from the trustees of the scheme:**

1. Confirmation that the Employee/Superannuation (or similar scheme) provides for retirement benefits to employees.
2. Confirmation that contributions of the Employee/Superannuation scheme are made by deduction from wages.
3. Confirmation that the rules of the Employee/ Superannuation scheme do not permit a member's interest under the scheme to be re-assigned.

**Where the applicant is not an Employee/Superannuation or similar scheme in one of the above referenced Prescribed Countries please provide the following confirmations/documentation:**

1. Full name of the pension scheme.
2. Registered legal address of the pension scheme.

3. One of the following:
  - Confirmation of registration of the pension scheme (as appropriate) from the relevant tax authorities or pensions board.
  - Confirmation of the identity of two Trustees / Directors/Governors/Board Members or equivalent of the pension scheme and the constitutional/formation document of the pension scheme.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, the following is also required:**

4. Details of the scheme administrator and the entity carrying out AML/CTF controls on scheme investors.
5. Letter of assurance from the entity carrying out AML/CTF controls on scheme investors.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Collective Investment Scheme**

**Where the applicant is a Collective Investment Scheme listed on a regulated financial market in an EEA (European Economic Area) State or a regulated financial market in a place other than an EEA State, being a place that imposes on companies whose securities are admitted to trading on the market disclosing requirements consistent with legislation of the European Communities.**

1. Please provide proof of listing.

**Where the applicant is a Collective Investment Scheme regulated as a designated person from one of the above referenced Prescribed Countries:**

1. Please provide proof of regulation.

**Where the Collective Investment Scheme ('CIS') is not either listed on a regulated financial market (as above) or regulated as a designated person in one of the above referenced Prescribed Countries please provide the following confirmations/documentation:**

1. Full name of the CIS.
2. Registered address of the CIS.
3. Prospectus or equivalent of the CIS.
4. Name and address of the promoter of the CIS.
5. Name and address of the administrator of the CIS.
6. Name and address of the entity carrying out due diligence on the investors in the CIS and confirmation that this entity is regulated for AML purposes.
7. Names of any investors (Beneficial Owners) who own more than 25% of the share capital of the CIS.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, the following is also required:**

8. Letter of Assurance from the entity carrying out AML/CTF controls on scheme investors.
9. Due diligence documentation (by reference to the legal form of the entity) for any Beneficial Owner beneficially entitled to more than 25% of the share capital of the CIS.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Individuals (including Joint Account Holders)**

**Where the applicant is an Individual please provide the following documentation:**

1. Photographic identity document.
2. Proof of address.
3. One of the following:

- An additional verification document such as a second photographic identity document or a second proof of address document.
- Confirmation from a credit or financial institution confirming that the applicant is or has been a customer of that institution.

**In the case of joints account holders, please provide documents in respect of all holders.**

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Private and Unlisted Company**

**Where the applicant is a Private Company/Company not listed on a regulated financial market please provide the following confirmations/documentation:**

1. Full name of the Company.
2. Registered number of the Company.
3. Registered legal address and principal business address of the Company.
4. Details of the directors of the Company.
5. Photographic identity document and proof of address for 2 directors or one director and one authorised signatory of the company.
6. Details of any beneficial owners who own more than 25% of the share capital, profit or voting rights or exercise control over management of the company.

Note: Where the Beneficial Owner is a corporate entity, Northern Trust requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).

7. One or more of the following:
  - Extract from the relevant company registry providing details of the Company; and/or
  - Copy of the certificate of incorporation or equivalent of the Company; and/or
  - Copy of the Memorandum and Articles of Association or equivalent of the Company; and/or
  - Copy of the latest audited financial statements of the Company.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, the following is also required:**

8. Due diligence documentation (by reference to the legal form of the entity) for any Beneficial Owner beneficially entitled to more than 25% of the share capital of the Company.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Limited Liability Company**

**Where the applicant is a Limited Liability Company (LLC) please provide the following confirmations/documentation:**

1. Full name of the LLC.
2. Registered legal address and principal business address of the LLC.
3. Details of the managing members of the LLC.
4. Photographic identity document and proof of address for 2 managing members or 1 managing member and one authorised signatory of the LLC.
5. Details of any Beneficial Owner of the LLC.

Note: Where the Beneficial Owner is a corporate entity, Northern Trust requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).

6. Constitutional document for the LLC (e.g. certificate of incorporation).

7. Operating agreement for the LLC

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, the following is also required:**

8. Photographic identity document and proof of address for 2 managing members of the LLC.
9. Due diligence documentation (by reference to the legal form of the entity) for any Beneficial Owner beneficially entitled to more than 25% of the share capital of the LLC.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Partnership**

**Where the applicant is a Partnership Fund the following confirmation/documentation should also be provided:**

1. Full name of the Partnership.
2. Registered legal address and principal business address of the Partnership.
3. Details of the partners.
4. Details of the general partner of the Partnership Fund and due diligence documentation for such general partner (by reference to the legal form of such general partner).
5. Photographic identity document and proof of address for 2 partners or one partner and one authorised signatory.
6. Details of any Beneficial Owner of the Partnership.

Note: Where the Beneficial Owner is a corporate entity, Northern Trust requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).

7. Constitutional document for the Partnership (e.g. Partnership Agreement).

**Where the applicant is not a Partnership Fund or located in one of the aforementioned deemed high risk jurisdictions, the following documentation should also be provided:**

1. Full name of the Partnership.
2. Registered legal address and principal business address of the Partnership.
3. Details of the partners.
4. Photographic identity document and proof of address for 2 partners or one partner and one authorised signatory.
5. Details of any Beneficial Owner of the Partnership.

Note: Where the Beneficial Owner is a corporate entity, Northern Trust requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).

6. Constitutional document for the Partnership (e.g. Partnership Agreement).
7. Due diligence documentation (by reference to the legal form of the entity) for any Beneficial Owner beneficially entitled to more than 25% of the share capital of the Partnership.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Trust**

**Where the applicants are Regulated Trustees investing on behalf of a Trust, Foundation or similar entity, please provide the following confirmations/documentation (only applicable for Trustees not located in a high risk jurisdiction):**

1. Full name of the Trust.
2. Registered address of the Trust.

3. Confirmation of the legal form of the Trust.
4. Trust deed or equivalent or confirmation by reference to an appropriate register.
5. Confirmation of the nature/purpose of the Trust.
6. Confirmation of the trustees of the Trust with proof of regulation for the trustees.
7. Details of any Beneficial Owner of the Trust, Foundation or similar entity.

Note: Where the Beneficial Owner is a corporate entity, Northern Trust requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).

8. Details of the settlor of the Trust.
9. Details of the protector (where such protector has been appointed) for the Trust.

**Where the applicants are not Regulated Trustees investing on behalf of a Trust, the following confirmations/documentation should be provided:**

1. Full name of the Trust.
2. Registered address of the Trust.
3. Confirmation of the legal form of the Trust
4. Trust deed or equivalent for the Trust.
5. Confirmation of the nature/purpose of the Trust.
6. Confirmation of the trustees of the Trust.
7. Photographic identity document and proof of address for 2 trustees or 1 trustee and 1 authorised signatory.
8. Details of any Beneficial Owner of the Trust, Foundation or similar entity.

Note: Where the Beneficial Owner is a corporate entity, Northern Trust requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).

9. Details of the settlor of the Trust.
10. Photographic identity document and proof of address for the settlor of the Trust.
11. Details of the protector (where such protector has been appointed) for the Trust.
12. Photographic identity document and proof of address for the protector (if any) of the Trust.
13. Photographic identity document and proof of address for the beneficiaries who hold more than 25% of the beneficial interest, where practicable.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, documentation should be certified as true copies of the original.**

### **Foundation**

**Where the applicants are Regulated Trustees investing on behalf of a Foundation, please provide the following confirmations/documentation (only applicable for Trustees not located in a high risk jurisdiction):**

1. Full name of the Foundation or similar entity.
2. Registered address of the Foundation.
3. Confirmation of the legal form of the Foundation.
4. Constitutional documents or confirmation of the Foundation by reference to an appropriate register
5. Confirmation of the nature/purpose of the Foundation.
6. Confirmation of the trustees of the Foundation with proof of regulation for the trustees.
7. Details of any Beneficial Owner of the Foundation.

Note: Where the Beneficial Owner is a corporate entity, Northern Trust requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).

**Where the applicants are not Regulated Trustees investing on behalf of a Trust, Foundation or similar entity, the following confirmations/documentation should be provided:**

1. Full name of the Foundation.
2. Registered address of the Foundation.
3. Confirmation of the legal form of the Foundation.
4. Trust deed or equivalent for the Foundation.
5. Confirmation of the nature/purpose of the Foundation.
6. Confirmation of the trustees of the Foundation.
7. Photographic identity document and proof of address for 2 directors/ trustees or 1 director/ trustee and 1 authorised signatory.
8. Details of any Beneficial Owner of the Foundation.

Note: Where the Beneficial Owner is a corporate entity, Northern Trust requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).

9. Photographic identity document and proof of address for the beneficiaries who hold more than 25% of the beneficial interest, where practicable.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Charity**

**Where the applicant is a registered Charity please provide the following confirmations/documentation:**

1. Full name of the Charity.
2. Registered legal address and principal business address of the Charity.
3. Confirmation of the nature/purpose of the Charity with details of how the Charity is funded.
4. (As applicable) extract from the relevant charities register (e.g. UK Charities Commission).
- 5.

**Where the applicant is not a registered Charity please provide the following confirmations/documentation:**

1. Full name of the Charity.
2. Registered legal address and principal business address of the Charity.
3. Confirmation of the nature/purpose of the Charity with details of how the Charity is funded.
4. Details of the Trustees/Directors/Governors/Board Members of the Charity.
5. Photographic identity document and proof of address for 2 Trustees/Directors/Governors/Board Members of the Charity.
6. Details of the beneficiaries of the Charity.

Note: Where the Beneficial Owner is a corporate entity, Northern Trust requires details of the ultimate Beneficial Owners (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register confirming the identity of the ultimate Beneficial Owner).

7. Constitutional/formation document of the Charity.
8. Audited financial statements for the Charity.
9. Photographic identity document and proof of address for the beneficiaries who hold more than 25% of the beneficial interest, where practicable.

**Note: Where the applicant is not a registered Charity, documentation provided should be certified as true copies of the original documentation.**

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### **Club or Society**

**Where the applicant is a Club or Society please provide the following confirmations/documentation:**

1. Full name of the Club/Society.
2. Registered legal address and principal business address of the Club/Society.
3. Confirmation of the legal status of the Club/Society.
4. Confirmation of the nature/purpose of the Club/Society with details of how the Club/Society is funded.

5. Details of the principal Officers of the Club/Society.
6. Photographic identity document and proof of address for 2 principal Officers of the Club/Society or 1 principal officer and 1 authorised signatory certified as true copies of the original documents.
7. Constitutional/formation document or Audited financial statements for the Club/Society.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, the following is also required:**

8. Audited financial statements for the Club/Society.
9. Details of any Beneficial Owner with photographic identity document and proof of address for such Beneficial Owner(s) who own or control over 25% of the entity's share capital, profit or voting rights.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, documentation should be certified as true copies of the original.**

### **School, College or University**

**Where the applicant is a School, College or University please provide the following confirmations/documentation:**

1. Full name of the School, College or University.
2. Registered legal address and principal business address of the School, College or University.
3. Background information on the School, College or University and confirmation of the legal status of the School, College or University.
4. Confirmation of the nature/purpose of the School, College or University with details of how the School, College or University is funded.
5. Details of the principal Officers of the School, College or University.
6. Photographic identity document and proof of address for 2 principal Officers or 1 principal office and 1 authorised signatory of the School, College or University.
7. Details of the ownership of the School, College or University including whether the School, College or University is in public or independent ownership. Where independently owned, identify all persons who own or control over 25% of the entity's share capital, profit or voting rights.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, the following is also required:**

8. Photographic identity document and proof of address for any Beneficial Owner(s) who own or control over 25% of the entity's share capital, profit or voting rights in line.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, documentation should be certified as true copies of the original.**

### **Church**

**Where the applicant is a Church please provide the following confirmations/documentation:**

1. Full name of the Church.
2. Registered legal address and principal business address of the Church.
3. Confirmation of the nature/purpose of the Church with details of how the Church is funded.
4. Complete a check of a relevant church register or source a copy of the revenue approval for the church;

**or**

5. Details of the Trustees/Directors/Governors/Board Members of the Church.
6. Photographic identity document and proof of address for 2 Trustees/Directors/Governors/Board Members of the Church.
7. Details of the beneficiaries of the Church.
8. Constitutional/formation document of the Church.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, the following is also required:**

9. Audited financial statements for the Church.

10. Details of any Beneficial Owner with photographic identity document and proof of address for such Beneficial Owner(s).

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, documentation should be certified as true copies of the original.**

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### **Trade Union**

**Where the applicant is a Trade Union please provide the following confirmations/documentation:**

1. Full name of the Trade Union.
2. Registered legal address and principal business address of the Trade Union.
3. Confirmation of the legal status of the Trade Union including whether the Trade Union is registered or otherwise listed by a controlling body for regulatory or oversight purposes (e.g. Congress of Trade Unions).
4. Confirmation of the stated purpose, aims and objectives of the Trade Union with also details of how the Trade Union is funded.
5. Details of the Officers of the Trade Union empowered to make investments on behalf of the Trade Union (e.g. president, secretary, treasurer or other senior committee members).
6. Constitutional/formation document of the Trade Union.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, the following is also required:**

7. Photographic identity document and proof of address for 2 principal Officers of the Trade Union.

**Where the applicant is domiciled in an aforementioned high risk jurisdiction, documentation should be certified as true copies of the original.**

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## **Representations and Warranties**

- I/We confirm that I am/we are 18 years of age or over and have the full right, power and authority to make the investment pursuant to this Application Form whether this investment is in my/our own name or is made on behalf of another person or institution.
- I/We, having received and considered a copy of the current Prospectus, any relevant supplements thereto, the Memorandum and Articles of Association of the Company as may be amended from time to time and the most recent annual and/or semi-annual report of the Company (if any), hereby confirm and declare that this application is based solely on the information contained in such documentation and is made pursuant to the terms of this Application Form and that I/we am/are bound by the terms of the Prospectus, Memorandum and Articles of Association of the Company and this Application Form. In addition, I/We confirm that I/We have received and read the information contained in this form and confirm that a copy of the Key Investor Information Document ("KIID") has been supplied to me/us in good time prior to making the application for Shares. I/We confirm that I/We have read the KIID and reviewed and understood the nature and the risks of the investment products that are being offered to me/us, and that any future investments to any other Fund or Share Class of the Company can also be transacted based on this confirmation. I/We hereby acknowledge and agree that the updated KIID for each Share Class is available at the Investment Manager's website at [www.stenham.com](http://www.stenham.com) and that I/we will read and review the most up-to-date version of the relevant KIID prior to making any subsequent application for Shares in the Company.
- We are aware that copies of the Prospectus, KIID(s), latest annual and semi-annual reports and other information may be obtained from the registered office of the Company at George's Court 54-62 Townsend Street, Dublin 2, Ireland. I/We give full consent to receiving the Prospectus, latest annual and semi-annual reports and KIID(s) by means of electronic\* communication. I/We acknowledge that I/we have been given a choice between hard copy and electronic delivery and I/we confirm that I/we have elected to receive any relevant documentation, including the KIID, electronically.
- I/We agree that the issue and allotment to me/us of the Shares is subject to the provisions of the Prospectus, that subscription for Shares will be governed and construed in accordance with Irish law and I/we confirm that by subscribing for Shares, I/we are not relying on any information or representation other than such as may be contained in the Prospectus and the most recent annual or semi annual report (if available) thereto.
- In the event of any dispute or claim arising under this Application Form or the Prospectus, or relating to the Shares in the Company I/we submit to the exclusive jurisdiction of the Irish Courts.
- I/We acknowledge that the Company reserves the right to reject any application in whole or part without assigning any reason therefore.
- I/We certify that I am/we are eligible to invest in the Fund and I am/we are not acquiring Shares for or on behalf of, or for the benefit of, any person or entity who/which is not eligible to invest in the Fund nor do I/we intend transferring any Shares which I/we may purchase to any person or entity who/which is not eligible to invest in the Fund. I/We confirm that I/we are aware of the risks involved in the proposed investment and of the fact that inherent in such investment is the potential to lose the entire sum invested.
- I/We agree to notify the Fund or the Administrator immediately if I/we become aware that any of the representations, declarations or warranties given by me/us in this Application Form is/are no longer accurate and complete in all respects and agree immediately to take such action as the Fund may direct, including where appropriate, redemption of my/our entire holding.
- I/We agree to indemnify and hold harmless the Company, the Investment Manager, the Administrator, on its own behalf and as agent of the Fund, and their respective affiliates, directors, members, partners, Shareholders, officers, employees and agents from and against any and all losses, liabilities, damages, penalties, costs, fees and expenses (including without limitation legal fees and disbursements) which may result, directly or indirectly, from any

inaccuracy in or breach of any representation, warranty, covenant or agreement set forth in this section or in any document delivered by me/us to the Company or any of them and shall notify the Company immediately if any of the representations herein made are no longer accurate and complete in all respects.

- I/We understand that the Company operates a single collections account for all Funds through which subscription monies and redemption proceeds and dividend income (if any) for each Fund are channelled. I/We further understand that this collections account shall not have the protection of the Central Bank (Supervision and Enforcement) Act 2013 (Section 48(1)) Investor Money Regulations 2015 for Fund Service Providers, as may be amended from time to time (the "Investor Money Regulations") and that a risk exists to the extent that monies are held by the Company in the collections account for the account of a Fund at a point where such Fund (or another Fund of the Company) becomes insolvent. Upon receipt into the collections account, subscription monies, redemption proceeds or dividend income will be the property of the relevant Fund and accordingly I/We will be treated as a general creditor of the relevant Fund during the period such monies are held in the collections account.
- I/We declare that I am/we are licensed as..... (description) by the (regulatory body) under the laws of..... (country) and am/are thereby subject to regulations and/or guidelines which to the best of my/our. knowledge and understanding are in accordance with the Financial Action Task Force Recommendations ("FATF") on the prevention of money-laundering. We attach independent verification of our licensed status. This application is made in my/our name on behalf of my/our clients whose identity has been properly verified by me/us in accordance with the guidelines. Evidence of such verification will be retained for such period as is required by the country of our domicile and will be promptly supplied to the Administrator or the Company upon request. We confirm that we have adopted measures to prevent and detect the commission of an offence of financing terrorism and that all employees, directors and other officers have received the appropriate level of training to ensure these measures are applied. Furthermore, should our licence or registration as noted above be revoked or altered at any future time or if the situation with regard to any of the clients introduced has changed, we undertake to advise you immediately. We further confirm we will provide the Administrator with a letter of assurance in connection with these matters in a form acceptable to the Administrator, if requested. A Designated Body is an individual or other entity which is regulated in respect of the provision of banking or investment services in a country which is a member of the European Union or the Financial Action Task Force.
- I/We understand that the confirmations, representations, declarations, indemnities and warranties made or given herein are continuous and apply to all subsequent purchases of Shares by me/us in the Company.
- I/We have such knowledge and experience in business and financial matters or have obtained advice from a professional adviser such that I am/we are capable of evaluating the merits, and the risks, of an investment by me/us in the Company.
- I/We understand that the tax disclosure set forth in the Prospectus is of a general nature and may not cover the jurisdiction in which I am /we are subject to taxation and that the tax consequences of my/our purchase of Shares depend on my/our individual circumstances.
- I/We acknowledge the right of the Company at any time to require the mandatory redemption of Shares in the circumstances provided for in the Prospectus.
- Please **tick** (✓) as appropriate:-<sup>10</sup>
  - (a)  I am a U.S. Person (as defined in the Prospectus) and have completed the Application Form<sup>11</sup> for applicants who are U.S. Persons; or
  - (b)  I/We hereby certify that the Shares are not being acquired for the benefit of, directly or indirectly, any U.S. Person nor in violation of any applicable law, and that I/we will not, subject to the conditions set forth in the Prospectus, sell or offer to sell or transfer Shares in the United States or to or for the benefit of a U.S. Person.

In particular: (a) I/we understand that the Company has not been and will not be registered under the United States Investment Company Act of 1940, as amended, that the Shares have not been registered and will not be registered under the United States Securities Act of 1933, as amended, and that the Shares have not been qualified under the

<sup>10</sup> Client Client's US counsel to review.

<sup>11</sup> Client's US counsel to provide US Person specific Application Form.

securities laws of any state of the United States and may not be offered, sold or transferred in the United States or to or for the benefit of, directly or indirectly, any U.S. Person; (b) I am not/none of us is a U.S. Person; and (c) I am not/none of us is/are acquiring the Shares for the account or benefit, directly or indirectly, of any U.S. Person or with a view to their offer, sale or transfer within the United States or to or for the account or benefit, directly or indirectly, of any U.S. Person.

➤ I/We will hold Shares on behalf of a U.S. Taxpayer (as defined below):

Yes  No  (please tick the appropriate box)

If the “yes” box is ticked, then I/we understand the U.S. tax consequences of such an investment. I/We agree to provide the Company with such additional tax information as it may from time to time request.

“U.S. Taxpayer” is defined to include a U.S. citizen or resident alien of the United States (as defined for United States federal income tax purposes); any entity treated as a partnership or corporation for U.S. tax purposes that is created or organized in, or under the laws of, the United States or any state thereof (including the District of Columbia); any other partnership that is treated as a U.S. Taxpayer under U.S. Treasury Department regulations; any estate, the income of which is subject to U.S. income taxation regardless of source; and any trust over whose administration a court within the United States has primary supervision and all substantial decisions of which are under the control of one or more U.S. fiduciaries. Persons who have lost their U.S. citizenship and who live outside the United States may nonetheless, in some circumstances, be treated as U.S. Taxpayers.

An investor may be a “U.S. Taxpayer” but not a “U.S. Person”. For example, an individual who is a U.S. citizen residing outside of the United States is not a “U.S. Person” but is a “U.S. Taxpayer”.

➤ I/We declare that the entity hereby subscribing for Shares is neither a Benefit Plan Investor nor investing on behalf of or with any assets of a Benefit Plan Investor as defined below. Benefit Plan Investors should contact the Company. “Benefit Plan Investor” is used as defined in U.S. Department of Labor (“DOL”) Regulation § 2510.3-101(f)(2), and includes (i) any employee benefit plan (as defined in Section 3(3) of the Employee Retirement Income Security Act of 1974, as amended (“ERISA”)), whether or not such plan is subject to Title I of ERISA (which includes both U.S. and non-U.S. plans, plans of governmental entities as well as private employers, church plans, and certain assets held in connection with nonqualified deferred compensation plans); (ii) any plan described in Section 4975(e)(1) of the Internal Revenue Code of 1986, as amended, (the “Code”) (which includes a trust described in Code Section 401(a) which forms a part of a plan, which trust or plan is exempt from tax under Code Section 501(a), a plan described in Code Section 403(a), an individual retirement account described in Code Section 408 or 408A or an individual retirement annuity described in Code Section 408(b), a medical savings account described in Code Section 220(d) and an education savings account described in Code Section 530); and (iii) any entity whose underlying assets include plan assets by reason of a plan’s investment in the entity (generally because 25 per cent. or more of a class of interests in the entity is owned by plans). Benefit Plan Investors also include that portion of any insurance company’s general account assets that are considered “plan assets” and (except if the entity is an investment company registered under the 1940 Act) the assets of any insurance company separate account or bank common or collective trust in which plans invest.

➤ If I am/we are a commodity pool, my/our investment is directed by an entity which (i) is not required to be registered in any capacity with the CFTC or to be a member of the National Futures Association (“NFA”), (ii) is exempt from registration or (iii) is duly registered with the CFTC in an appropriate capacity or capacities and is a member in good standing of the NFA.

➤ Investment Company Representations:

(a)  I am/We are neither an investment company required to be registered under the Investment Company Act of 1940, as amended (the “1940 Act”), nor an issuer that, but for an exception from the definition of “investment company” under the 1940 Act, would be an investment company,

(b)  I am/We are an investment company subject to registration or would be an investment company but for an exception under the 1940 Act.

I/We have \_\_\_\_ U.S. Person beneficial owner(s).

*(State the number, not the percentage, of U.S. Person beneficial owners. Investment companies with U.S. Person beneficial owners must contact the Administrator.)*

- I/We, if not a natural person, am/are duly organised, validly existing and in good standing under the laws of the jurisdiction in which I am/we are organised and I/we have the power and authority to enter into and perform my/our obligations under this Application Form.
- I am/we are able to bear the economic risk of an investment in the Shares, including, without limitation, the risk of loss of all or a part of my/our investment. I/we do not have an overall commitment to investments which are not readily marketable that is disproportionate to my/our net worth, and my/our investment in the Shares will not cause such overall commitment to be excessive.
- The Administrator and the Company are each hereby authorised and instructed to accept and execute any instructions in respect of the Shares to which this application relates given by me/us in written form or by facsimile. I/We hereby agree to indemnify the Company and the Administrator, on its own behalf and as agent of the Company and agree to keep the Administrator indemnified against any loss of any nature whatsoever arising as a result of the Company and the Administrator acting upon facsimile instructions. The Company and the Administrator may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed by properly authorised persons.
- I/We agree to provide to the Company and the Administrator at such times as each of them may request such declarations, certificates or documents as each of them may reasonably require (the "**Tax Information**") in connection with this investment. Should any information furnished to any of them become inaccurate or incomplete in any way, I/We hereby agree to notify the Company or the Administrator immediately of any such change and further agree to request the redemption of Shares in respect which such confirmations have become incomplete or inaccurate where requested to do so by the Company.
- I/We acknowledge that due to anti-money laundering requirements operating within Ireland, the Administrator or the Company (as the case may be) may require further identification of the applicant(s) before the application can be processed and the Administrator, on its own behalf and as agent of the Company and the Company shall be held harmless and indemnified against any loss arising as a result of a failure to process the application, or a delay in processing any redemption requests, if such information requested by the Administrator or the Company has not been provided by me/us or has been provided in incomplete form.
- I/We hereby accept such lesser number of Shares, if any, than may be specified above in respect of which this application may be accepted.
- In respect of joint applicants only, we direct that on the death of one of us the Shares for which we hereby apply be held in the name of and to the order of the survivor or survivors of us or the executor or administrator of the last of such survivor or survivors.
- I/We consent to personal information obtained in relation to me/us being handled by the Administrator, the Company, or the Investment Manager and their delegates, agents or affiliates in accordance with the Data Protection Legislation. Information in relation to me/us will be held, used, disclosed and processed for the purposes of (a) managing and administering my/our holdings in the Company and any related account on an ongoing basis; (b) for any other specific purposes where I have given specific consent to do so; (c) to carry out statistical analysis and market research (d) to comply with any applicable legal, tax or regulatory obligations including legal obligations under company law, tax law and anti-money laundering legislation; (e) and for disclosure and transfer whether in Ireland or elsewhere (including companies situated in countries outside of the European Economic Area which may not have the same data protection laws as in Ireland) to third parties including my/our financial adviser (where appropriate), regulatory bodies, taxation authorities, auditors, technology providers or to the Company and its delegates and its or their duly appointed agents and any of their respective related, associated or affiliated companies for the purposes specified above; (f) For other legitimate business interests of the Company. I/We hereby acknowledge my/our right of access to and the right to amend and rectify my/our personal data, as provided herein. I/We understand that the Company is a data controller and will hold any personal information provided by me/us in confidence and in accordance with the Data Protection Legislation, including for the purposes of compliance with the Beneficial Ownership Regulations. I/We consent to the recording of telephone calls that I/we make to and receive from the Administrator, the Company or the Investment Manager and their delegates or duly appointed agents and any of their respective related, associated

or affiliated companies for processing and verification of instructions, management and administration of my/our account(s) and any other matters related to investment in the Company, dispute resolution, record keeping, security and/or training purposes. I/We consent to the Company or the Investment Manager sending information about other investment services to me/us by letter, telephone or other reasonable means of communication. I/We understand that I/we have a right not to receive such information. Please see the Fund Data Privacy Notice at Annex 2 for further information.

- I/We hereby authorise the Company and the Administrator to retain all documentation provided by me/us in relation to my/our investment in the Company for such period of time as may be required by Irish law, but for not less than five years after the period of investment has ended.
- I/We shall provide the Company and the Administrator with any additional information which it may reasonably request in connection with tax and or/FATCA regulations/reporting requirements or other similar requirements in order to substantiate any representations made by me/us or otherwise and I/we authorise the Company or its agents to disclose such information relating to this application to such persons as they consider appropriate.
- I/We hereby acknowledge that any notice or document may be served by the Company or Administrator on me/us in the manner specified from time to time in the Prospectus and, for the purposes of the Electronic Commerce Act 2000, if I have provided an e-mail address or fax number to the Company or its delegate, consent to any such notice or document being sent to me/us by fax or electronically to the fax number or e-mail address previously identified to the Company or its delegate which I/we acknowledge constitutes effective receipt by me/us of the relevant notice or document. I/we acknowledge that I/we am/are not obliged to accept electronic communication and may at any time choose to revoke my/our agreement to receive communications by fax or electronically by notifying the Company in writing at the above address, provided that my/our agreement to receive communications by fax or electronically shall remain in full force and effect pending receipt by the Company of written notice of such revocation.
- Where I/we am/are investing as nominee, I/ we shall provide our client(s) with the KIID issued in respect of the Funds and/or Share Class (as the case may be) and I/we shall ensure that we do so in compliance with Commission Regulation (EU) No. 583/2010, as amended from time to time or by any supplemental legislation and in compliance with the applicable legislation in any jurisdiction in carrying out this activity. I/We shall maintain records of my/our provision of the KIID to my/our clients and shall furnish such records to the Company, or its delegates, upon request.
- I/We hereby represent and declare that I/we am/are fully informed as to: (i) the legal requirements within my/our country for the purchase of Shares and are permitted to purchase the Shares under the laws and regulations of my/our home country in the manner in which the Shares have been offered and sold to me/us; (ii) any foreign exchange restrictions applicable to me/us; and (iii) any relevant tax considerations relating to me/us arising out of my/our purchase and ownership of Shares.
- I/We have made arrangements for payment to be made to the relevant bank account(s) specified above for subscriptions.
- I/We also warrant and declare that the monies being invested pursuant to this Application Form do not represent directly or indirectly the proceeds of any criminal activity and the investment is not designed to conceal such proceeds so as to avoid prosecution for an offence or otherwise.
- I/We acknowledge that the Company or the Administrator also reserves the right to delay or refuse to make any redemption payment or distribution to a Shareholder without notice if any of the Directors or the Administrator suspects or is advised that the payment of any redemption or distribution moneys to such Shareholder might result in a breach or violation of any applicable anti-money laundering or other laws or regulations by any person in any relevant jurisdiction, or such refusal is considered necessary or appropriate to ensure the compliance by the Company, its Directors or the Administrator with any such laws or regulations in any relevant jurisdiction. I/We hereby hold the Company and the Administrator harmless and indemnify them against any loss arising as a result of a failure to process the application if such information has been required and has not been provided by me/us.
- I/We acknowledge that the Company reserves the right to cancel without notice any contract for which payment has not been received by the relevant Settlement Date and to recover any losses incurred.
- If any of the foregoing representations, warranties or covenants ceases to be true or if the Company no longer reasonably believes that it has satisfactory evidence as to their truth, notwithstanding any other agreement to the contrary, the Company may be obligated to freeze my/our investment, either by prohibiting additional investments, investment may immediately be redeemed by the Company, and the Company may also be required to report such action and to disclose my/our identity to OFAC or other authority. In the event that the Company is required to take any of the foregoing actions, I/we understand and agree that I/we shall have no claim against the Company, the

Investment Manager, the Administrator, and their respective affiliates, directors, members, partners, Shareholders, officers, employees and agents for any form of damages as a result of any of the aforementioned actions.

- I/We understand and agree that any redemption proceeds paid to me/us will only be paid to a bank account in my/our name and with a recognised financial institution. Redemptions will not be processed on non-cleared/verified accounts.
- We confirm that the persons listed on the attached authorised signatories list and whose specimen signatures appear on that list are duly authorised to give instructions with respect to Shares held by us in the Company. (For corporate applicants only).
- I/We hereby agree that if the Company is required to comply with the rules of Sections 1471 through 1474 (inclusive) of the Internal Revenue Code of 1986 of the US, as amended, any current or future regulations or official interpretations thereof, any agreement entered into thereunder, or any fiscal or regulatory legislation, rules or practices adopted pursuant to any intergovernmental agreement entered into in connection with the implementation thereof ("FATCA") in order to receive any payments without withholding tax, I/we will:
  - a. Provide the Company (or any nominated service provider) with any information, declarations, certificates or documentation necessary for FATCA reporting; and
  - b. Permit the Company to:
    - (a) Share such information with the US Internal Revenue Service, Irish Revenue or other relevant tax or other government authority as required by FATCA;
    - (b) Compel or effect the sale of the Shares or repurchase and cancel the Shares if it fails to comply with the foregoing requirement; and
    - (c) Make any other amendments to any other documents entered into in connection with the subscription ("Transaction Documents") as may be necessary to enable the Company to comply with the FATCA.
- From 1 July 2014, the Fund will be obliged to collect certain information about you concerning US residency or citizenship, as set out below. If your Application pre-dates 1 July 2014, you may wish to volunteer the following information in order to avoid the Administrator contacting you thereafter to collect this information. However there is no legal obligation to provide this information prior to 1 July 2014.
  - 1. Tick this box if you are resident in the U.S. or if you are a U.S citizen;
  - 2. Tick this if you are not resident in the U.S. for tax purposes or a U.S. citizen. 
    - i. Please tick this box if you are not an individual, you have ticked box 2) above and the persons who control you are neither resident in the U.S. nor U.S. citizens
    - ii. Please tick this box if you are not an individual, you have ticked box 2) above and the persons who control you are either resident in the U.S. or U.S. citizens
- In addition to the Tax Information, I/we agree to promptly provide, at any times requested by the Company, any information (or verification thereof) the Company deems necessary for the Company to comply with the terms of the IGA and any Irish laws, regulations or other guidance implementing the IGA, and any information required to comply with the terms of that agreement on an annual or more frequent basis. This may include such information as is required to evidence the Fund's (or any accountholder in the Fund's) status for such purposes, but to include (not limited to) whether the Fund is a foreign financial institution (for FATCA purposes), or whether of its account holders are US person for these purposes. I/We agree to waive any provisions of foreign law that would, absent such a waiver, prevent compliance with such requests and acknowledges that, if it fails to provide such waiver, it may be required by the Company to withdraw from the Company if necessary to comply with the FATCA and the IGA.
- By providing the Tax Information, I/we represent and warrant the completeness and accuracy of such information (as at the date of submission) and authorise the Company to act upon such information in good faith, including, but not limited to, disclosing or submitting such information to the Irish tax authorities. The Company shall have no obligation to carry out any investigation with respect to the truth, accuracy or completeness of the Tax Information provided by us and I/we will, on demand, hold the Company harmless from any liability resulting from the my/our failure to provide complete and accurate Tax Information.
- I/We hereby acknowledge that if I/we fail to provide the Tax Information on a timely basis, I/We may be subject to 30% U.S. withholding tax on the investor's Share of "withholdable payments" (as defined for purposes of FATCA) received by the Company.

- I/We hereby acknowledge that if I/we fail to provide the Tax Information and such failure results in the Company being unable to comply with the IGA, the Company may exercise its right to completely redeem an applicant (at any time upon any or no notice). I/We further acknowledge and agree to indemnify the Company and its other investors for any losses resulting from our failure to meet its obligations under this Section, including any U.S. withholding tax imposed on the Company.
- For so long as I/We hold Shares in the Fund, I/We agree to provide all necessary details, information, documents and co-operation requested by the Fund or its duly authorised delegates in order to determine beneficial ownership as defined in the Beneficial Ownership Regulations.
- If at any time during the period I/We hold any Shares in the Fund I/We become aware that I/We am/are a "beneficial owner" of the Fund as that term is defined in the Beneficial Ownership, I/We acknowledge and agree to the following:
  - (a) to provide such information as may be required by the Fund and (b) if the Fund or its duly appointed delegate has not contacted me/us within a month of my/our acquiring the status of a Beneficial Owner, provide the information required in Part 1 of Section 1 of this form within the following month, as well as (to the best of my/our knowledge) the date on which I/We became a Beneficial Owner (as required under Regulation 11 of the Beneficial Ownership Regulations);
  - where I/We become aware that: (a) a Relevant Change (as defined in Part 2 of Section 1) has occurred and (b) the Company or its duly appointed delegate has not contacted me/us for information on the Relevant Change within a month of its occurrence, I/We agree to notify the Fund or its duly appointed delegate of the Relevant Change, the date of its occurrence and any other necessary information within either: (i) two months of the Relevant Change: or (ii) one month of becoming aware of facts from which I/We could reasonably conclude that a Relevant Change has occurred (whichever is later)(as required under Regulation 12 of the Beneficial Ownership Regulations).
  - I/We acknowledge that under Regulations 11 and 12 of the Beneficial Ownership Regulations (outlined above) it is a criminal offence under Irish law (punishable by a fine of up to €5,000) if, being aware of my/our status as a Beneficial Owner, I/We (i) fail to take the steps above where the Fund has not contacted me/us for information within the relevant timeframes, or (ii) in purporting to do so, make a statement that is false in a material particular, knowing it to be false or being reckless as to whether it is so false.
- You agree to notify us immediately of any changes in the information provided in this application including all attachments.
- You understand that the confirmation, representations, declarations and warranties made herein are continuous and apply to all subsequent purchases of Shares in the Fund.

## **Declaration of Residence outside of Ireland<sup>12</sup>**

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

**Declaration on own behalf**

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

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

*\*Delete as appropriate (mandatory)*

**Declaration as Intermediary**

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

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

I/we\* also declare that:

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

*\*Delete as appropriate (mandatory)*

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

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

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

### **Joint applicants :**

**Names :** \_\_\_\_\_ **Signatures :** \_\_\_\_\_

### **IMPORTANT NOTES :**

1. Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
2. To be valid, the Application Form (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the applicant. Where there is more than one applicant, each person must sign. If the applicant is a company, it must be signed by the company secretary or another authorised officer.
3. If the Application Form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature
4. If the applicant is an Exempt Irish Investor it should contact the shareholder services agent who will provide it with the applicable declaration which must be made to confirm its status.

<sup>12</sup> Only applicable to Irish domiciled fund. Client's Irish tax advisors should confirm that content mirrors the Irish Revenue's Prescribed Forms.



## **Declaration of Residence within Ireland**

### **Declaration referred to in Section 739D(6) Taxes Consolidation Act, 1997**

- I declare that the information contained in this declaration is true and correct.
- I also declare that I am applying for the Shares on behalf of the applicant named below who is entitled to the Shares in respect of which this declaration is made and is a person referred to in Section 739D (6) of the Taxes Consolidation Act, 1997, being a person who is: (please tick as appropriate).
  - A pension scheme
  - A company carrying on life business within the meaning of section 706 TCA 1997
  - An investment undertaking
  - A special investment scheme
  - A unit trust to which section 731(5) (a) TCA 1997 applies
  - A charity being a person referred to in section 739D(6)(f)(i) TCA 1997
  - A qualifying management company
  - A specified company
  - Entitled to exemption from income tax and capital gains tax by virtue of sections 784A(2), and 787I of the TCA 1997, (see further requirements for Qualifying Fund Manager below)
  - A credit union to which Section 2 of the Credit Union Act, 1997 applies

#### **Additional requirement where the declaration is completed on behalf of a pension scheme, a company carrying on life business within the meaning of section 706 TCA 1997, an investment undertaking, a special investment scheme, a unit trust to which section 731(5) (a) TCA applies, a qualifying management company or a credit union to which Section 2 of the Credit Union Act 1997 applies**

- I undertake that, in the event that the Shares cease to be assets of the \*pension scheme/company carrying on life business within the meaning of section 706 TCA 1997/investment undertaking/special investment scheme/unit trust to which section 731(5) (a) TCA applies/qualifying management company/credit union to which Section 2 of the Credit Union Act 1997 applies, including a case where the Shares are transferred to another such entity, I will, by written notice, bring this fact to the attention of the investment undertaking accordingly. (\*Delete as appropriate)

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

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

#### **Additional requirements where the declaration is completed by a Qualifying Fund Manager**

I also declare that at the time this declaration is made, the Shares in respect of which this declaration is made;

- Are assets of an \*approved retirement fund/an approved minimum retirement fund, and
- Are managed by the declarant for the individual named below who is beneficially entitled to the Shares.

I undertake that, if the Shares cease to be assets of the \*approved retirement fund/the approved minimum retirement fund, including a case where the Shares are transferred to another such fund, I will, by written notice, bring this fact to the attention of the investment undertaking accordingly. (\* Delete as appropriate)

#### **Additional requirements where the declaration is completed by an Intermediary**

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

- to the best of my/our\* knowledge and belief, have beneficial entitlement to each of the Shares in respect of which this declaration is made; and
- is a person referred to in section 739D(6) TCA 1997.

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 persons referred to in section 739D(6) TCA 1997; and
- I/we\* will inform you in writing if I/we\* become aware that any person ceases to be a person referred to in section 739D(6) TCA 1997. (\* Delete as appropriate)

**Name of Applicant:** \_\_\_\_\_

**Irish Tax Reference Number of Applicant:** \_\_\_\_\_

**Authorised Signatory:** \_\_\_\_\_

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

**IMPORTANT NOTES:**

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

**SIGNATURE**

I / We declare that the information contained in this form and any attached documentation is true and accurate to the best of my/our knowledge and belief.

Date: _____	
Signed	Signatory Capacity if applicable (i.e. Director/manager)
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
<b>IN THE CASE OF ALL JOINT HOLDERS – ALL HOLDERS MUST COMPLETE THIS DECLARATION</b>	

**REBATE REQUIREMENTS  
(FOR OFFICE USE ONLY)**

Apply Rebate on this Fund

- Management Fee .....
- Investor Fee rebate .....
- Frequency of rebate .....
- Paid or Re-invested .....
- Side letter received .....
- Date .....

## Self-Certification for FATCA and CRS<sup>13</sup>

### Instructions for completion

We are obliged pursuant to the Intergovernmental Agreement Between the Government of Ireland and the Government of the United States of America to Improve International Tax Compliance and to Implement FATCA, 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. Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an 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. 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 changes in the future, please ensure that we are advised of these changes promptly.  
(Mandatory fields are marked with an \*)

### Entity Self-Certification

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

---

#### Section 1: Investor Identification

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

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

#### Current Registered Address\*:

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

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

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

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

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

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

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

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#### 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)

---

<sup>13</sup> Investors are not legally obliged to provide information for CRS purposes until 1 January 2016, however, for ease of administration, investors may wish to provide such information voluntarily before that date.

**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.	The Entity has not yet obtained a <i>GIIN</i> but is sponsored by another entity which does have a <i>GIIN</i> Please provide the sponsor’s name and sponsor’s <i>GIIN</i> : Sponsor’s Name: _____ Sponsor’s <i>GIIN</i> : _____	
II.	<i>Exempt Beneficial Owner</i>	
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</i> <i>(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</i> – 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	
II.	<i>Active Non-Financial Entity</i> – a Government Entity or Central Bank	
III.	<i>Active Non-Financial Entity</i> – an International Organisation	
IV.	<i>Active Non-Financial Entity</i> – other than (I)-(III) (for example a start-up NFE or a non-profit NFE)	
V.	<i>Passive Non-Financial Entity</i> (If this box is ticked, please complete a separate Individual Self-Certification Form for each of your Controlling Person(s) )	

**\*\*Controlling Person's:**

**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>

## Section 6: Declarations and Undertakings

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

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

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

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

\_\_\_\_\_

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

\_\_\_\_\_

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

\_\_\_\_\_

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

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

### Instructions for completion

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 \*)

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### 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\***

**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

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

**Section 5: Declaration and Undertakings:**

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

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

I undertake to advise the recipient promptly and provide an updated Self-Certification form 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\*:

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**IMPORTANT NOTES**

<sup>1</sup>This is a form authorised by the Revenue Commissioners which may be subject to inspection. It is an offence to make a false declaration.

<sup>2</sup>Tax reference number in relation to a person, has the meaning assigned to it by Section 885 TCA 1997 in relation to a “specified person” within the meaning of that section. In the case of a charity, quote the Charity Exemption Number (CHY) as issued by Revenue. In the case of a qualifying fund manager, quote the tax reference number of the beneficial owner of the Shares.

<sup>3</sup>In the case of (i) an exempt pension scheme, the administrator must sign the declaration (ii) a retirement annuity contract to which Section 784 or 785 applies, the person carrying on the business of granting annuities must sign the declaration (iii) a trust scheme, the trustees must sign the declaration. In the case of a charity, the declaration must be signed by the trustees or other authorised officer of a body of persons or trust established for charitable purposes only within the meaning of Sections 207 and 208 TCA 1997. In the case of a company, the declaration must be signed by the company secretary or other authorised officer. In the case of a unit trust it must be signed by the trustees. In any other case, it must be signed by an authorised officer of the entity concerned or a person who holds a power of attorney from the entity. If the latter, a copy of the power of attorney should be furnished in support of this declaration.

**SIGNATURE**

I / We declare that the information contained in this form and any attached documentation is true and accurate to the best of my/our knowledge and belief.

Date: _____	
Signed:	Signatory Capacity if applicable (i.e. Director/manager)
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____

**In the case of joint holders, ALL holders must complete this declaration.**

**Stenham Investment Funds p.l.c. (the “Company”)**  
**Additional Subscription Form**

Please complete this form in blue or black ink using BLOCK CAPITALS:

Stenham Investment Funds p.l.c. C/o Northern Trust International Fund Administration Services (Ireland) Limited Investor Services Department George’s Court 54-62 Townsend Street Dublin 2 Ireland
--

**REGISTERED INFORMATION**

Registered Account Name	<input type="text"/>
Account Number	<input type="text"/>
Your Company Contact	Name: <input type="text"/> Phone No: <input type="text"/> Fax No: <input type="text"/> E-Mail Address: <input type="text"/>

**DEAL INSTRUCTIONS**

Amount to be invested	Amount	<input type="text"/>
Amount in words	<input type="text"/>	
Name of Fund	<input type="text"/>	
Share Class	<input type="text"/>	

**ORIGINATING ACCOUNT DETAILS**

Bank Name	<input type="text"/>		
Bank Address	<input type="text"/>		
Sort Code	<input type="text"/>	ABA	<input type="text"/>
Account Name	<input type="text"/>		
Account Number	<input type="text"/>		
Payment Reference	<input type="text"/>		

***A REQUEST TO CHANGE BANK ACCOUNT DETAILS MUST BE MADE IN WRITING TO THE ADMINISTRATOR AND MUST BE ACCOMPANIED BY A BANK STATEMENT OR BANKER'S REFERENCE.***

**PLEASE NOTE:**

- Monies must originate from the account of the investor.
- Failure to complete these details accurately and in accordance with the original signed Application Form and forward monies within the relevant settlement time scale may result in the loss of good value and an interest claim from the Fund.
- I/We confirm that I/We have the authority to make this investment.
- I/We, having received and considered a copy of the current Prospectus, any relevant supplements thereto, the Memorandum and Articles of Association of the Company as may be amended from time to time and the most recent annual and/or semi-annual report of the Company (if any), hereby confirm and declare that this application is based solely on the information contained in such documentation and is made pursuant to the terms of this Application Form and that I/we am/are bound by the terms of the Prospectus, Memorandum and Articles of Association of the Company and this Application Form. In addition, I/We confirm that I/We have received and read the information contained in this form and confirm that a copy of the Key Investor Information Document ("KIID") has been supplied to me/us in good time prior to making the application for Shares. I/We confirm that I/We have read the KIID and reviewed and understood the nature and the risks of the investment products that are being offered to us/me, and that any future investments to any other Fund or Share Class of the Company can also be transacted based on this confirmation. I/We hereby acknowledge and agree that the updated KIID for each Share Class is available at the Investment Manager's website at [www.stenham.com](http://www.stenham.com) and that I/we will read and review the most up-to-date version of the relevant KIID prior to making any subsequent application for Shares in the Company. I/We request and authorise to act in accordance with my/our instructions.
- I/We agree to indemnify and hold harmless the Company, the Investment Manager, the Administrator, and their respective affiliates, directors, members, partners, Shareholders, officers, employees and agents from and against any and all losses, liabilities, damages, penalties, costs, fees and expenses (including without limitation legal fees and disbursements) which may result, directly or indirectly, from any inaccuracy in or breach of any representation, warranty, covenant or agreement set forth in this section or in any document delivered by me/us to the Company or any of them and shall notify the Company immediately if any of the representations herein made are no longer accurate and complete in all respects.
- I/We hereby authorise the Fund and the Administrator to retain all documentation provided by me/us in relation to my/our investment in the Fund for such period of time as may be required by Irish law, but for not less than five years after the period of investment has ended.
- I/We are aware that copies of the Prospectus, latest annual and semi-annual reports, KIID(s) and other information may be obtained from the Administrator at George's Court, 54-62 Townsend Street, Dublin 2, Ireland. I/We give full consent to receiving this information and the Prospectus, latest annual and semi-annual reports and KIID(s) by means of electronic communication.
- Where I/we are investing as nominee, we shall provide our client(s) with the KIID issued in respect of the relevant Share class and we shall ensure that we do so in compliance with Commission Regulation (EU) No. 583/2010, as amended from time to time or by any supplemental legislation and in compliance with the applicable legislation in any jurisdiction in carrying out this activity. We shall maintain records of our provision of the KIID to our clients and shall furnish such records to the Company, or its delegates, upon request.

**Authorised Signatories**

**Print Name**

Signatory 1

Signatory 2

Signatory 3

Signatory 4

**Date**

# Stenham Investment Funds p.l.c. (the “Company”) Redemption Form

Please complete this form in blue or black ink using BLOCK CAPITALS

Stenham Investment Funds p.l.c. C/o Northern Trust International Fund Administration Services (Ireland) Limited Investor Services Department George’s Court 54-62 Townsend Street Dublin 2 Ireland
--

## REGISTERED INFORMATION

Registered Account Name	<input type="text"/>
Account Number	<input type="text"/>
Your Company contact	Name: <input type="text"/> Phone No: <input type="text"/> Fax No: <input type="text"/> E-mail Address: <input type="text"/>

## DEAL INSTRUCTIONS

Amount to be redeemed	Amount <input type="text"/>	[Shares/Units]	<input type="text"/>
Amount in words	<input type="text"/>		
Name of Fund	<input type="text"/>		
Share Class	<input type="text"/>		

## BANK ACCOUNT DETAILS (Where the below bank account instructions differ from those held on file by the Administrator, an original, signed copy of the new instructions together with a bank statement or banker’s reference must be received by the Administrator in advance of the remittance of redemption proceeds).

Bank Name	<input type="text"/>		
Bank Address	<input type="text"/>		
Sort Code	<input type="text"/>	ABA	<input type="text"/>
Account Name	<input type="text"/>		
Account Number	<input type="text"/>		
	<input type="text"/>		

IBAN Number

Correspondent  
Bank & Swift Code

Name:

Swift Code:

**F.F.C to**

Account Name

Account Number

**PLEASE NOTE**

- **I/We confirm that I/We have the authority to make this redemption request.**
- **I/We agree to indemnify and hold harmless the Company, the Investment Manager, the Administrator, and their respective affiliates, directors, members, partners, Shareholders, officers, employees and agents from and against any and all losses, liabilities, damages, penalties, costs, fees and expenses (including without limitation legal fees and disbursements) which may result, directly or indirectly, from any inaccuracy in or breach of any representation, warranty, covenant or agreement set forth in this section or in any document delivered by me/us to the Company or any of them and shall notify the Company immediately if any of the representations herein made are no longer accurate and complete in all respects. Neither the Administrator nor the Company will be responsible or liable for the authenticity of instructions received from me/us or any authorised person reasonably believed by the Administrator to be genuine.**

**Authorised Signatories**

**Print Name**

Signatory 1

Signatory 2

Signatory 3

Signatory 4

**Date**



## APPENDIX 1<sup>14</sup>

“**United States**” means the United States of America, its territories and possessions, any state of the United States, and the District of Columbia.

“**U.S. person**” means:

- (i) Any natural person resident in the United States;
- (ii) Any partnership or corporation organised or incorporated under the laws of the United States;
- (iii) Any estate of which any executor or administrator is a U.S. person;
- (iv) Any trust of which any trustee is a U.S. person;
- (v) Any agency or branch of a non-United States entity located in the United States;
- (vi) Any non-discretionary account or similar account (other than an estate or trust) held by a dealer or other fiduciary for the benefit of a U.S. person;
- (vii) Any discretionary account or similar account (other than an estate or trust) held by a dealer or other fiduciary organised, incorporated, or (if an individual) resident in the United States; and
- (viii) Any partnership or corporation if: (A) organised or incorporated under the laws of any jurisdiction other than the United States; and (B) formed by a U.S. person principally for the purpose of investing in securities not registered under the United States Securities Act of 1933, as amended unless it is organised or incorporated, and owned, by “accredited investors” (as defined in Rule 501(a) under the United States Securities Act of 1933, as amended) who are not natural persons, estates or trusts.

Notwithstanding the foregoing paragraphs (i) through (viii):

- any discretionary account or similar account (other than an estate or trust) held for the benefit or account of a non-U.S. person by a dealer or other professional fiduciary organised, incorporated, or (if an individual) resident in the United States shall not be deemed to be a “U.S. person”;
- any estate of which any professional fiduciary acting as executor or administrator is a U.S. person shall not be deemed to be a “U.S. person” if: (i) an executor or administrator of the estate who is not a U.S. person has sole or shared investment discretion with respect to the assets of the estate; and (ii) the estate is governed by laws other than those of the United States;
- any trust of which any professional fiduciary acting as trustee is a U.S. person shall not be deemed to be a “U.S. person” if a trustee who is not a U.S. person has sole or shared investment discretion with respect to the trust assets, and no beneficiary of the trust (and no settlor if the trust is revocable) is a U.S. person;
- an employee benefit plan established and administered in accordance with (i) the laws of a country other than the United States and (ii) the customary practices and documentation of such country, shall not be deemed to be a “U.S. person”; and
- any agency or branch of a U.S. person located outside the United States shall not be deemed a “U.S. person” if: the agency or branch (i) operates for valid business reasons, (ii) is engaged in the business of insurance or banking, and (iii) is subject to substantive insurance or banking regulation, respectively, in the jurisdiction where located.

Further, none of the International Monetary Fund, the International Bank for Reconstruction and Development, the Inter-American Development Bank, the Asian Development Bank, the African Development Bank, the United Nations, or their agencies, affiliates and pension plans, or any other similar international organisation, or its agencies, affiliates and pension plans, shall be deemed to be a “U.S. person”.

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<sup>14</sup> To be reviewed/prepared by Client's US counsel if applicable.

**“U.S. Taxpayer”** includes a U.S. citizen or resident alien of the United States (as defined for U.S. federal income tax purposes); any entity treated as a partnership or corporation for U.S. tax purposes that is created or organized in, or under the laws of, the United States or any state thereof (including the District of Columbia); any other partnership that is treated as a U.S. Taxpayer under U.S. Treasury Department regulations; any estate, the income of which is subject to U.S. income taxation regardless of source; and any trust over whose administration a court within the United States has primary supervision and all substantial decisions of which are under the control of one or more U.S. fiduciaries. Persons who have lost their U.S. citizenship and who live outside the United States may nonetheless, in some circumstances, be treated as U.S. Taxpayers.

An investor may be a “U.S. Taxpayer” but not a “U.S. Person.” For example, an individual who is a U.S. citizen residing outside of the United States is not a “U.S. Person” but is a “U.S. Taxpayer.”

## APPENDIX 2

### Fund Data Privacy Notice

Where your details are provided to Stenham Investment Funds PLC (the “**Fund**”) as a consequence of your investment in the Fund, then the Fund, acting as a data controller, may itself or through a third party, such as Northern Trust International Fund Administration Services (Ireland) Limited (the “**Administrator**”) acting as a data processor in its capacity as the Fund’s administrator, process your personal information or that of your directors, officers employees and / or beneficial owners.

When processing your personal information, there may also be times where the Administrator will act as an independent data controller in respect of your personal information. For the avoidance of doubt, the Administrator will not at any time be acting as a joint controller with the Fund.

### Purposes of Processing and Legal Basis for processing

Your personal data may be processed by the Fund or the Administrator (or any of their affiliates, agents, employees, delegates or sub-contractors) for the following purposes:

- to facilitate the opening of your account with the Fund, the management and administration of your holdings in the Fund and any related account on an on-going basis which are necessary for the performance of your contract with the Fund, including without limitation the processing of subscription, redemption, conversion, transfer and additional subscription requests, and the payment of distributions;
- in order to carry out anti-money laundering checks and related actions which the Fund and/or the Administrator considers appropriate to meet any legal obligations imposed on the Fund and/or the Administrator relating to, or the processing in the public interest, or to pursue the legitimate interests of the Fund and/or the Administrator in relation to, the prevention of fraud, money laundering, terrorist financing, bribery, corruption, tax evasion and to prevent the provision of financial and other services to persons who may be subject to economic or trade sanctions, on an on-going basis (collectively “**AML checks**”), in accordance with the Fund’s and /or the Administrator’s anti-money laundering procedures;
- to report tax related information to tax authorities in order to comply with a legal obligation;
- to monitor and record calls and electronic communications for (i) processing verification or instructions; (ii) investigation and fraud prevention purposes; (iii) for crime detection, prevention, investigation and prosecution; (iv) to enforce or defend the Fund’s, the Administrator or their affiliates’ rights, itself or through third parties to whom it delegates such responsibilities or rights in order to comply with any legal obligation imposed on the Fund or the Administrator; (v) to pursue the legitimate interests of the Fund or the Administrator in relation to such matters; or (vi) where the processing is in the public interest;
- to disclose information to other third parties, such as service providers of the Fund, auditors, regulatory authorities and technology providers, in order to comply with any legal obligation imposed on the Fund or the Administrator or in order to pursue the legitimate interests of the Fund or the Administrator;
- to monitor and record calls for quality, business analysis, training and related purposes in order to pursue the legitimate interests of the Fund or the Administrator to improve their service delivery;

- to update and maintain records and carry out fee calculations in order to pursue the legitimate interests of the Fund or the Administrator or in order to comply with any legal obligation imposed on the Fund or the Administrator, and which are necessary to comply with the Fund's or the Administrator's legal obligations and / or which are necessary for the Fund's, the Administrator's or the Administrator's affiliates' legitimate interests indicated above and / or where the processing is in the public interest.

## **Recipients of Data and International Transfer of Data**

The Fund may disclose your personal information as follows:

- to the Fund's service providers, including the Administrator and other third party service providers engaged by the Fund and its affiliates, in order to store or process the data for the above mentioned purposes;
- to competent authorities (including tax authorities), courts and bodies as required by law or requested or to affiliates for internal investigations and reporting; and
- to the Administrator and / or its affiliates (who may be acting as joint controllers with each other, but not the Fund):
  - to create a single source record, relating to you, which is held, maintained and used by the Administrator and its affiliates as joint controllers in pursuance of the Administrator's, its affiliates' and the Fund's legitimate interests;
  - where you subscribe to use the Administrator's investor portal functionality, for the purposes of the performance of the Administrator's agreement with you in relation to your use of that portal functionality, including for security in connection with the portal;
  - to retain AML and other records of individuals to assist with subsequent screening of them by the Administrator or its affiliates, including in relation to other funds or clients of the Administrator or any of its affiliates in pursuance of the Administrator's, its affiliates' or its clients' legitimate interests and to meet any legal obligations imposed on the Administrator or its affiliates.

In any case where the Fund shares your personal information with a third party data controller (including, as appropriate, the Administrator and its affiliates), the use by that third party of your personal information will be subject to the third party's own privacy policies. The Administrator's privacy policy may be accessed at <https://protecteu.mimecast.com/s/SngfC4EySBvvoxtOdOEI?domain=northerntrust.com>.

The disclosure of personal information to the third parties set out above may involve the transfer of data to the USA and other jurisdictions outside Guernsey in accordance with the requirements of the Data Protection (Bailiwick of Guernsey) Law 2017, as amended or replaced from time to time (the "**Data Protection Law**"). Such countries may not have the same data protection laws as your jurisdiction.

Where such countries are not recognised as having an adequate level of data protection by the European Commission (whose decisions are also recognized in Guernsey pursuant to The Data Protection (Bailiwick of Guernsey) Law 2017, the Fund (i) has, or has authorised the Administrator as its agent, to put in place Standard Contractual Clauses with relevant parties to whom personal data will be transferred; (ii) acknowledges that the personal data will be transferred in accordance with the Binding Corporate Rules which have been adopted by the Northern Trust Group. Please contact Fund representative or the Administrator for copies of (i) the Standard Contractual Clauses that have been entered into on behalf of the Fund and / or (ii) the Northern Trust Binding Corporate Rules.

## **Retention period**

The Fund and the Administrator will retain your personal information for as long as required for the Fund or the Administrator to perform its services and / or carry out the purposes for which the data was collected, or perform investigations in relation to the same and / or for additional periods where legal/regulatory obligations mandate that the Fund or the Administrator retains your personal information.

## **Updates to Personal Data**

The Fund will use reasonable efforts to keep your personal information up to date. However, you will need to notify the Fund and the Administrator without delay in the event of any change in your personal circumstances, so that the Fund can keep the personal information up to date.

## **Data Subject Rights**

You have the following rights, in certain circumstances, in relation to your personal information:

- Right to access your personal information.
- Right to rectify your personal information
- Right to restrict the use of your personal information (in certain specific circumstances).
- Right to request that your personal information is erased (in certain specific circumstances).
- Right to object to processing of your personal information (in certain specific circumstances).
- Right to data portability (in certain specific circumstances).

Where the Fund or the Administrator requires your personal information to comply with AML or other legal requirements, failure to provide this information means the Fund may not be able to accept you as an investor in the Fund.

You have the right to lodge a complaint, if you consider that the processing of personal data relating to you carried out by the Fund or its service providers infringes the Data Protection Law where you are, or represent, an Investor in a Fund authorised in Guernsey, with the Office of the Data Protection Commissioner, contactable at St Martin's House, Le Bordage, St Peter Port, Guernsey GY1 1BR, [enquiries@odpc.gg](mailto:enquiries@odpc.gg) or +44 (0)1481 742074.

## **How to contact us**

If you have any questions about our use of your personal information, please contact the Manager at [compliance@stenham.com](mailto:compliance@stenham.com).