

## Epoch Investment Funds Plc Application Form

Mailing Address C/o State Street Fund Services (Ireland) Limited Transfer Agency Department 78 Sir John Rogerson's Quay Dublin 2 Ireland Tel: + 353 1 242 5431 Fax: +353 1 438 9542 Email: <a href="mailto:EpochIS@statestreet.com">EpochIS@statestreet.com</a> Attention: Transfer Agency Department	Please tick here if this has already been sent by facsimile transmission. <input type="checkbox"/>
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Should you have any questions, please contact the Administrator, State Street Fund Services (Ireland) Limited, 78 Sir John Rogerson's Quay, Dublin 2, Ireland. Telephone: + 353 1 242 5431 Facsimile: +353 1 438 9542 Email: [EpochIS@statestreet.com](mailto:EpochIS@statestreet.com)

Should you have any questions pertaining to the Investment Manager, please contact Epoch Investment Partners, Inc. at the following email address: [ClientServicesGroup@eipny.com](mailto:ClientServicesGroup@eipny.com). The information contained in this communication is intended to supplement information contained in the current Prospectus and must be read in conjunction therewith. It is not an offer to buy or sell, or the solicitation of any offer to buy or sell, Shares which offer can only be made by the Prospectus. Unless the context otherwise requires and except as varied or otherwise specified in this Application Form, words and expressions contained in this Application Form shall bear the same meaning as in the Prospectus and applicable Supplemental Prospectus. If you wish to make a complaint regarding Epoch Investment Funds Plc you can do so by contacting [EpochIS@statestreet.com](mailto:EpochIS@statestreet.com). In addition, you are entitled to refer your complaint to the Financial Services and Pensions Ombudsman in Ireland.

### Instructions

For initial subscriptions for Shares you must complete the Application Form and post it to the address above. Completed Application Forms may also be sent by fax with the original Forms and the supporting documentation required for Anti-Money Laundering purposes to follow by post immediately thereafter.

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

Subsequent subscriptions may be made in writing or by facsimile or telephone, stating your registration details and the amount to be invested. If you wish to instruct deals and obtain other information by telephone, please complete Section Subsequent Telephone Dealing Instructions. Please note that telephone calls will be recorded. Telephone privileges are not extended to joint retail accounts.

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

Any future changes to the original account details must be received in original format and signed in accordance with the signing mandate outlined in the authorised signatory list, in the case of a company, on corporate letterhead, and in the case of retail applicants, all account signatories must authorise every instruction.

### Subscription Information

Please pay subscription monies to the following account(s)

	\$US Dollars	GBP Sterling	Euro
IBAN		GB03 BOFA 1650 5022 5010 10	GB02 BOFA 1650 5022 5010 28
SWIFT Code	BOFAUS3N	BOFAGB22	BOFAGB22
Beneficiary Bank	Bank of America N.A., New York	Bank of America N.A.,	Bank of America N.A.
Account Number	6550-4-62959	22501010	22501028
Beneficiary Name	Epoch Investment Funds PLC	Epoch Investment Funds PLC	Epoch Investment Funds PLC
Reference	Name of Fund - Applicant	Name of Fund - Applicant	Name of Fund - Applicant

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

## Epoch Investment Funds Plc Application Form

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

### DETAILS OF EXPECTED INVESTMENT (please complete this section)

Please tick one of the following boxes to confirm whether you invest for your own account or on behalf of another person

<b>Level of expected total investment:</b>	
Ranging between a currency equivalent to EUR/USD/GBP/ 0 to EUR15K	<input type="checkbox"/>
Ranging between a currency equivalent to EUR/USD/GBP/ 15K to EUR100K	<input type="checkbox"/>
Ranging between a currency equivalent to EUR/USD/GBP/ 100K to EUR1M	<input type="checkbox"/>
Ranging between a currency equivalent to EUR/USD/GBP/ 1M to EUR100M	<input type="checkbox"/>
Superior to a currency equivalent to EUR/USD/GBP/ 100M	<input type="checkbox"/>
<b>Declaration of investment:</b>	
Investing on my/our own behalf (please tick the box if applicable)	<input type="checkbox"/>
Investing on behalf of a Third Party disclosed in the Investor Name	<input type="checkbox"/>
Investing on behalf of several non-disclosed Third Parties (omnibus/pooled accounts)	<input type="checkbox"/>

### Details of Investment:

The Applicant, having received and read a copy of the Prospectus of Epoch Investment Funds Plc (the "Company") hereby applies to invest in the Company, as indicated in the table below:

Fund Name	Share Class	Currency	ISIN	Number of Shares	Value of Subscription
Epoch Global Choice Fund	Class A Institutional USD Accumulating Unhedged	USD	IE00B8DP6542		
Epoch Global Choice Fund	Class B Institutional USD Accumulating Unhedged	USD	IE00B965D461		
Epoch Global Choice Fund	Class A Institutional EURO Accumulating Unhedged	EUR	IE00BDF11V66		
Epoch Global Choice Fund	Class B Institutional EURO Accumulating Unhedged	EUR	IE00BDF11W73		

Epoch Global Equity Shareholder Yield Fund	Class A Institutional USD Accumulating Unhedged	USD	IE00B9GBLG23		
Epoch Global Equity Shareholder Yield Fund	Class B Institutional USD Accumulating Unhedged	USD	IE00B9G90W55		
Epoch Global Equity Shareholder Yield Fund	Class A Institutional GBP Accumulating Unhedged	GBP	IE00BP84ZB49		
Epoch Global Equity Shareholder Yield Fund	Class B Institutional GBP Accumulating Unhedged	GBP	IE00BP84ZC55		
Epoch Global Equity Shareholder Yield Fund	Class A Income Institutional GBP Unhedged	GBP	IE00BYWWVN19		
Epoch Global Equity Shareholder Yield Fund	Class B Income Institutional GBP Unhedged	GBP	IE00BYWWVP33		
Epoch Global Equity Shareholder Yield Fund	Class A Institutional EURO Accumulating Unhedged	EUR	IE00BDF11S38		
Epoch Global Equity Shareholder Yield Fund	Class B Institutional EURO Accumulating Unhedged	EUR	IE00BDF11T45		
Epoch U.S. Equity Shareholder Yield Fund	Class A Institutional USD Accumulating Unhedged	USD	IE00BYXQN692		
Epoch U.S. Equity Shareholder Yield Fund	Class B Institutional USD Accumulating Unhedged	USD	IE00BYXQN700		
Epoch U.S. Equity Shareholder Yield Fund	Class A Institutional GBP Accumulating Unhedged	GBP	IE00BYXQN817		
Epoch U.S. Equity Shareholder Yield Fund	Class B Institutional GBP Accumulating Unhedged	GBP	IE00BYXQN924		
Epoch U.S. Equity Shareholder Yield Fund	Class A Income Institutional GBP Unhedged	GBP	IE00BYXQNB44		
Epoch U.S. Equity Shareholder Yield Fund	Class B Income Institutional GBP Unhedged	GBP	IE00BYXQNC50		
Epoch U.S. Equity Shareholder Yield Fund	Class A Institutional EURO Accumulating Unhedged	EUR	IE00BYXQND67		
Epoch U.S. Equity Shareholder Yield	Class B Institutional	EUR	IE00BYXQNF81		

Fund	EURO Accumulating Unhedged				
Epoch Global Quality Capital Reinvestment Fund	Class A Institutional USD Accumulating Unhedged	USD	IE00BK812X15		
Epoch Global Quality Capital Reinvestment Fund	Class B Institutional USD Accumulating Unhedged	USD	IE00BK812Y22		
Epoch Global Quality Capital Reinvestment Fund	Class A Institutional GBP Accumulating Unhedged	GBP	IE00BK813169		
Epoch Global Quality Capital Reinvestment Fund	Class B Institutional GBP Accumulating Unhedged	GBP	IE00BK813052		
Epoch Global Quality Capital Reinvestment Fund	Class A Institutional EURO Accumulating Unhedged	EUR	IE00BK812Z39		
Epoch Global Quality Capital Reinvestment Fund	Class B Institutional EURO Accumulating Unhedged	EUR	IE00BK813276		

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Subsequent Telephone Dealing Instructions	
Contact Name(s)	Telephone Number(s)

Please provide details for the persons who are authorised to trade via the telephone.

In order to maintain confidentiality and to assist us in dealing efficiently with your telephone instructions, we require details for the persons who are authorised by the Applicant to call us.

Account Registration Details	
Registered Name	
Account Designation (if any)	

Shareholder Type <sup>1</sup>						
Occupation (if individual) or Nature and purpose of business activity (if entity)						
Source of funds for initial investment (please tick multiple boxes if appropriate)	<input type="checkbox"/> Inheritance <input type="checkbox"/> Salary <input type="checkbox"/> Sale of assets (please specify) <input type="checkbox"/> Other (please specify)		<input type="checkbox"/> Gift <input type="checkbox"/> Pension <input type="checkbox"/> Lottery		<input type="checkbox"/> Sale of Business <input type="checkbox"/> Investment income	
<i>Further supporting documentation may be requested if deemed necessary to verify the above information.</i>						
Source of wealth, ie aggregation of accumulated wealth (please tick multiple boxes if appropriate)	<input type="checkbox"/> Inheritance <input type="checkbox"/> Salary <input type="checkbox"/> Sale of assets (please specify) <input type="checkbox"/> Other (please specify)		<input type="checkbox"/> Gift <input type="checkbox"/> Pension <input type="checkbox"/> Lottery		<input type="checkbox"/> Sale of Business <input type="checkbox"/> Investment income	
<i>Further supporting documentation may be requested if deemed necessary to verify the above information.</i>						
Remitting Bank Details:	<p>1. Remitting Bank Details:</p> <p><input type="checkbox"/> As per bank account details for redemptions &amp; dividends stated below</p> <p><i>OR please complete the details below*</i></p> <p>Remitting bank name: _____</p> <p>Remitting bank address: _____</p> <p>Account holder name: _____</p> <p><i>*If you have more than one remitting bank please provide details on a separate sheet.</i></p>					
Registered Address PO or C/O will not be accepted						
Mailing Address (if different)						
Contact Name						
Contact Details	Telephone		Facsimile		Email	

**Joint Applicant(s)**

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

First additional applicant details	
Registered Name	

Occupation (if individual or joint account) or Nature of purpose of entity (if entity)						
Source of funds for initial investment (please tick multiple boxes if appropriate)	<input type="checkbox"/> Inheritance <input type="checkbox"/> Salary <input type="checkbox"/> Sale of assets (please specify) <input type="checkbox"/> Other (please specify)		<input type="checkbox"/> Gift <input type="checkbox"/> Pension <input type="checkbox"/> Lottery		<input type="checkbox"/> Sale of Business <input type="checkbox"/> Investment income	
	<i>Further supporting documentation may be requested if deemed necessary to verify the above information.</i>					
Source of wealth, ie aggregation of accumulated wealth (please tick multiple boxes if appropriate)	<input type="checkbox"/> Inheritance <input type="checkbox"/> Salary <input type="checkbox"/> Sale of assets (please specify) <input type="checkbox"/> Other (please specify)		<input type="checkbox"/> Gift <input type="checkbox"/> Pension <input type="checkbox"/> Lottery		<input type="checkbox"/> Sale of Business <input type="checkbox"/> Investment income	
	<i>Further supporting documentation may be requested if deemed necessary to verify the above information.</i>					
Registered Address PO or C/O will not be accepted						
Contact Name						
Contact Details	Telephone		Facsimile		Email	

Second additional applicant details						
Registered Name						
Occupation (if individual or joint account) or Nature of purpose of entity (if entity)						
Source of funds for initial investment (please tick multiple boxes if appropriate)	<input type="checkbox"/> Inheritance <input type="checkbox"/> Salary <input type="checkbox"/> Sale of assets (please specify) <input type="checkbox"/> Other (please specify)		<input type="checkbox"/> Gift <input type="checkbox"/> Pension <input type="checkbox"/> Lottery		<input type="checkbox"/> Sale of Business <input type="checkbox"/> Investment income	
	<i>Further supporting documentation may be requested if deemed necessary to verify the above information.</i>					
Source of wealth, ie aggregation of accumulated wealth (please tick multiple boxes if appropriate)	<input type="checkbox"/> Inheritance <input type="checkbox"/> Salary <input type="checkbox"/> Sale of assets (please specify) <input type="checkbox"/> Other (please specify)		<input type="checkbox"/> Gift <input type="checkbox"/> Pension <input type="checkbox"/> Lottery		<input type="checkbox"/> Sale of Business <input type="checkbox"/> Investment income	
	<i>Further supporting documentation may be requested if deemed necessary to verify the above information.</i>					
Registered Address PO or C/O will not be						

accepted						
Contact Name						
Contact Details	Telephone		Facsimile		Email	

Third additional applicant details						
Registered Name						
Occupation (if individual or joint account) or Nature of purpose of entity (if entity)						
Source of funds for initial investment (please tick multiple boxes if appropriate)	<input type="checkbox"/> Inheritance <input type="checkbox"/> Salary <input type="checkbox"/> Sale of assets (please specify) <input type="checkbox"/> Other (please specify)		<input type="checkbox"/> Gift <input type="checkbox"/> Pension <input type="checkbox"/> Lottery		<input type="checkbox"/> Sale of Business <input type="checkbox"/> Investment income	
<i>Further supporting documentation may be requested if deemed necessary to verify the above information.</i>						
Source of wealth, ie aggregation of accumulated wealth (please tick multiple boxes if appropriate)	<input type="checkbox"/> Inheritance <input type="checkbox"/> Salary <input type="checkbox"/> Sale of assets (please specify) <input type="checkbox"/> Other (please specify)		<input type="checkbox"/> Gift <input type="checkbox"/> Pension <input type="checkbox"/> Lottery		<input type="checkbox"/> Sale of Business <input type="checkbox"/> Investment income	
<i>Further supporting documentation may be requested if deemed necessary to verify the above information.</i>						
Registered Address PO or C/O will not be accepted						
Contact Name						
Contact Details	Telephone		Facsimile		Email	

\*\* Correspondence will only be sent to the first named applicant/correspondence address. Additional applicants will be required to provide confirmation of residential address details for anti-money laundering verification purposes.

**TO BE COMPLETED WHERE THE INVESTOR(S) IS/ARE NOT A NATURAL PERSON**

We have noted below any beneficiary owner\* of the registered investor

<b>Beneficiary Owner 1 (where applicable)</b>	
Registered Name	
Residential Address (PO Box not allowed)	
Nationality	
Entity Type <sup>1</sup>	
Date of Birth (if individual)	

<b>Beneficiary Owner 2 (where applicable)</b>	
Registered Name	
Residential Address (PO Box not allowed)	
Nationality	
Entity Type <sup>1</sup>	
Date of Birth	

<b>Beneficiary Owner 3 (where applicable)</b>	
Registered Name	
Residential Address (PO Box not allowed)	
Nationality	
Entity Type <sup>1</sup>	
Date of Birth (if individual)	

<b>Beneficiary Owner 4 (where applicable)</b>	
Registered Name	

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



Residential Address (PO Box not allowed)	
Nationality	
Entity Type <sup>1</sup>	
Date of Birth (if individual)	

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

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

Intermediary Details (if applicable)					
Broker ID		Branch ID			
Broker Name					
Broker Address					
Representative Name		Representative ID			
Contact Details	Telephone		Facsimile		Email

**Bank Account Details for Redemption and Distribution Payments**

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

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

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

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

<b>Correspondent Bank Name</b>	
<b>Correspondent Bank Address</b>	
<b>Correspondent Bank Sort Code/ SWIFT (BIC)/ ABA/Fedwire</b>	
<b>Beneficiary Bank Name</b>	
<b>Beneficiary Bank Address</b>	
<b>Beneficiary Bank Sort Code/ SWIFT (BIC)/ ABA/Fedwire</b>	
<b>Beneficiary Account Name</b>	
<b>Beneficiary Account Number</b>	
<b>Payment Type (please select)</b>	MT202 <input type="checkbox"/> / MT103 <input type="checkbox"/>
<b>Currency</b>	
<b>Reference</b>	

**Dividend Option (please tick) Please Tick**

<b>Reinvest Option</b>	automatic purchase of additional shares of the same class equivalent to monthly dividends	
<b>Cash option</b>	pay all dividends to the bank account listed above	

Should this section not be completed, dividends will be automatically reinvested in additional shares

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

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

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

Tax Identification Number (TIN) / PPS Number: \_\_\_\_\_

Any one of the following additional documents is required to verify the TIN or PPS Number (either an original or a copy will suffice):

- P60
- P45

- P21 Balancing Statement
- Payslip (where employer is identified by name or tax number)
- Drug Payment Scheme 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, printed documentation issued by the Irish Revenue Commissioners or the Department of Social Protection which includes your name, address and tax reference number is also acceptable.

In the case of joint account holders, the additional documentation is required for each Applicant.

<b>Excepted Share Holders</b>	
<b>Share Holders</b>	TCA 1997 reference
The following entities will constitute Excepted Share Holders provided the Fund has obtained a duly completed appropriate declaration:	
An investment undertaking	739D(6)(c)
An investment limited partnership	739D(6)(cc)
A pension scheme which is an exempt approved scheme	739D(6)a)
A company carrying on a life assurance business	739D(6)(b)
A special investment scheme	739D(6)(d)
A unit trust to which section 731(5) applies	739D(6)(e)
A charity	739D(6)(f)(i)
ARFs, AMRFs	739D(6)(h)
A qualifying fund manager	739D(6)(g)
A qualifying savings manager	739D(6)(g)
PRSA providers	739D(6)(i)
The National Pensions Reserve Fund	739D(6)(l)
The National Asset Management Agency	739D(6)(ka)
A Section 110 Company	739D(6)m)
A Credit Union	739D(6)(j)
An Irish resident company but only where the Fund is a money market fund	739D(6)(k)
A non-Irish resident unit holder in respect of whom the Fund has obtained a completed non-resident declaration or where the Fund has adopted the Equivalent Measures Regime	739D(7) 739D(7B)
A unit holder who holds their units in a recognised clearing system	739B

## **EU Savings Directive**

Council Directive 2003/48/EC of 3 June 2003 (the "EU Savings Directive"), which deals with the taxation of savings income in the form of interest payments, seeks to ensure that an individual who is resident in a member state of the European Union (an "EU Member State") and who receives savings income from another EU Member State<sup>1</sup>, is taxed in the EU Member State in which he/she is resident for tax purposes. In this regard the Fund is obliged to establish the identity and residence of such individuals.

### **For completion by Applicants who are tax resident outside the EU Member States**

The Applicant confirms by ticking the box to the left that the Applicant is not resident in an EU Member State and has not verified its identity for the purposes of the Fund money laundering verification requirements by use of an EU passport/official identity;

### **Applicants who are tax resident in the EU Member States should complete either Section (1) or Section (2) below:**

**Section 1:** This Section 1 is to be completed by an Applicant resident in an EU Member State who is not a natural person (i.e., not an individual, unincorporated body, unincorporated partnership, or any of the foregoing acting as trustee of a trust):

- Is Applicant a legal person, e.g., an incorporated entity? YES or NO (strike out as applicable)
- Are Applicant's profits taxed under general arrangements for business taxation? YES or NO (strike out as applicable)
- (i) Is Applicant a UCITS or (ii) has Applicant been issued a certificate by Applicant's EU Member State allowing Applicant to be treated as a UCITS for the purposes of the EU Savings Directive? YES or NO (strike out as applicable)

<sup>1</sup> Also applicable to residents of USA, Switzerland, Andorra, Liechtenstein, Monaco, San Marino, Jersey, Guernsey, Isle of Man, Anguilla, Montserrat, British Virgin Islands, Turks and Caicos Islands, Cayman Islands, Netherlands Antilles, and Aruba. Accordingly any reference to EU Member State should be deemed to include these additional countries.

**Section 2:** This Section 2 is to be completed by natural person Applicants (i.e., an individual, an unincorporated body, an unincorporated partnership, or any of the foregoing acting as a trustee of a trust) residing in an EU Member State or who, in completing the Trust's money laundering verification requirements, have verified his/her identity by use of an EU Member State passport/official identity:

- A. Specify the EU Member State in which Applicant is tax resident: \_\_\_\_\_  
Please insert the Tax Identification Number ("TIN") issued to Applicant by that EU Member State: \_\_\_\_\_
- B. Is Applicant's EU passport or official identity issued by the same EU Member State that appears in Applicant's address in section 1. YES or NO (strike out as applicable)
- C. Applicant's date, place, and country of birth: \_\_\_\_\_

*If Applicant answered Yes to Section 1(c) (ii) above, Applicant must provide a certified copy of the certificate.*

*If Applicant answered NO to Section 2(b) above, then Applicant must provide a "certificate of residence for tax" issued by Applicant's local taxation authority, otherwise Applicant's EU residency will be decided and reported upon the basis of information contained in Applicant's passport/official identity card and/or other documentation provided for the purposes of satisfying the Company's money laundering verification requirements.*

## Data Privacy Statement

In accordance with the General Data Protection Regulation (697/2016/EU) (the "GDPR") and applicable Irish data protection legislation (collectively, "Data Protection Legislation"), the Company being a data controller, must provide you with information on how the personal data that you provide as part of your subscription to shares in the Company will be processed by the Company, its service providers and delegates and their duly authorised agents and any of their respective related, associated or affiliated companies.

As a consequence of your investment, the Company acting as a data controller may itself (or through third parties including but not limited to Waystone Management Company (IE) Limited (the "Manager"), the Administrator, State Street Custodial Services (Ireland) Limited (the "Depositary"), the Investment Manager, the Distributor together with any sub-distributors that may be appointed from time to time, local paying agents and mailing firms appointed by any of the foregoing (together the "Service Providers")) process your personal information or, to the extent that you are a non-natural person, that of your directors, officers, employees, intermediaries and/or beneficial owners. Save where otherwise expressly provided, any reference in this Data Privacy Statement to "you" or "your" in the context of processing personal data of data subjects shall be understood to mean and relate to the personal data of your directors, officers, employees, intermediaries and/or beneficial owners as the context may require.

Your personal data may also be transferred to the Administrator, the Investment Manager and the Distributor for its own purposes acting as a data controller.

In this regard, please note the following:

### Purposes of Processing and Legal Basis for Processing

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

Processing Activity by or on behalf of the Company	Legal Basis for Processing
Where you are a natural person, opening your account with the Company and managing and administering your holdings in the Company and any related account on an ongoing basis	Performance of the contract between the Company and you
Where you are a natural person, disclosures to third parties such as auditors, regulatory authorities, tax authorities and technology providers in the context of the day to day operations of the Company.	Performance of the contract between the Company and you.
Where you are a non-natural person, disclosures to third parties such as auditors, regulatory authorities, tax authorities and technology providers in the context of the day to day operations of the Company.	Pursuing the legitimate interests of the Company in managing and administering the holdings of the non-natural person in the Company and any related account on an ongoing basis.

Complying with any applicable legal, tax or regulatory obligations imposed on the Company including legal obligations under Company law, the UCITS Regulations, CBI UCITS Regulations, under tax law and under anti-money laundering / counter terrorist financing legislation	Compliance with a legal obligation to which the Company is subject
Recording, maintaining, storing and using recordings of telephone calls and electronic communications that you make to and receive from the Company, the Service Providers and their delegates or duly appointed agents and any of their respective related, associated or affiliated companies for any matters related to investment in the Company, dispute resolution, record keeping, security and/or training purposes.	Pursuing the legitimate interests of the Company including: <ul style="list-style-type: none"> <li>• For the Company to enjoy the benefit of, enforce or defend its rights and perform its obligations in connection with the contract between the Company and you.</li> </ul> Further information relating to the balancing test undertaken by the Company in respect of such processing is available upon request.

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

#### **Profiling and Screening**

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

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

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

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

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

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

Personal data relating to you which is collected from you or provided by you or on your behalf may be handled by Service Providers appointed by the Company and its or their duly appointed agents and any of related, associated or affiliated companies within the Service Providers’ groups, as applicable, for the purposes specified above.

These Service Providers will be obliged to adhere to the data protection laws of the countries in which they operate.

The Company may disclose your personal data to other third parties where required by law or for legitimate business interests. This may include disclosure to third parties such as auditors and the Central Bank of Ireland, regulatory bodies, taxation authorities and technology providers.

#### **Transfers Abroad**

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

Where data transfers outside of the EEA take place, the Company and/or the relevant Service Provider are required to ensure that appropriate safeguards have been put in place to protect the privacy and integrity of such personal data, in particular the implementation of binding corporate rules between companies within the Service Providers’ groups, as applicable, and/or ensuring the implementation of model contracts by the Service Providers, their affiliates and other relevant third parties to whom processing of personal data has been delegated. Please contact EpochIS@statestreet.com should you wish to obtain information concerning such safeguards.

#### **Data Retention Period**

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

#### **Your data protection rights**

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

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

Where you wish to exercise any of your data protection rights against the Company, please contact us via the details provided below under “Contact Us”.

The Company or its Service Provider will respond to your request to exercise any of your rights under the GDPR in writing, as soon

as practicable and in any event **within one month** of receipt of your request, subject to the provisions of the GDPR. The Company or its Service Provider may request proof of identification to verify your request.

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

As outlined in the section titled “**Purposes of Processing and Legal Basis for Processing**”, the provision of personal data by you is required for us to manage and administer your holdings in the Company and so that we can comply with the legal, regulatory and tax requirements referenced above. Where you fail to provide such personal data in order to comply with anti-money laundering/counter terrorist financing or other legal requirements, in certain circumstances, we may be prohibited from making redemption or any applicable dividend payments to you **and/or** may be required to discontinue our business relationship with you by compulsorily redeeming your shareholding in the Company.

#### **Contact us**

If you have any questions about the Company’s use of your personal information, please contact the Administrator at the following email address/using the following contact telephone number:- Email: [EpochIS@statestreet.com](mailto:EpochIS@statestreet.com) Phone: + 353 1 242 5431

#### **Politically Exposed Persons**

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

A Politically-Exposed Person” (“PEP”) is an individual who has at any time in the preceding 12 months been, entrusted with a prominent public function. This includes the following individuals (but excluding any middle ranking or more junior official):

- a. a “specified official”\*
- b. a member of the administrative, management or supervisory body of a state-owned enterprise;

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

- (a) heads of State, heads of government, ministers and deputy or assistant ministers;
- (b) members of parliament or of similar legislative bodies;
- (c) members of the governing bodies of political parties;
- (d) members of supreme courts, of constitutional courts or of other high-level judicial bodies, the decisions of which are not subject to further appeal, except in exceptional circumstances;
- (e) members of courts of auditors or of the boards of central banks;
- (f) ambassadors, chargés d'affaires and high-ranking officers in the armed forces;
- (g) members of the administrative, management or supervisory bodies of State-owned enterprises;
- (h) directors, deputy directors and members of the board or equivalent function of an international organisation.

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

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

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

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

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

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

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

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SECTION A: TO BE COMPLETED ONLY IF THE PEP RULES APPLY WITH REFERENCE TO THE ABOVE DEFINITIONS  
the application is being made by a PEP / immediate family member of a PEP / close associate of a PEP  
OR  
the applicant has a beneficial owner who is a PEP / immediate family member of a PEP / close associate of a PEP  
OR  
the application is being made for the benefit of a PEP / immediate family member of a PEP / close associate of a PEP  
OR  
it is intended to transfer the shares to a PEP / immediate family member of a PEP / close associate of a PEP

Name of PEP		Address of PEP	
Office of PEP		Relationship of Applicant or Applicant's Beneficial Owner to PEP	

Source of Wealth of the PEP (e.g. Income from employment, Income from company business, inheritance, etc.)

<input type="checkbox"/> Inheritance	<input type="checkbox"/> Gift	<input type="checkbox"/> Sale of Business
<input type="checkbox"/> Salary	<input type="checkbox"/> Pension	<input type="checkbox"/> Investment income
<input type="checkbox"/> Sale of assets (please specify)	<input type="checkbox"/> Lottery	
<input type="checkbox"/> Other (please specify)		

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

SECTION B: PLEASE TICK BOX BELOW IF THE PEP RULES DO NOT APPLY WITH REFERENCE TO THE DEFINITIONS ABOVE:

I/we confirm that the application is NOT being made by a PEP / immediate family member of a PEP / close associate of a PEP  
AND  
the applicant does not have a beneficial owner who is a PEP / immediate family member of a PEP / close associate of a PEP  
AND  
the application is NOT being made for the benefit of a PEP / immediate family member of a PEP / close associate of a PEP  
AND  
it is NOT intended to transfer the shares to a PEP / immediate family member of a PEP / close associate of a PEP

<b>US Person Confirmation</b>
Please complete EITHER SECTION A OR SECTION B as applicable
SECTION A: PLEASE TICK BOX AND DELETE AS APPLICABLE IF THE STATEMENT BELOW IS CORRECT <input type="checkbox"/> I/We confirm that I am/we are a US Person (as defined in the Prospectus) and am/are acquiring Shares in the Fund on behalf of, or for the benefit of, a US Person, OR I/we intend to transfer any Shares which I/we may purchase to any US Person.  PLEASE SUPPLY A COPY OF THE US INTERNAL REVENUE SERVICE FORM W-9 OR AN ORIGINAL W-8 BEN IF THE BENEFICIAL OWNER IS A NON-US PERSON.
SECTION B: PLEASE TICK BOX AND DELETE AS APPLICABLE IF THE STATEMENT BELOW IS CORRECT <input type="checkbox"/> I/We confirm that I am/we are not a US Person (as defined in the Prospectus) and am/are not acquiring Shares in the Fund on behalf of, or for the benefit of, a US Person, nor do I/we intend to transfer any Shares which I/we may purchase to any US Person



### Personal Portfolio Investment Undertaking (PPIU)

\*I/We confirm that \*I am/we are an Irish Resident or Irish Ordinary Resident who is a director or has a relationship with a director of the fund.

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

[\\*Delete as appropriate](#)

### Key Investor Information Document (KIID) / Packaged Retail and Insurance-based Investment Products (PRIIPs)

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

I/we also acknowledge that I/we\* will read further potential issuances of applicable KIID/PRIIPs before any subsequent investment that I/we\* wish to make in the relevant shares of such Class(es).

Whenever I/we\* act as an intermediary, I/we\* hereby undertake that I/we" will provide the KIID/PRIIPs for the respective share classes to my/our\* Clients in good time before any subscription in the relevant shares of such Class(es).

[\\*Delete as appropriate](#)

### Declarations and Signatures

I/We having received and considered a copy of the Prospectus and the applicable Supplemental Prospectus hereby confirm that this application is based solely on the Prospectus for the Company and Supplemental Prospectus for the Shares hereby subscribed each as current at the date of this application and the material contracts therein referred together (where applicable) with the most recent annual report and accounts of the Company and (if issued after such report and accounts) its most recent unaudited semi-annual report.

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

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

The Company and Administrator 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, by facsimile or by electronic means with prior agreement from the Administrator or by such other means as the Company may subscribe from time to time. If the instructions are given by me/us by facsimile, I/we undertake to confirm them in writing. I/We hereby agree to indemnify the Company and Administrator and agree to keep it indemnified against any loss of any nature whatsoever arising to any of them as a result of it acting upon facsimile or electronic instructions or any such other means as the Company may prescribe. 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 acknowledge that I/we have been made aware of and have read the Data Privacy Statement in this Application Form which provides an outline of my/our data protection rights and the Company's data protection obligations as they relate to my/our investment in the Company.

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

I am/We are fully empowered and have authority to make this investment whether the investment is on my/our own behalf or on the behalf of another person or institution. I/We have such knowledge and experience in financial and business matters that I/we am/are capable of evaluating the merits and risks of my/our investment in the Company and are able to bear such risks, and has obtained, in my/our judgment, sufficient information from the Company to evaluate the merits and risks of such investment. I/We have evaluated the risks of investing in the Company, understand there are substantial risks of loss incidental to the purchase of Shares and have determined that the Shares are a suitable investment for me/us.

I/we acknowledge that the Company operates a number of cash accounts in different currencies in its name into which (i) subscription monies received from investors who have subscribed for Shares are deposited and held until Shares are issued as of

the relevant Dealing Day; and (ii) redemption monies due to investors who have redeemed Shares are deposited and held until paid to the relevant investors; and (iii) dividend payments owing to Shareholders are deposited and held until paid to such Shareholders (hereinafter referred to as "Umbrella Cash Account(s)"). We acknowledge that all subscriptions, redemptions and dividends payable to or from a Fund are channeled and managed through the Umbrella Cash Accounts.

I/We acknowledge that my / our subscription monies/ redemption monies / dividend monies will be paid into the Umbrella Cash Account, that such monies will be treated as an asset of the relevant Fund and I/we will not benefit from the application of any investor money protection rules (i.e. the monies will not be held on trust as investor monies for me/us) and that I/we will be an unsecured creditor of the relevant Fund: (i) with respect to the amount subscribed for Shares and held in the Umbrella Cash Account until such Shares are issued to me/us as of the relevant Dealing Day or (ii) with respect to the redemption/dividend amount to be paid and held in the Umbrella Cash Account until such amount is paid to me/us (whichever is applicable), including where this arises due to a failure by me/us to provide complete identification and verification documentation for anti-money laundering purposes as required by the Company.

I/We acknowledge that in accordance with applicable anti money-laundering and terrorist financing requirements (the "AML Requirements), redemption monies or dividend payments shall not be paid on un-verified accounts. In the event that I/we fail to submit the necessary documentation requested by the Company or its delegate as required under the AML Requirements, redemption monies or dividend monies will be held in an Umbrella Cash Account and shall remain an asset of the relevant Fund and I/we will not benefit from the application of any investor money protection rules (i.e. the redemption monies/dividend monies will not be held on trust for me/us). In such circumstances, I/we acknowledge that I/we will be unsecured creditors of the relevant Fund in respect of such redemption monies or dividend payments until such time as the relevant documentation required by the Company has been received to its satisfaction and the redemption monies/dividend payments have been paid to me/us.

I/We acknowledge that any failure to provide complete identification and verification documentation at the account opening stage will result in my/our account being blocked for both redemptions and distribution payments pending receipt of the outstanding documentation. I/We acknowledge that I/we may be classified as a non-compliant investor. Furthermore, where such documentation remains outstanding for (insert number of days) from the date of the initial subscription all transactions including additional subscriptions may be blocked pending receipt of the outstanding documentation.

I/We acknowledge that any failure to provide complete identification and verification documentation upon request at any other stage during the course of the business relationship will result in my/our account being blocked for both redemptions and distribution payments pending receipt of the outstanding documentation. I/We acknowledge that I/we may be classified as a non-compliant investor. Furthermore, where such documentation remains outstanding for (insert number of days) from the date of the initial request for documentation all transactions including additional subscriptions may be blocked pending receipt of the outstanding documentation

I/We acknowledge that the Investment Manager and/or the Board of Directors have the right to discontinue the business relationship with me/us upon my/our being classified as a non-compliant investor or a non-compliant legacy investor.

I/We acknowledge that the following risks arise in relation to the operation of the Umbrella Cash Account:-

(i) in the event that subscription monies received and held in an Umbrella Cash Account are lost (to include in the event of the insolvency of the bank with which such monies are held) prior to the issue of Shares to the relevant investor as of the relevant Dealing Day, the Company on behalf of the Fund may be obliged to make good any losses suffered by the investor (in its capacity as a general creditor of the Fund), in which case such loss will need to be discharged out of the assets of the relevant Fund and therefore will represent a diminution in the net asset value per share for existing Shareholders of the relevant Fund;

(ii) in the event that redemption or dividend monies held in an Umbrella Cash Account are lost (to include in the event of the insolvency of the bank with which such monies are held) prior to payment to the relevant investor/ Shareholder, the Company on behalf of the Fund may be obliged to make good any losses suffered by the investor/ Shareholder (in its capacity as a general creditor of the Fund), in which case such loss will need to be discharged out of the assets of the relevant Fund and therefore will represent a diminution in the net asset value per Share for existing Shareholders of the relevant Fund;

(iii) in the event of an insolvency of the relevant Fund or the Company, there is no guarantee that the Fund or the Company will have sufficient funds to pay unsecured creditors in full. Investors who have forwarded subscription monies in advance of a dealing day and which are held in the Umbrella Cash Account and investors /Shareholders due redemption / dividend monies which are held in the Umbrella Cash Account will rank equally with all other unsecured creditors of the relevant Fund and will be entitled to a pro-rata share of monies which are made available to all unsecured creditors by the insolvency practitioner. Therefore, in such circumstances, the investor subscribing for Shares may not recover all monies originally paid into the Umbrella Cash Account in relation to the application for Shares and the redeeming investor entitled to redemption monies and the Shareholder entitled to a dividend payment may not recover all monies originally paid into the Umbrella Cash Account for onward transmission to that investor/Shareholder;

(iv) in addition, investors should note that in the event of the insolvency of another Fund of the Company, recovery of any amounts to which a relevant Fund is entitled, but which may have been used by such other insolvent Fund as a result of the operation of the Umbrella Cash Account(s) will be subject to the principles of Irish trust law and the terms of the operational procedures for the Umbrella Cash Accounts. There may be delays in effecting and/or disputes as to the recovery of such amounts, and the insolvent Fund may have insufficient funds to repay the amounts due to the relevant Fund.

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

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

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

I/we represent and warrant that I/we am/are not a U.S. Person (as described in the Prospectus).

I/we am/are fully informed as to the legal and tax requirements within my/our own country (or countries) regarding a purchase of the Shares.

I/we: (i) covenant that I/we will not resell, reoffer or transfer any Shares or any interest therein, except with the consent of the Company, to a U.S. Person or for the account of a U.S. Person; (ii) acknowledge that reoffers, resales or any transfer of the Shares may be made only in compliance with applicable securities laws and only with the prior authorization of the Company; and (iii) understand that a transfer of Shares may only be effected on the books of the Company and acknowledge that the Shares shall be transferable only to investors who are eligible investors as described in the Prospectus. I/we understand and acknowledge that the Company may compulsorily redeem all or any portion of my/our Shares in accordance with the Prospectus.

I/We have not and shall not reproduce, duplicate or deliver the Prospectus, the applicable Supplemental Prospectus, the Articles of Association or this application form to any other person, except professional advisers to me/us or as authorized by the Company. Notwithstanding anything to the contrary herein or anything in the Articles of Association to the contrary, I/we (and each of my/our employees, representatives or other agents) may disclose to any and all persons, without limitation of any kind, the tax treatment and tax structure of: (i) the Company; and (ii) any of its transactions, and all materials of any kind (including, without limitation, opinions or other tax analyses) that are provided to me/us relating to such tax treatment and tax structure, it being understood that "tax treatment" and "tax structure" do not include the name or the identifying information of (i) the Company or (ii) the parties to a transaction.

I/We confirm that I/we have the right and authority to request redemption of Shares and confirm that I/we will comply with the redemption procedures set out in the Prospectus. All redemption or repurchase instructions must be given in writing, quoting the relevant account number and be accompanied by the relevant Share certificate, duly endorsed, if one has been issued.

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

I/ We agree that the issue and allotment to me/us of 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 relevant Supplemental Prospectus.

I/We hereby agree to indemnify and keep indemnified the Company, the Manager, the Investment Manager and the Administrator against any loss arising to it or to them as a result of any breach of any representation, warranty, covenant or confirmation by me/us in this application form or from my/our material failure to disclose any relevant details or provide it/them with all information requested.

In the case of delay or failure to provide satisfactory information, the Company and the Administrator may take such action (including declining to accept an application) as they think fit.

I/We agree to notify the Administrator immediately if I/we become aware that any of these confirmations are no longer accurate and complete in all respects and agree immediately either to sell or to tender to the Administrator for redemption a sufficient number of Shares to allow the confirmation to be made.

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

I/ We acknowledge that subscribing for Shares in the Epoch Global Equity Shareholder Yield Fund and/or Epoch U.S. Equity Shareholder Yield Fund and/or Epoch Global Quality Capital Reinvestment Fund will have the effect of all/part of fees and expenses being charged to the capital at a Fund or Share Class level. This will have the effect of lowering the capital value of your investment.

(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 its equivalent of such survivor or survivors.

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

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

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

“Russian Restricted Investors” include any Russian national, Russian resident or any legal person, entity or body established in Russia unless the relevant natural person is also a national of a Member State or has a temporary or permanent residence permit in a Member State.

“Belarusian Restricted Investors” include any Belarusian national or natural person residing in Belarus or any legal person, entity or body established in Belarus (save where the Belarusian national/natural person is also a national of a Member State or has a temporary or permanent residence permit in a Member State).

By ticking the box below, I/we confirm that neither I/we nor any of my/our beneficial owner(s) or underlying investor(s), constitute any of the following:

- (i) Russian national
- (ii) Natural person residing in Russia
- (iii) Legal person, entity or body established in Russia
- (iv) Legal person, entity or body which is owned by a Russian national or a natural person residing in Russia
- (v) Belarusian national
- (vi) Natural person residing in Belarus
- (vii) Legal person, entity or body established in Belarus;
- (viii) Legal person, entity or body which is owned by a Belarusian national or a natural person residing in Belarus

I/We note that the box below should not be ticked by me/us if the I/we am/are or any of my/our beneficial owner(s) or underlying investor(s), is a Russian or Belarusian national or natural person residing in Russia or Belarus or an owner of a Russian or Belarusian legal person, entity or body and the I/we am/are also permanently or temporarily resident in an EU Member State or is a national of an EU Member State.

This information is being gathered by the Company in order to comply with applicable obligations imposed on it under Article 5f of Council Regulation (EU) 833/2014 as amended and Article 1(y) of Regulation (EC) No 765/2006 as amended.

I/We confirm that neither I/we, nor any of my/our underlying investor(s) or beneficial owner(s) of the shares in the Company appear on any sanctions list or are otherwise subject to any sanctions programme.

#### Investing as an Intermediary or on own behalf

Please indicate below whether the investment is being made on own behalf or as an intermediary.

I/we\* confirm that I/we\* are applying for the shares on my/our\* own behalf.

I/we\* confirm that I/we\* are applying for the shares as an intermediary on behalf of underlying shareholders / beneficiaries.

\*Delete as appropriate

#### Declaration of Residence Outside the Republic of Ireland

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

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

A - Declaration on Own Behalf

- i. I/ We\* declare that I am/we\* are applying for the Shares on my own/our own behalf/on behalf of a company\* and that I am/we are/the company\* is entitled to the Shares in respect of which this declaration is made and that I am/we are/the company\* is not currently an Irish Resident or Irish Ordinary Resident, and should I/we/the company\* become

an Irish Resident, I/we will so inform you, in writing, accordingly.

\*Delete as appropriate

B - Declaration as Intermediary

- i. I/ We\* declare that I am/we are\* applying for Shares on behalf of persons who will be beneficially entitled to the Shares, and who to the best of my/our\* knowledge and belief, are neither an Irish Resident or Irish Ordinary Resident, and
- ii. I/ we\* also declare that unless I/we\* specifically notify you to the contrary at the time of application, all applications for Shares made by me/us\* from the date of this application will be made on behalf of such persons; and I/we\* will inform you in writing if I/we\* become aware that any person, on whose behalf I/we\* hold Shares, becomes an Irish Resident.

\*Delete as appropriate

**AUTHORISATION**

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

Signature (1)

\_\_\_\_\_

Capacity of Authorised Signatory

\_\_\_\_\_

Name Authorised Signatory (1)

\_\_\_\_\_

Signature (2)

\_\_\_\_\_

Capacity of Authorised Signatory

\_\_\_\_\_

Name Authorised Signatory (2)

\_\_\_\_\_

Signature (3)

\_\_\_\_\_

Capacity of Authorised Signatory

\_\_\_\_\_

Name Authorised Signatory (3)

\_\_\_\_\_

Signature (4)

\_\_\_\_\_

Capacity of Authorised Signatory

\_\_\_\_\_

Name Authorised Signatory (4)

\_\_\_\_\_

Date

\_\_\_\_\_

**Important Information**

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

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

If the Application Form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature.

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

**Customer Information Notice – Common Reporting Standard**  
The Company intends to take such steps as may be required to satisfy any obligations imposed by (i) the Standard for Automatic

Exchange of Financial Account Information in Tax Matters (“the Standard”) and, specifically, the Common Reporting Standard (“CRS”) therein or (ii) any provisions imposed under Irish law arising from the Standard or any international law implementing the Standard (to include the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information or the EU Council Directive 2011/16/EU (as amended by Council Directive 2014/107/EU)) so as to ensure compliance or deemed compliance (as the case may be) with the Standard and the CRS therein from 1 January 2016.

The Company is obliged under Section 891F of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to that section to collect certain information about each Applicant’s tax arrangements.

Please note that in certain circumstances the Company may be legally obliged to share this information and other financial information with respect to an Applicant’s interests in the Company with the Irish Revenue Commissioners. In turn, and to the extent the account has been identified as a Reportable Account, the Irish Revenue Commissioners will exchange this information with the country of residence of the Reportable Person(s) in respect of that Reportable Account.

In particular, the following information will be reported by the Company to the Irish Revenue Commissioners in respect of each Reportable Account maintained by the Company;

- The name, address, jurisdiction of residence, tax identification number and date and place of birth, in the case of an individual, of each Reportable Person that is an Account Holder of the account and, in the case of any Entity that is an Account Holder and that, after application of the due diligence procedures consistent with CRS is identified as having one or more Controlling Persons that is a Reportable Person, the name, address, jurisdiction of residence and tax identification number of the Entity and the name, address, jurisdiction of residence, TIN and date and place of birth of each such Reportable Person.
- The account number (or functional equivalent in the absence of an account number);
- The account balance or value as of the end of the relevant calendar year or other appropriate reporting period or, if the account was closed during such year or period, the closure of the account;
- The total gross amount paid or credited to the Account Holder with respect to the account during the calendar year or other appropriate reporting period with respect to which the Reporting Financial Institution is the obligor or debtor, including the aggregate amount of any redemption payments made to the Account Holder during the calendar year or other appropriate reporting period.

Please note that in certain limited circumstances it may not be necessary to report the tax identification number and date of birth of a Reportable Person.

In addition to the above, the Irish Revenue Commissioners and Irish Data Protection Commissioner have confirmed that Irish Financial Institutions (such as the Company) may adopt the “wider approach” for CRS. This allows the Company to collect data relating to the country of residence and the tax identification number from all non-Irish resident Applicants.

The Company can send this data to the Irish Revenue Commissioners who will determine whether the country of origin is a Participating Jurisdiction for CRS purposes and, if so, exchange data with them. The Irish Revenue Commissioners will delete any data for non-Participating Jurisdictions.

The Irish Revenue Commissioners and the Irish Data Protection Commissioner have confirmed that this wider approach can be undertaken for a set 2-3 year period pending the resolution of the final CRS list of Participating Jurisdictions.

Applicants can obtain more information on the Company’s tax reporting obligations on the website of the Irish Revenue Commissioners (which is available at <http://www.revenue.ie/en/business/aeoi/index.html>) or the following link in the case of CRS only:  
<http://www.oecd.org/tax/automatic-exchange/>.

All capitalised terms above and below, unless otherwise defined above, shall have the same meaning as they have in the Standard.

#### **Foreign Account Tax Compliance Act (“FATCA”) and Common Reporting Standards (“CRS”)**

I/We acknowledge that the Company intends to take such steps as may be required to satisfy any obligations imposed by either (i) the FATCA regulations or (ii) any provisions imposed under Irish law arising from the inter-governmental agreement between the Government of the United States of America and the Government of Ireland (“IGA”) so as to ensure compliance or deemed compliance (as the case may be) with the FATCA regulations or the IGA from 1 July 2014.

Furthermore, I/we hereby acknowledge that the Company intends to also take such steps as may be required to satisfy any obligations imposed by (i) the Standard for Automatic Exchange of Financial Account Information in Tax Matters (“the Standard”) and, specifically, the Common Reporting Standard (“CRS”) therein or (ii) any provisions imposed under Irish law arising from the Standard or any international law implementing the Standard (to include the Multilateral Competent Authority Agreement on Automatic Exchange of Financial Account Information or the EU Council Directive 2011/16/EU (as amended by Council Directive 2014/107/EU)) so as to ensure compliance or deemed compliance (as the case may be) with the Standard and the CRS therein from 1 January 2016.

In order for the Company to comply with the above FATCA and CRS obligations, I/we agree to provide to the Company, the

Manager, the Investment Manager and the Administrator the necessary declarations, confirmations and/or classifications at such times as each of them may request and furthermore provide any supporting certificates or documents as each of them may reasonably require in connection with this investment by reason of FATCA or CRS, as described above, or otherwise. Should any information furnished to any of them become inaccurate or incomplete in any way, I/we hereby agree to notify the Company, the Manager, the Investment Manager and the Administrator immediately of any such change and further agree to immediately take such action as the Company, the Manager, the Investment Manager and the Administrator may direct, including where appropriate, redemption of my/our Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the Company, the Manager, the Investment Manager and the Administrator. If relevant, I/we agree to notify the Administrator of any change to my/our tax residency status. I/we hereby also agree to indemnify and keep indemnified the Company, the Manager, the Investment Manager and the Administrator against any loss, liability, cost or expense (including without limitation legal fees, taxes and penalties) which may result directly or indirectly as a result of a failure to meet our obligations pursuant to this section or failure to provide such information which has been requested by the Company, the Manager, the Investment Manager or the Administrator and has not been provided by me/us, and from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by me/us to the Company, the Manager, the Investment Manager or the Administrator. I/We further acknowledge that a failure to comply with the foregoing obligations or failure to provide the necessary information required may result in the compulsory redemption of our entire holding in the Company, and that the Company are authorized to hold back from redemption proceeds or other distributions to me/us such amount as is sufficient after the deduction of any redemption charges to discharge any such liability and I/we shall indemnify and keep indemnified the Company, the Manager, the Investment Manager, the Administrator and the Depository against any loss suffered by them or other Shareholders in the Company in connection with any obligation or liability to so deduct, withhold or account.

I/We confirm that we have accurately and correctly completed the relevant self-certification form included below entitled "Entity Self-Certification for FATCA and CRS". I/We further confirm that if any information included in the self-certification form subsequently becomes inaccurate or incorrect we will notify the Company, the Manager, the Investment Manager and the Administrator immediately of any such change and agree to immediately take such action as the Company, the Manager, the Investment Manager and/or the Administrator may direct, including where appropriate, redemption of our Shares.

In relation to FATCA and CRS, please also refer to and complete the relevant self-certification form in **Appendix 1** and **Appendix 2** hereto

#### **ANTI-MONEY LAUNDERING (KNOW YOUR CUSTOMER REQUIREMENTS) AND ECONOMIC SANCTIONS OBLIGATIONS**

Under Irish legislation and supplemental Guidance covering anti-money laundering, economic sanctions and the taxation of savings the Company and the Administrator are required to obtain the following documentation to verify the identity of all new applicants. This documentation should be provided with the application form. The documentation listed below may not cover all applications and the Company and the Administrator reserve the right to request additional documentation if required.

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

Please note that the application may not be accepted until the Administrator is in receipt of all required anti-money laundering documentation, the original Application Form and the original banking details for the settlement of the redemption proceeds. In any event, redemption and dividend payments will not be processed until full anti-money laundering documentation has been received on the account and the Company and the Administrator reserve the right to take further action where full anti-money laundering documentation has not been received.

##### **Documentation which may be required for all Retail Applicants**

1. Personal Verification<sup>2</sup> - ONE official photographic document (Certified<sup>3</sup>)
2. Address Verification<sup>4</sup> - TWO different address verification documents (Original or Certified)
3. Source of Funds Verification
4. Source of Wealth Verification

##### **Documentation which may be required for Designated Bodies in certain Countries**

1. Confirmation of Name and Address
2. Confirmation of Regulatory Body

<sup>2</sup> Acceptable Personal Verification documents are a certified copy of a Passport or a Driver's License or National Identity Card. The certified documents must be in date, show a picture of the person, full name, date of birth and signature of the person.

<sup>3</sup> Verification documents must be *certified* by a suitable person/entity, such as; the Companies Registration Office (or the equivalent in the investors jurisdiction) with regard to incorporation documentation, a notary public, a police officer, an embassy/consular official, a chartered or certified public accountant, a practicing solicitor, any Designated Body. Documents should be stamped with the official stamp of the person, dated and signed by that person.

<sup>4</sup> Acceptable Address Verification documents are any TWO of the following: electricity bill, gas bill, water bill, telephone bill, cable television bill, bank statement or credit card statement, social insurance documents, household/motor insurance certificates. Documents must originate from a different source, show the full name and residential address of the applicant and must be dated within 6 months of submission.

3. Original Authorised Signatory List
4. Original Letter of Assurance (where investing as an intermediary\*)(if you do not have such a letter please contact the Administrator and they can provide you with one to complete)
5. Original / certified Declaration of Beneficial Owner(s) form.

\*Additional information / documentation may be required subject to intermediary risk assessment, such as information on their AML/CTF policies and the nature of the intermediaries business.

Intermediaries from non EU / EEA countries will require an enhanced level of due diligence and further information or documentation, including information on underlying shareholders may also be required.

**Documentation which may be required for Non Designated Bodies**

1. Confirmation of name, office address, principal business address and registered number
2. Confirmation of Regulatory Body (if applicable)
3. Certificate of Incorporation or Certificate to Trade (Certified)
4. Memorandum and Articles of Association (Certified)
5. Latest audited Financial Statements (Certified)
6. Nature and purpose of the entity
7. List of Directors to include full name, dates of birth, occupation, residential and business addresses
8. Authorised Mandate or Board Resolution to establish the business relationship
9. Original Authorised Signatory List
10. ONE personal verification and TWO address verification documents for at least TWO directors **OR** ONE director and ONE authorised signatory (original or certified)
11. Verify the identity of all beneficial owners beneficially entitled to more than 25% of the entity's share capital or voting rights or otherwise exercises control over the management of the entity (if no beneficial owner holds more than 25%, verification of this is required (eg share register))
12. Original / certified Declaration of Beneficial Owner(s) form.

**Documentation which may be required for Pension Fund Accounts in certain Countries**

1. Confirmation of name and address
2. Pension Scheme Rules
3. Constitutional / Formation Document (eg: Trust Deed)
4. Confirmation of registration from the relevant tax authorities or Pensions Board
5. Verification of the principal employer (if applicable)
6. Name, address and dates of birth of the officers/board members/trustees/directors/governors or equivalent
7. Identity verification for TWO officers/board members/trustees/directors/governors or equivalent
8. Evidence that the person representing the Pension Scheme is empowered to act (Certified)
9. Original Authorised signatory list
10. Original / certified Declaration of Beneficial Owner(s) form

**Documentation which may be required for a Nominee Company**

1. Confirmation of Name and Address of Nominee Company
2. Original Authorised Signatory List for the Nominee Account
3. Confirmation of Name and Address of Parent of Nominee
4. Confirmation of Regulatory Body of Parent of Nominee
5. Original Authorised Signatory List of Parent
6. Proof of regulation (nominee / parent)
7. Original Letter of Assurance from Parent (if you do not have such a letter please contact the Administrator and they can provide you with one to complete)
8. Original / certified Declaration of Beneficial Owner(s) form

**Documentation which may be required for a Trust/Foundation/Charity**

1. Confirmation of name, registered & principal business address
2. Evidence of charitable status (if applicable)
3. Constitutional / Formation document (eg: Trust Deed or equivalent)
4. Nature and purpose
5. ONE Personal Verification and TWO Address Verification documents for at least TWO trustees/directors/governors/board members or ONE trustee/director/governor/board member and ONE authorised signatory (original / certified)
6. ONE Personal Verification and TWO Address Verification documents for any settler (where appropriate)
7. ONE Personal Verification and TWO Address Verification documents for all beneficiaries
8. Original Authorised Signatory List
9. Verify the identity of all SMO's if there is no natural person who owns more than 25%

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



**Entity Self-Certification for FATCA and CRS**

**Instructions for completion and Data Protection notice.**

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

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

For further information on FATCA or CRS please refer to the Irish Revenue or the OECD website at:

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

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

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

**Account holders that are Individuals or Controlling Persons should not complete this form and should complete the form entitled "Individual (including Controlling Persons) Self-Certification for FATCA and CRS".**

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

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

**\*Section 1: Account Holder Identification**

\*Account Holder Name: \_\_\_\_\_ (the "Entity")

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

**\*Current Registered Address:**

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

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

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

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

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

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

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

**\*Section 2: FATCA Declaration Specified U.S Person:**

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

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

Or  
The Entity is a US person but **not** a *Specified U.S. Person* (please also complete Sections 3, 4 and 5)

**\*Section 3: Entity's FATCA Classification** (the information provided in this section is for FATCA, please note your classification may differ from your CRS classification in Section 5):

**3.1 Financial Institutions under FATCA:**

If the Entity is a Financial Institution, please tick one of the below categories and provide the Entity's GIIN at 3.2 or indicate at 3.3 the reason why you are unable to provide a GIIN.

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

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

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

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> : _____  ∞NOTE: this option is only available to Sponsored Investment Entities in Model 1 IGA jurisdictions. Sponsored Investment Entities that do not have U.S. reportable accounts are not required to register and obtain a <i>GIIN</i> with the IRS unless and until U.S. reportable accounts are identified.	<input type="checkbox"/>
II.	<b>The Entity is an Exempt Beneficial Owner,</b> Please tick and confirm the category of Exempt Beneficial Owner; I. <input type="checkbox"/> Government Entity II. <input type="checkbox"/> International Organisation III. <input type="checkbox"/> Foreign Central Bank IV. <input type="checkbox"/> Exempt Retirement Fund V. <input type="checkbox"/> Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners.	<input type="checkbox"/>
III.	Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution under Annex II of the Agreement)	<input type="checkbox"/>
IV.	Non-Participating Foreign Financial Institution	<input type="checkbox"/>
V.	Excepted Foreign Financial Institution Indicate exemption: _____	<input type="checkbox"/>
VI.	The Entity is a Trustee Documented Trust. Please provide your Trustee's name and <i>GIIN</i>  Trustee's Name: _____  Trustee's <i>GIIN</i> : _____	<input type="checkbox"/>

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

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

I.	Active Non-Financial Foreign Entity (NFFE)	<input type="checkbox"/>
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II.	Passive Non-Financial Foreign Entity (NFFE)	<input type="checkbox"/>
	I. <input type="checkbox"/> Passive Non-Financial Foreign Entity with no Controlling Persons that are specified U.S. Persons.	
	II. <input type="checkbox"/> Passive Non-Foreign Financial Entity with Controlling Persons that are specified U.S. Persons. <i>(If this is ticked, please include self-certification forms for each of your Controlling Persons)</i>	
III.	Excepted Non-Financial Foreign Entity (NFFE)	<input type="checkbox"/>
IV.	Direct Reporting Non-Financial Foreign Entity (NFFE)	<input type="checkbox"/>
	Please provide your GINN: _____	

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

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

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

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

**a)** You are tax resident in a Jurisdiction that does not issue a (TIN)

Or

**b)** You are tax resident in a non-reportable Jurisdiction (i.e. Ireland or the USA)

Country of Tax Residency	Tax ID Number	∞If TIN unavailable Select (A, B or C) below

∞If a TIN is unavailable, please provide the appropriate reason **A, B** or **C** where indicated below:

**Reason A** - The country/jurisdiction where the Account Holder is resident does not issue TINs or TIN equivalents to its residents

**Reason B** - The Account Holder is otherwise unable to obtain a TIN *(Please explain why you are unable to obtain a TIN if you selected Reason B)*

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

**\*Section 5: Entity’s CRS Classification** (The information provided in this section is for CRS. Please note an Entity's CRS classification may differ from its FATCA classification in Section 3 above). In addition please note that the information that the Entity has to provide may differ depending on whether they are resident in a participating or non-participating CRS Jurisdiction. For more information please see the OECD CRS Standard and associated commentary.

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

**5.1 Financial Institutions under CRS:**

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

Note: Please check the Irish Revenue AEOI portal at the time of completion of this form to confirm whether your country of Tax Jurisdiction is considered Participating or Non-Participating for the purposes of CRS Due-Diligence in Ireland.

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

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

### 5.2 Non Financial Institutions under CRS:

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

I.	<b>Active Non-Financial Entity (NFE)</b> – a corporation the stock of which is regularly traded on an established securities market. Please provide the name if the established securities market on which the corporation is regularly traded: _____	<input type="checkbox"/>
II.	<b>Active Non-Financial Entity (NFE)</b> – if you are a Related Entity of a regularly traded corporation. Please provide the name of the regularly traded corporation that the Entity is a Related Entity of: _____  Please provide details of the securities market that the entity is listed on : _____	<input type="checkbox"/>
III.	<b>Active Non-Financial Entity (NFE)</b> – a Government Entity or Central Bank	<input type="checkbox"/>
IV.	<b>Active Non-Financial Entity (NFE)</b> – an International Organisation	<input type="checkbox"/>

V.	<b>Active Non-Financial Entity (NFE)</b> – other than those listed in I, II, III or IV above. (for example a start-up NFE or a non-profit NFE)	<input type="checkbox"/>
VI.	<b>Passive Non-Financial Entity (NFE)</b> - (if this box is ticked, please also complete Section 6.1 below and indicate the name of all natural Controlling Person(s) of the Entity and complete a separate Individual Self-Certification Form for each of your Controlling Person(s)	<input type="checkbox"/>

**\*\* Section 6: Controlling Persons**

**NB: Please note that each Controlling Person must complete a Separate Individual Self-Certification form. If there are no natural person(s) who exercise control of the Entity then the Controlling Person will be the natural person(s) who hold the position of senior managing official of the Entity.**

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

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

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

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

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

I.	
II.	
III.	

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

**6.2 Complete a separate Individual (Controlling Person’s) Self-Certification for FATCA and CRS for each Controlling Person listed in Section 6.1.**

**\*Section 7: Declarations and Undertakings**

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

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

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

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

\_\_\_\_\_

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

\_\_\_\_\_

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

\_\_\_\_\_

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

## Individual (Controlling Person's) Self-Certification for FATCA and CRS

### Instructions for completion

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

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

For further information on FATCA or CRS please refer to Irish Revenue website at <http://www.revenue.ie/en/business/aeoi/index.html> or the following link to the OECD CRS Information Portal at: <http://www.oecd.org/tax/automatic-exchange/> in the case of CRS only.

If any of the information below about the investor's tax residence or FATCA/CRS classification changes in the future, please advise of these changes promptly.

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

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

**Section 4 should only be completed by any individual who is a Controlling Person of an entity account holder which is a Passive Non-Financial Entity, or a Controlling Person of an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.**

For further guidance see.

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

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

### **\*Section 1: Investor Identification**

\* Account Holder / Controlling Person 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: Common Reporting Standard (CRS) Declaration of Tax Residency/Residencies (please confirm all Tax Residencies)**

Please indicate your country of tax residence (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers ("TINs")). For further guidance please refer to the OECD CRS Information Portal (<http://www.oecd.org/tax/automatic-exchange/>).

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

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

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

∞If a TIN is unavailable, please provide the appropriate reason **A, B** or **C** where indicated below:

**Reason A** - The country/jurisdiction where the Account Holder is resident does not issue TINs or TIN equivalents to its residents

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

**Reason C** - The Account Holder is otherwise unable to obtain a TIN (Please explain why you are unable to obtain a TIN if you selected Reason C)

**Section 4 – Type of Controlling Person**

(ONLY to be completed by 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.

**Data Protection - Customer Information Notice :**

The Common Reporting Standard (CRS), formally referred to as the Standard for Automatic Exchange of Financial Account Information, is an information standard for the automatic exchange of information (AEOI), developed in the context of the Organisation for Economic Co-operation and Development (OECD).

The standard requires that Financial Institutions in participating jurisdictions gather certain information from account holders (and, in particular situations, also collect information in relation to relevant Controlling Persons of such account holders).

Under CRS account holder information (and, in particular situations, information in relation to relevant Controlling Persons of such account holders) is to be reported to the relevant tax authority where the account is held, which, if a different country to that in which the account holder resides, will be shared with the relevant tax authority of the account holder's resident country, if that is a CRS-participating jurisdiction.

Information that may be reported includes name, address, date of birth, place of birth, account balance, any payments including redemption and dividend/interest payments, Tax Residency(ies) and TIN(s).

Further information is available on the OECD website: <http://oecd.org/tax/automatic-exchange/>

And on the Irish Revenue website - <http://www.revenue.ie/en/business/aeoi/>

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

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

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

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