

APPLICATION FORM FOR NON-U.S. INVESTORS FOR
SHARES IN EAMC ICAV
(the "ICAV")

This Application Form should be read in context of and together with the Prospectus of the ICAV, as may be amended by addenda and supplements from time to time. Save where otherwise defined in this Application Form, all capitalised terms shall have the same meaning as in the Prospectus.

Copies of the Prospectus are freely available from the Manager and the most recently published annual and semi-annual reports of the ICAV are freely available from the Administrator. Investors should not complete this Application Form until they have read the Key Investor Information Document relating to this investment.

The ICAV is regulated in Ireland by the Central Bank of Ireland.

If any of the details provided by the applicant(s) in this Application Form change during the lifetime of this investment, please advise the Administrator immediately, in order to avoid any possible settlement delays at some future date.

Please complete all the following sections and before signing read the notes overleaf.

The Administrator reserves the right to request additional information for verification purposes as set out in the Prospectus.

1. INVESTOR REGISTRATION DETAILS

1. **Applicant's full name /
Company name**

2. **Nationality** (individuals only)

3. **Address of Applicant /
Registered Address
of Company**

4. **Contact name** (if different to above)

5. **Contact address** (if different to above)

6. **Telephone No.**

- Facsimile No.**

7. **E-mail Address**

8. Swift dealing and reporting

Should you wish to be setup for swift dealing please provide the below details:

BIC (11 digit BIC) _____

DN code _____

Swift contact to enable connection if required

Name _____

Phone _____

Email _____

Should you wish to be setup for MT535/536 please provide the below details:

BIC (11 digit BIC) _____

MT 535 or MT536 (If you only wish to receive one swift report type please indicate _____)

Frequency of reporting (Daily/Weekly/Monthly) please circle your preference

By ticking the box below, the Applicant (or any person or entity on whose behalf Shares in the Fund are being acquired) confirms that they do not constitute any of the following:

- (a) Russian national
- (b) Natural person residing in Russia
- (c) Legal person, entity or body established in Russia
- (d) Legal person, entity or body which is owned by a Russian national or a natural person residing in Russia
- (e) Belarusian national
- (f) Natural person residing in Belarus
- (g) Legal person, entity or body established in Belarus;
- (h) Legal person, entity or body which is owned by a Belarusian national or a natural person residing in Belarus

Note: The box below should not be ticked if the Applicant 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 Applicant is also permanently or temporarily resident in an EU Member State or is a national of an EU Member State.

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This information is being gathered by the Fund 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.

2. SUBSCRIPTION

We hereby irrevocably subscribe such amount as set out below in the class (the "Class") of shares of the Enam India Opportunities Fund (the "Shares")

(please insert subscription amount in the relevant box)

Currency	Class of Shares	ISIN	Value of Subscription
USD	Class A USD	IE000016ESL7	
USD	Class B USD	IE000JOF0403	
USD	Class C USD	IE00079L4NS9	
EUR	Class A EUR	IE000M7TW0M4	
EUR	Class B EUR	IE000FRDTB16	
EUR	Class C EUR	IE000BBQN971	

Note: Minimum initial subscription amounts and other information in relation to each class are detailed in the relevant supplement to the Prospectus.

Note: Applications for additional shares by an existing Shareholder should be made to the ICAV by completing and submitting an Additional Subscription Form which is attached at the back of this Application Form for ease of reference.

3. REDEMPTIONS AND DIVIDENDS

Requests to redeem should be made to the ICAV by completing and submitting a Redemption Form which is attached at the back of this Application Form for ease of reference.

Redemptions will not be processed on non-cleared/verified accounts.

I/We hereby instruct the ICAV to pay all distributions and redemption payments to the following bank account being an account registered in my/our name:-

Name of Correspondent Bank: _____

Address: _____

SWIFT code: _____

Beneficiary Bank: _____

SWIFT code: _____

Beneficiary name: _____

Account number: _____

FFC account number (if relevant): _____

IBAN (for EUR payments): _____

For distribution share classes and where the Fund intends on declaring a dividend, all dividends will be reinvested by way of additional shares unless advised otherwise.

Please select your relevant dividend preference. (Cash dividend) (Reinvest)

Upon payment of a dividend, proceeds should be paid to:*

*For Applicants who require dividends to be paid to a different bank account to that provided above in respect of redemption payments, otherwise tick _____ to indicate that dividends should be paid to the account details provided above.

Name of Correspondent Bank: _____

Address: _____

SWIFT code: _____

Beneficiary Bank: _____

SWIFT code: _____

Beneficiary name: _____

Account number: _____

FFC account number (if relevant): _____

IBAN (for EUR payments): _____

Important: All dividend payments will be made by electronic bank transfer and no payments will be made by cheque or to a third party. Future dividend payments made by the Administrator to the Shareholder(s) will be returned to this account unless a written request for change has been duly received and approved by the Administrator.

4. RETURN OF VALUES (INVESTMENT UNDERTAKINGS) REGULATIONS 2013

The Return of Values (Investment Undertakings) Regulations 2013 (S.I. 245 of 2013) (the "Regulations") requires certain Irish Investment Undertakings to make annual returns to the Irish Revenue Commissioners of the value of the investments in a tax year held by certain unit holders.

In order to satisfy the Regulations, the ICAV must collect the following additional information from any applicants¹ which are Irish Resident or Ordinarily Resident in Ireland (that are not excepted unit holders within the meaning of the Regulations):

Tax Identification Number (TIN) / PPS Number²	
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Furthermore, the Regulation requires the ICAV to seek appropriate documentation from the applicant to verify the above TRN or PPS Number. Any one of the following additional documents (either a copy or the original) is sufficient.

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

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

Your personal information will be handled by the Administrator or its duly appointed delegates as Data Processor for the ICAV in accordance with the Data Protection Act 1988 to 2018 and the EU's General Data Protection Regulation 2016/679 (the "GDPR") (each as may be amended or supplemented from time to time)

¹ Where an applicant is an intermediary and that applicant is the registered unit holder, reporting obligations under the regulations may be carried out on the basis that the intermediary is the unit holder. For these purposes, intermediary has the same meaning as in Section 739B (1) TCA 1997.

² A PPS Number is required if the relevant applicant is an individual.

(together the “**Data Protection Legislation**”). Further information is available in the Data Privacy Statement attached at Appendix III. Your information provided herein will be processed for the purposes of complying with the Regulations and this may include disclosure to the Irish Revenue Commissioners.

5. APPLICATION FORM

Application forms must be received by the Administrator by 10.00 am (Irish Time) on the relevant Dealing Day.

6. ADDITIONAL INVESTOR STATEMENTS

If you wish to receive your Contract Notes and Statements via email, please tick this box

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Upon receipt of this form, the Administrator will update the email address for receipt of email documentation

7. SIGNATURE(S)

(All applicants must sign)

Applicants MUST sign below for this Application Form to be valid. In the case of joint applicants, all applicants should sign this Application Form.

Signatory 1:

Name: _____

Signed: _____

Date: _____

Signatory 2:

Name: _____

Signed: _____

Date: _____

8. PAYMENT DETAILS FOR SUBSCRIPTIONS

Payment by telegraphic transfer. The directors reserve the right to defer acceptance of such applications until monies are cleared.

NB: Funds should be paid in MT103 format with the following details:

USD

Correspondent Bank: BNP Paribas, NY

Correspondent Swift: BNPAUS3N

ABA Code: 026-007689

Beneficiary Bank: BNP Paribas, Luxembourg

Beneficiary Swift: PARBLULL

IBAN: LU873280325378R00840

Beneficiary Name: IE / ENAM INDIA AMC ICAV / ENAM INDIA OPPORTUNITIES FUND COLLEC ACC

EUR

Correspondent Bank: BNP Paribas Securities Services, Paris

Correspondent Swift: PARBFRPPXXX

Beneficiary Bank: BNP Paribas, Luxembourg

Beneficiary Swift: PARBLULL

IBAN: LU473280325378R00978

Beneficiary Name: IE / ENAM INDIA AMC ICAV / ENAM INDIA OPPORTUNITIES FUND COLLEC ACC

Any bank charges in respect of telegraphic transfers or otherwise will be deducted from the amount or value of subscriptions and the net amount invested in Shares.

Once fully completed and signed, this Application form should be sent to the following address and/or facsimile number and/or email address:

c/o BNP Paribas
Fund Administration Services (Ireland) Limited
Termini,
3 Arkle Road,
Sandyford,
Dublin
D18 T6T7
Ireland

Facsimile: +353 161 25091
Email: afsinvestorservices.ie@bnpparibas.com
Telephone: + 353 1 612 6400

I/We shall transfer the amount to be invested from my/our Bank accounts as follows:

By: <i>(Name of bank)</i>	
Address:	
Reference:	
For Value on:	

9. REPRESENTATIONS

- (i) I/We, the undersigned declare that I/we am/are over the age of 18, not a US Person as defined in the Prospectus, not an ERISA or Benefit Plan Investor, and that I/we am/are not acting on behalf of a US Person(s), an ERISA or Benefit Plan Investor, nor do I/we intend selling or transferring any Shares which I/we may purchase to any person who is a US Person, an ERISA or Benefit Plan Investor.
- (ii) I/We, warrant that I/we have the right and authority to make the investment pursuant to this Application Form and hold such Shares whether the investment is my/our own or is made on behalf of another person or entity and that I/we are/will not be in breach of any laws or regulations of any competent jurisdiction and I/we hereby indemnify

the ICAV, the Manager, the Administrator and other Shareholders for any loss suffered by them as a result of this warranty/representation not being true in every respect.

- (iii) I/We agree that to the extent that I/we are an Ineligible Applicant, I/we shall indemnify the ICAV, the Manager, the Investment Manager, the Depositary, the Administrator and Shareholders for any loss suffered by it or them as a result of I/we acquiring or holding Shares in the ICAV.
- (iv) I/We acknowledge that the ICAV has been established with segregated liability between its sub-funds (the "Funds" and each a "Fund"). I/We hereby agree that any amounts due or payable to me / us in respect of an investment in the Fund(s), howsoever arising (including any proven claim), will be limited to, and payable only out of, the assets of the relevant Fund and in no circumstances will the assets of any other Fund be used to discharge the amount due.
- (v) I/We, agree to provide the representations in this Application Form to the ICAV on an annual basis at the request of the Administrator or the ICAV and at such other times as the Administrator or the ICAV may request and to provide on request such certificates, documents or other evidence as the ICAV may reasonably require to substantiate such representations.
- (vi) I/We, agree to notify the ICAV and the Administrator immediately if I/we become aware that any of the representations is/are no longer accurate and complete in all respects and, if deemed necessary by the ICAV at its absolute discretion, agree immediately to sell or to tender to the ICAV for redemption a sufficient number of Shares to allow the representation to be made.
- (vii) I/We hereby agree that none of the ICAV, the Manager, the Investment Manager, the Administrator or the Depositary or any of their respective directors, officers, employees or agents will be responsible or liable for the authenticity of instructions from Shareholders reasonably believed to be genuine and shall not be liable for any losses, costs or expenses arising out of or in conjunction with any unauthorised or fraudulent instructions.
- (viii) I/We, hereby confirm that the ICAV, the Directors and the Administrator are each authorised and instructed to accept and execute any instructions including subscription, redemption and /or conversion instructions and instructions relating to payment of redemption proceeds, given by me/us by facsimile, email or such other means as may from time to time be permitted by the Directors or their delegate. I/we acknowledge that any application for Shares will be rejected by the Administrator where anti-money laundering documentation required by the ICAV and the Administrator has not been provided to the Administrator in advance. I/we acknowledge that facsimile and email instructions are not a secure means of communication, and are aware of the risk involved. I/we hereby indemnify the ICAV, the Directors, the Manager and the Administrator and agree to keep each of them indemnified, against any loss of any nature whatsoever arising to each of them as a result of any of them acting on facsimile and/or email instructions. The ICAV, the Directors, the Manager and the Administrator may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instructions or other instrument believed, in good faith, to be genuine or to be signed by properly authorised persons. I/we acknowledge that if I/we request the Administrator to pay redemption proceeds to an account or bank the details of which differ from those held on file. I/we understand that payment cannot be affected until such time as an instruction requesting this change is forwarded by me/us to the Administrator, together with any other documentation required by the Administrator, including that required for anti-money laundering purposes. I/we acknowledge that redemption proceeds will not be paid until the Application Form used on initial subscription, the redemption form, together with all documentation required by the ICAV and the Administrator, including all documentation required for anti-money laundering purposes has been received by the Administrator.
- (ix) I/We hereby agree that I/we shall be liable to the ICAV for, and shall indemnify it against, any loss, cost, expense

or fees incurred by it or the relevant Fund arising out of such non-receipt or non-clearance of subscription monies and that the ICAV will have the right to sell all or part of my/our existing holding of Shares in the relevant Class or any other Class or Fund (if any) in order to meet any losses, costs, expenses or fees incurred by the ICAV or the relevant Fund arising out of such non-receipt or non-clearance of subscription monies.

- (x) I/We, having received and considered a copy of the Prospectus, hereby confirm that this application is based solely on the Prospectus together (where applicable) with the most recent annual report and accounts of the ICAV and (if issued after such report and accounts) its most recent unaudited semi-annual report.
- (xi) I/We hereby represent that I/we have regular access to the internet. I/We acknowledge that I/we have been offered the choice of receiving the Prospectus, KIID and Annual/Semi-Annual Reports on paper or in electronic form by means of a website and I/we hereby specifically consent to receiving the Prospectus, KIID and Annual/Semi-Annual Reports in electronic form by way of accessing the latest version of the document online at <https://www.waystone.com/kba-consulting-management-ltd/eamc-icav/> (or such other website address as may be notified to us from time to time). The Prospectus, KIID and Annual/ Semi-Annual Reports will be available in the Funds section on <https://www.waystone.com/kba-consulting-management-ltd/eamc-icav/> and I/we hereby confirm that I/we have also been notified electronically of this website address and the place where on the website the Prospectus, KIID and Annual/Semi-Annual Reports can be accessed. I/We hereby acknowledge that I/we have received or accessed by electronic means the Prospectus, KIID and Annual/Semi-Annual Reports. I/ We also consent to accessing the Prospectus, KIID and Annual/Semi-Annual Reports by electronic means before making any subsequent and/or future subscriptions for Shares in any Share Class and/or Fund.

NOTE - By signing this application, investors confirm that they have fully read and understood the KIID.

- (xii) I/We, apply to be entered in the Register of the Shareholders as the holder/holders of the Shares issued in relation to this application.
- (xiii) I/We, acknowledge that due to money laundering requirements operating within Ireland, the Administrator, the Manager and/or the ICAV may require information and documentation pursuant to anti-money laundering requirements and any other legal or regulatory requirement before the application can be processed and the ICAV, the Manager and/or the Administrator shall be held harmless and indemnified against any loss ensuing due to the failure to process this application, if such information as has been required by the parties hereto has not been provided by me/us.
- (xiv) I/We acknowledge that measures aimed at the prevention of money laundering and terrorist financing will require verification of my/our identity, address and source of funds and where applicable other persons including but not limited to any beneficial owner³ on a risk sensitive basis and the ongoing monitoring of my/our business relationship with the ICAV. I/We further acknowledge that the Administrator reserves the right not to issue Shares until such time as the Administrator has received and is satisfied with all the information and documentation requested to verify my/our identity, address and source of funds and where applicable other persons including but not limited to any beneficial owner. I/We acknowledge that the Administrator shall be indemnified and held harmless by me/us against any loss arising as a result of a failure to process my/our application for Shares if such information and documentation as has been requested by the Administrator has not been provided by me/us.
- (xv) I/We acknowledge that the Administrator in its absolute discretion reserves the right to request from the applicant any such other or additional documentation from that outlined below when it deems it appropriate to do so to enable the Administrator to determine the applicant's compliance with applicable regulatory requirements or the applicant's anti-money laundering and terrorist financing verification status on a risk sensitive basis and the

³ A beneficial owner means any individual who ultimately owns or controls at least 25% of the Shareholder or otherwise exercises control over the management of the Shareholder.

applicant shall provide to the Administrator from time to time such information as may reasonably be requested. Each person acquiring Shares in a Fund must satisfy the foregoing both at the time of initial subscription and at all times thereafter until such person ceases to be a Shareholder. Accordingly, the applicant agrees to notify the Administrator promptly if there is any change with respect to any of the foregoing and / or below information, declarations or representations and to provide the Administrator with such further information as the Administrator may reasonably require.

- (xvi) I/We acknowledge that I/we must disclose to the ICAV and Administrator, both at the time of initial subscription into a Fund of the ICAV and upon any change thereafter, any Shareholder or person or entity or beneficial owner that is or is acting, directly or indirectly for the Shareholder who is a politically exposed persons ("PEP")⁴, and immediate family members⁵, and close associates⁶ of such persons.
- (xvii) I/We acknowledge that the ICAV or the Administrator also reserves the right to refuse to make any redemption payment or distribution to a Shareholder if any of the Directors of the ICAV or the Administrator suspects or is advised that the payment of any redemption or distribution moneys to such Shareholder might result in a breach or violation of any applicable anti-money laundering or other laws or regulations by any person in any relevant jurisdiction, or such refusal is considered necessary or appropriate to ensure the compliance by the ICAV, its Directors or the Administrator with any such laws or regulations in any relevant jurisdiction.
- (xviii) 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. I/We acknowledge that any failure to provide complete identification and verification documentation at the account opening stage will result in delay of account opening and processing of my/our subscription application.

⁴ A PEP is defined as an individual who is, or has at any time in the preceding 18 months (or such longer period as is reasonably required to take into account the continuing risk posed by that person and until such time as that person is deemed to pose no further risk specific to politically exposed persons) been, entrusted with a prominent public function, including either of the following individuals (but not including 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.
- (c) any individual performing a prescribed function.

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

- (a) a head of state, head of government, government minister or deputy or assistant government minister;
- (b) a member of a parliament or similar legislative body;
- (c) a member of the governing body of a political party;
- (d) a member of a supreme court, constitutional court or other high level judicial body whose decisions, other than in exceptional circumstances, are not subject to further appeal;
- (e) a member of a court of auditors or of the board of a central bank;
- (f) an ambassador, chargé d'affaires or high-ranking officer in the armed forces;
- (g) a director, deputy director or member of the board of, or person performing the equivalent function in relation to, an international organisation.

⁵ An "immediate family member" of a PEP includes any of the following persons:

- (a) any spouse of the politically exposed person;
- (b) any person who is considered to be equivalent to a spouse of the politically exposed person under the national or other law of the place where the person or politically exposed person resides;
- (c) any child of the politically exposed person;
- (d) any spouse of a child of the politically exposed person;
- (e) any person considered to be equivalent to a spouse of a child of the politically exposed person under the national or other law of the place where the person or child resides;
- (f) any parent of the politically exposed person;
- (g) any other family member of the politically exposed person who is of a prescribed class;

⁶ A "close associate" of a PEP includes any individual who has a joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations with the PEP or any individual who has a sole beneficial ownership of a legal arrangement set up for the actual benefit of the PEP.

- (xix) 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 further subscriptions, transfers, conversions, redemption payments and distribution payments pending receipt of the outstanding documentation. I/We acknowledge that I/we may be classified as a non-compliant investor.
- (xx) 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.
- (xxi) I/We acknowledge and confirm that my/our investment does not and will not constitute funds derived from India, from sources within India or from persons resident in India as defined under India's Foreign Exchange Management Act, 1999 and the Income-Tax Act, 1961 ("Person Resident In India"). I/we also represent that I/we are not a Person Resident in India and that I/we will notify the ICAV, Manager and the Investment Manager promptly in the event that I/we become a Person Resident in India or apply for Indian residency or raise funds from Indian residents and agree to immediately take such actions as the ICAV, the Manager and the Investment Manager promptly may direct including redemption of Shares. Unless permitted by the India's Foreign Exchange Management Act, 1999 and the Income-Tax Act, 1961, I/we represent that I/we will dispose of the interests in the ICAV in consultation with the ICAV and the Investment Manager, prior to me/us taking up residence in India or applying for or otherwise acquiring Indian nationality, should I/we take such step.
- (xxii) I/We represent that where I/we act as an intermediary on behalf of one or more underlying investors, who are natural persons, the underlying investors are not Persons Resident in India and that I/we will notify the ICAV, Manager and the Investment Manager promptly in the event that the underlying investors become Persons Resident in India or apply for Indian residency and agree to immediately take such actions as the ICAV, the Manager and the Investment Manager promptly may direct and which may include compulsory redemption of Shares in a Fund. I/we also represent that where I/we act as an intermediary for an underlying investor other than a natural person which also acts as an intermediary for indirect investors, such indirect investors are not Persons Resident in India and that I/we will notify the ICAV, Manager and the Investment Manager promptly in the event that the indirect investors become Person Resident in India or apply for Indian residency and agree to immediately take such actions as the ICAV, the Manager and the Investment Manager promptly may direct and which may include compulsory redemption of Shares in a Fund.
- (xxiii) I/We hereby agree and undertake that where I / we hold:
 - (a) 25% or more ownership of the Shares of a Fund, either directly or indirectly as (i) the beneficial owner of an investor investing in a Fund on its own behalf or (ii) the beneficial owner of an intermediary investor investing in a Fund on behalf of one or more underlying investors (including direct / indirect holding through single or multiple entities); or
 - (b) 25% or more ownership of a Fund by control, through means such as voting rights, agreements, arrangements etc., either directly or indirectly as (i) the beneficial owner of an investor investing in a Fund on its own behalf or (ii) the beneficial owner of an intermediary investor investing in a Fund on behalf of one or more underlying investors;

that I/we will make available such additional information that the ICAV, the Manager and/or the Administrator may require upon request, for example, the name of the beneficial owner, whether the holding is a direct/indirect stake, names of the entity/ies through which the stake in the Fund is held indirectly, method of control, whether the holding is held by an individual or a non-individual etc.

- (xxiv) I/We agree and undertake to notify the ICAV, Manager and Administrator where I/we or any of my/our beneficial owners are or become:

- (a) a “non-resident Indian”, as defined under Rule 2 of the Foreign Exchange Management (Non-debt Instruments) Rules, 2019 (“NDI Rules”) (“NRI”); or
- (b) an “overseas citizen of India”, as defined under Rule 2 of the NDI Rules (“OCI”); or
- (c) directly or indirectly owned or controlled by an NRI or OCI; or
- (d) controlled by an investment manager that is controlled by an NRI / OCI.

I/We acknowledge and that I/we may need to provide such further information in this regard as the ICAV, Manager and/or Administrator may require.

- (xxv) I/We agree and undertake that in the event that I/we constitute(s) a NRI or an OCI, and in the event that I/we hold 25% or more of the Net Asset Value of a Fund, or in the event that that I/we hold in aggregate 50% or more of the Net Asset Value of a Fund together with other NRIs or OCIs, that I/we may be required to reduce my/our shareholding in a Fund or to redeem Shares in a Fund and to provide such further information to the ICAV, Manager and/or Administrator as may be required.
- (xxvi) I/We acknowledge that any notice or document (including communications and reports) may be served by or on behalf of the ICAV on me/us in the manner specified from time to time in the Prospectus or in the ICAV’s Instrument of Incorporation and for the purposes of the Electronic Commerce Act 2000, consent to any such notice or document being sent to me/us electronically to the email address which has been provided to the ICAV, the Administrator or its delegate in completing this share application form or otherwise which I/we acknowledges constitutes effective receipt by me/us of the relevant notice or document.
- (xxvii) I/ We acknowledge that I/we am/are not obliged to accept electronic communication and may at any time choose to revoke my/our agreement to receive communications electronically by notifying the ICAV and the Administrator in writing at the above address provided that my/our agreement to receive communications electronically shall remain in full force and effect pending receipt by the Administrator of written notice of such revocation. I/we undertake to keep the ICAV and the Administrator informed of any change to such email address.
- (xxviii) In the event that I/we subject to prior written agreement with the Administrator decide to send subsequent applications, redemptions and instructions electronically:
 - (a) I/We acknowledge that electronic communications whether by email, swift or otherwise are an unsafe method of communication and emails and swift messages may be lost, subject to delays, interference by third parties, viruses and their confidentiality, security and integrity cannot be guaranteed. Further, I/we acknowledge that electronic communications cannot be guaranteed to be error-free.
 - (b) I/We hereby confirm that I/we will not hold the ICAV, the Manager, the Investment Manager, the Administrator and the Depositary or any of their directors, officers, employees or agents liable now or at any time for any loss, damage, financial or otherwise which I/we may suffer as a result of any interception or breach of confidentiality or integrity or as a result of any delays, inaccuracy, imperfection, lack of quality, ineffective transmission, viruses, alteration or distortion howsoever arising affecting such electronic communication.
 - (c) I/We undertake to keep each of the ICAV, the Investment Manager, the Administrator and the Depositary indemnified at all times against, and to save each of the ICAV, the Manager, the Investment Manager, the Administrator and the Depositary harmless from all actions, proceedings, claims, losses, damages, costs and expenses which may be brought against any of the ICAV, the Manager, the Investment Manager, the Administrator and the Depositary or suffered or incurred by any of the ICAV, the Manager, the Investment Manager, the Administrator and the Depositary and which shall have arisen either directly or indirectly out of or in connection with me /us sending electronic communications.
 - (d) We confirm that we, shall not send or transmit or arrange for any sending or transmitting on our behalf,

any electronic communication which contains a virus or other media damaging to your property or computer systems or which may be defamatory, libellous, slanderous, obscene, abusive, offensive, menacing or immoral and will abide with all relevant laws and regulations and international conventions or treaties governing the content of and the transmission of such electronic communications.

- (e) The ICAV, the Manager, the Investment Manager, the Administrator and the Depositary may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction, electronic instructions, electronic subscriptions and redemptions or other instrument believed, in good faith, to be genuine.
- (xxix) I/we hereby consent to electronic delivery of notices, communications and reports to the e-mail address(s) provided on this application form and in consideration of the Administrator issuing notices, communications and reports electronically, I/we hereby agree as follows, use of electronic communications shall be subject to the requirements and authentication procedures of the Administrator, I/we acknowledge that it is not possible to secure and maintain confidential electronic communications ("Internet Communications"), that any such Internet Communications can be delivered to a wrong address or that delivery of the same may not be timely; that any such Internet Communications are capable of being intercepted by third parties at any time and accordingly that the confidentiality, security and integrity of any Internet Communications cannot be assured. I/we shall not hold the ICAV, the Directors or the Administrator or any director, officer, employee or agent thereof, liable now or at any time for any damage, financial or otherwise, which I/we may suffer as a result of any of the matters outlined above with respect to any Internet Communication affected between the ICAV or the Administrator and me/us or any person or entity that we authorise to receive information relating to my / our holding in the ICAV, or otherwise by reason of any third party receiving, gaining access to, obtaining, altering or distorting any information or documentation transmitted via Internet Communications or by reason of any other inaccuracy, imperfection, lack of quality, ineffective transmission, delay, alteration or distortion howsoever arising affecting such Internet Communications or in respect of any other document, financial data or other information prepared, circulated or otherwise processed by the Administrator. I/we shall indemnify and keep indemnified the ICAV, the Directors, the Manager and the Administrator and any of its directors, officers, employees or agents against all losses, costs, damages, claims, demands and expenses (including claims or other demands whatsoever taken or made by any internet service provider) which any of them may suffer incur or sustain by reason of, sending Internet Communications to any party and/ or receiving Internet Communications from any party and / or dealing with any Internet Communications in respect of me/us.
- (xxx) I/We understand and agree that the ICAV prohibits the investment of funds by any persons or entities that are acting, directly or indirectly, (i) in contravention of any applicable laws and regulations, including anti-money laundering regulations or conventions, (ii) on behalf of terrorists or terrorist organisations, including those persons or entities that are included on the List of Specially Designated Nationals and Blocked Persons maintained by the U.S. Treasury Department's Office of Foreign Assets Control ("OFAC"), as such list may be amended from time to time or named on the list of prohibited countries, territories, entities and individuals in the Official Journal of the European Communities, or (iii), for a shell bank⁷ (such persons or entities in (i) - (iii) are collectively referred to as "**Prohibited Persons**").
- (xxxi) I/We understand and agree that the ICAV further prohibits the investment of funds by any PEP and immediate

⁷ "Shell bank" means a credit institution or financial institution (or a body corporate that is engaged in activities equivalent to those of a credit institution or financial institution) that—

- (a) does not have a physical presence, involving meaningful decision-making and management, in the jurisdiction in which it is incorporated,
- (b) is not authorised to operate, and is not subject to supervision, as a credit institution or as a financial institution (or equivalent) in the jurisdiction in which it is incorporated, and
- (c) is not affiliated with another body corporate that—(i) has a physical presence, involving meaningful decision-making and management, in the jurisdiction in which it is incorporated, and (ii) is authorised to operate, and is subject to supervision, as a credit institution, a financial institution or an insurance undertaking, in the jurisdiction in which it is incorporated.

family members, and close associates of such persons, unless the ICAV, in conjunction with the Administrator, after being specifically notified by me/us in writing that I/we am/are such a person, conducts further due diligence, and determines that such investment shall be permitted.

(xxxii) I/We represent, warrant and covenant that: (i) I/we am/are not, nor is any person or entity controlling, controlled by or under common control with me/us, a Prohibited Person, and (ii) to the extent I/we have any beneficial owners, (a) I/we have carried out thorough due diligence to establish the identities of such beneficial owners, (b) based on such due diligence, I/we reasonably believe that no such beneficial owners are Prohibited Persons, (c) I/we hold the evidence of such identities and status and will maintain all such evidence for at least five years from the date of my/our complete redemption from the ICAV, and (d) I/we will make available such information and any additional information that the ICAV may require upon request.

(xxxiii) If any of the foregoing representations, warranties or covenants ceases to be true or if the ICAV no longer reasonably believes that it has satisfactory evidence as to their truth, notwithstanding any other agreement to the contrary, the ICAV may be obligated to freeze my/our investment, either by prohibiting additional investments, declining or suspending any redemption requests and/or segregating the assets constituting the investment in accordance with applicable regulations, or my/our investment may immediately be redeemed by the ICAV, and the ICAV may also be required to report such action and to disclose my/our identity to OFAC or other authority. In the event that the ICAV is required to take any of the foregoing actions, I/we understand and agree that I/we shall have no claim against the ICAV, the Manager, the Investment Manager, the Administrator, and their respective affiliates, directors, members, partners, shareholders, officers, employees and agents for any form of damages as a result of any of the aforementioned actions.

(xxxiv) I/We understand and agree that any redemption proceeds paid to me/us will only be paid to the account of record. Furthermore, I/we understand and agree that any redemption proceeds paid to me/us will only be paid to a bank account in my/our name and with a recognised financial institution.

(xxxv) I/We agree to indemnify and hold harmless the ICAV, the Manager, Investment Manager, the Administrator, and their respective affiliates, directors, members, partners, shareholders, officers, employees and agents from and against any and all losses, liabilities, damages, penalties, costs, fees and expenses (including legal fees and disbursements) which may result, directly or indirectly, from any inaccuracy in or breach of any representation, warranty, covenant or agreement set forth in this section.

(xxxvi) I/We acknowledge that the Directors have power under the Instrument of Incorporation to compulsorily redeem and/or cancel any Shares held or beneficially owned by an investor in contravention of any restrictions imposed by them or in breach of any law or regulation. I/we acknowledge that where an investor fails to pay subscription proceeds within the relevant settlement period the ICAV may charge the investor for any loss to the Fund arising out of such non-receipt or non-clearance. I/we acknowledge that in circumstances where an investor fails to pay subscription proceeds within the relevant settlement period, there is a risk that the Fund may not be able to recover such costs from such investor and such loss and any relevant credit charges may have 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.

(xxxvii) I/We acknowledge that the Directors may compulsorily redeem any Shares which are held by a Shareholder who fails to supply any information required to verify the identity of a Shareholder or any beneficial owner of such Shareholder or source of subscription monies within such time frame as may be requested by the Directors in writing.

(xxxviii) I/We acknowledge that the ICAV and its delegates shall be held harmless against any loss arising as a result of

a failure to process or a delay in processing his application for Shares or redemption request if such information and documentation as has been requested by the ICAV or its delegates has not been provided by the applicant.

- (xxxix) I/We acknowledge that the ICAV operates a cash account 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 the "Umbrella Cash Account"). We acknowledge that all subscriptions, redemptions and dividends payable to or from a Fund are channelled and managed through the Umbrella Cash Account.
- (xi) 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).
- (xli) 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 ICAV or its delegate as required under the AML Requirements, redemption monies or dividend monies will be held in the 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 ICAV has been received to its satisfaction and the redemption monies/dividend payments have been paid to me/us. I/We acknowledge that the following risks arise in relation to the operation of the Umbrella Cash Account:-
- (a) 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 ICAV 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;
 - (b) 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 ICAV 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;
 - (c) in the event of an insolvency of the relevant Fund or the ICAV, there is no guarantee that the Fund or the ICAV 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;

- (d) in addition, investors should note that in the event of the insolvency of another Fund of the ICAV, 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 will be subject to the principles of Irish trust law and the terms of the operational procedures for the Umbrella Cash Account. 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.

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

- (xlii) I/We represent, warrant and covenant that I/we (i) will not transfer or deliver the Shares, or any interest therein, except in accordance with the restrictions set forth in the Prospectus and Instrument of Incorporation, and (ii) am/are acquiring the Shares to be acquired hereunder for my/our own account for investment purposes only and not with a view to assignment, resale or distribution.
- (xliii) I/We represent, warrant and covenant that I/we was/were present in the United States during the current year and the two preceding calendar years for less than 183 days in each year.
- (xliv) I/We represent, warrant and covenant that I/we am/are not engaged in a trade or business in the United States.
- (xlv) I/We represent, warrant and covenant that no offer of the Shares was made to me/us in the United States.
- (xlvi) I/We represent, warrant and covenant that at the time the order to buy the Shares was placed, I/we was/were located outside the United States.
- (xlvii) I/We represent, warrant and covenant that it is not the case that the transactions contemplated by this Application Form: (A) were pre-arranged with the undersigned by a person usually located in the United States; or (B) are part of a plan or scheme to evade the registration provisions of the US Securities Act 1933 (the "**1933 Act**").
- (xlviii) I/We understand that the Shares have not been registered under the 1933 Act, the securities laws of any U.S. state or the securities laws of any other U.S. jurisdiction, nor is such registration contemplated. I/We also understand that the ICAV does not file and does not intend to file periodic reports with the U.S. Securities and Exchange Commission pursuant to the requirements of the U.S. Securities Exchange Act of 1934, as amended or any other regulatory authority within U.S. I/We also understand that the ICAV is not, and will not be, registered under the U.S. Investment Company Act of 1940, as amended (the "**Investment Company Act**") in reliance on Section 3(c)(7) of said Act. I/We also understand that the ICAV has not agreed to register the Shares for distribution in any U.S. jurisdiction, and that the ICAV has not agreed to comply with any exemption under the laws of any U.S. jurisdiction for the resale of the Shares. I/We understand and agree further that, subject to the limited redemption rights set forth in the Prospectus and Instrument of Incorporation, the Shares must be held indefinitely unless they are subject to an exemption from registration under the 1933 Act and the laws covering the sale of the Shares is available. Even if such an exemption is available, the assignability and transferability of the Shares will be governed by the Prospectus and Instrument of Incorporation, which impose substantial restrictions on transfer.

I/We understand that legends stating that the Shares have not been registered under the 1933 Act and these laws and setting out or referring to the restrictions on the transferability and resale of the Shares will be placed on all documents, if any, evidencing the Shares.

- (xlix) I/We further agree that if, following my/our investment in the Fund, I/we become a resident of India or apply for or otherwise acquire Indian nationality, I/we hereby irrevocably authorise the ICAV, in my/our name and on my/our behalf as my/our lawful attorney, to transfer or compulsorily redeem the whole of my/our holding of Shares.
- (l) I/We acknowledge that additional investments by me/us may be refused and/or a request for redemption may be delayed or declined if the ICAV or the Administrator reasonably believes it does not have satisfactory evidence of the my/our identity.
- (li) My/Our overall commitment to the Fund and other investments that are not readily marketable is not disproportionate to my/our net worth and I/we have no need for immediate liquidity in my/our investment in the Fund.
- (lii) To my/our full satisfaction, I/we have been furnished with all materials I/we have requested relating to the ICAV, the offering of the Shares or any statement made in the Prospectus, and I/we have been afforded the opportunity to ask questions of representatives of the ICAV concerning the terms and conditions of the offering and to obtain any additional information necessary to verify the accuracy of any representations or information set forth in the Prospectus.
- (liii) Other than as set forth in the Prospectus and Instrument of Incorporation, I/we am/are not relying upon any other information, representation or warranty by the ICAV, the Board, the Manager, the Investment Manager, the Administrator or any affiliate or agent of any of them in determining to invest in the Fund.
- (liv) I/We have consulted to the extent I/we deem appropriate with my/our own advisers as to the business, financial, tax, legal, investment and related matters concerning an investment in the Fund and on that basis believe that an investment in the Fund is suitable and appropriate for me/us. I/We acknowledge that any placement agent used in connection with the offer and sale of the Shares did not prepare the Prospectus or the Instrument of Incorporation.
- (lv) I/We will bear all of the costs, fees and expenses incurred by me/us in connection with this subscription, whether or not such subscription is accepted or rejected by the Board or its delegate(s).
- (lvi) I/We acknowledge and confirm that I/we have all requisite legal capacity to acquire and hold the Shares and to execute, deliver and comply with the terms of each of the documents required to be executed and delivered by me/us in connection with this subscription for the Shares. I/We further acknowledge and confirm that the execution and delivery of, and compliance with, this Application Form and each of the other documents required to be executed and delivered by me/us does not result in a breach of, or constitute a default under, any instruments governing me/us, any law, regulation or order to which I/we am/are subject, or any agreement to which I/we am/are a party or by which I/we am/are bound. This Application Form has been duly executed by me/us and constitutes a valid and legally binding agreement, enforceable against me/us in accordance with its terms.
- (lvii) No approval, authorisation, licence, permit or other action by or filing with any federal, state, municipal or other governmental commission, board or agency is required in connection with the execution and delivery by me/us of this Application Form or the consummation by me/us of the transactions contemplated hereby.
- (lviii) I/We represent that (i) my/our acquisition of and subsequent holding of the Shares does not violate any law, rule

or regulation applicable to me/us and (ii) to my/our knowledge, the offer and sale of the Shares by the ICAV to me/us will not cause the ICAV, the Investment Manager, the Manager or any of its affiliates to violate any law, rule or regulation applicable to the offer and sale of securities to me/us and will not require the ICAV, the Investment Manager, the Manager or any of its affiliates to register in any capacity under any securities law, rule or regulation applicable to me/us.

- (lix) I/We acknowledge and agree that the tax information provided in the Prospectus should not be construed as tax advice. I/we have consulted with my/our own tax professionals concerning the tax consequences of an investment in the Fund.
- (lx) I/We have not duplicated or distributed the Prospectus to anyone other than my/our professional advisors and will not do so in the future.
- (lxi) I/We acknowledge and agree that any redemption proceeds paid to me/us will be paid to the same account from which my/our investment in the Fund was originally remitted, unless the ICAV agrees otherwise.
- (lxii) I/We represent, undertake and confirm that the undersigned: (i) have not and will not enter into any arrangement that is illegal and/or may breach any provision of Indian laws; (ii) will not hold interests on behalf of an Indian national who is resident of India and will not source funds from India for the purpose of investing in the Fund; and (iii) to the best of my/our knowledge, have no complaints, investigations or other proceedings launched against me/us by any regulatory body in India, including, without limitation, the Securities and Exchange Board of India. If, following my/our investment in the Fund, I/we become a resident of India or apply for or otherwise acquire Indian nationality, I/we hereby irrevocably authorise the ICAV in my/our name and on my/our behalf as my/our lawful attorney, to transfer or compulsorily redeem the whole of my/our holding of Shares.
- (lxiii) I/We undertake to promptly notify the Board of Directors for the ICAV, the Investment Manager and/or the Manager of any change from time to time with respect to any information, representations, warranties, covenants, agreements and confirmations provided pursuant to this Application Form to be in compliance with the United States Foreign Account Tax Compliance Act or other applicable laws of any applicable jurisdiction.
- (lxiv) I/We hereby acknowledge and agree that:
 - (a) in addition to any information required to be provided pursuant to this Application Form, I/we shall provide promptly, and update periodically, at any times requested by the ICAV, the Administrator, the Investment Manager and/or the Manager, any information (or verification thereof) the ICAV, the Administrator, the Investment Manager and/or the Manager may deem necessary to comply with any tax disclosure or reporting requirements (the "Tax Disclosure Requirements") imposed under current or future law or regulations, including, without limitation, (A) Sections 1471-1474 of the U.S. Internal Revenue Code of 1986, as amended, and any associated legislation, regulations, forms, instructions or other guidance commonly referred to as the U.S. Foreign Account Tax Compliance Act, the Common Reporting Standard ("CRS") issued by the Organisation for Economic Cooperation and Development ("OECD") and similar legislation, regulations or guidance enacted in any other jurisdiction which seeks to implement similar tax reporting and/or withholding tax regimes; (B) any applicable intergovernmental agreement, treaty, regulation, guidance or any other agreement between (i) Ireland and the United States, the United Kingdom or any other jurisdiction, or (ii) Singapore (or any Singapore governmental body) and the United States (or any United States governmental body), entered into in order to comply with, facilitate, supplement or implement the legislation, regulations, forms, instructions or other guidance described in clause (A) of this paragraph; and (C) any legislation, regulations or guidance in Ireland that gives effect to the matters outlined in clauses (A) and (B) of this paragraph (clauses (A)-(C) of this paragraph,

collectively, "FATCA"). The information required to be provided by this paragraph may include, without limitation, (1) a valid U.S. Internal Revenue Service Form W-8 or other self-certification form required by FATCA, CRS or any other Tax Disclosure Requirements (further details relating to forms in the U.S. Internal Revenue Service Form W-8 series are set out in the Schedule of U.S. Tax Forms, attached hereto), (2) full details regarding (w) me/us, (x) any other person who has an interest, beneficial or otherwise, in the Shares subscribed by me/us, and (y) in the case of the preceding clause (x), the identification of such other persons that are US or UK individuals or entities controlled by US or UK persons; (3) if applicable, my/our "Global Intermediary Identification Number" (within the meaning of FATCA) or other evidence of my/our compliance with FATCA and/or my/our classification for purposes of FATCA; and (4) any other information required by the ICAV to comply with FATCA or any other Tax Disclosure Requirements;

- (b) in addition to any general waiver of confidentiality granted by the me/us pursuant to this Application Form, I/we hereby waive, to the greatest extent permitted by applicable law, any applicable legal rights that would prevent compliance with the Tax Disclosure Requirements, and I/we understand and agree that the ICAV the Administrator, the Investment Manager and/or the Manager (including any of their employees, officers, directors and agents) may furnish any information provided pursuant to paragraph (i) to the Tax Information Authority and to any withholding agent where the provision of that information is required by such agent to avoid the application of any withholding tax on any payments to the ICAV;
 - (c) the Tax Information Authority may be required to automatically exchange information as outlined above with the U.S. Internal Revenue Service ("IRS"), the HM Revenue & Customs ("HMRC") and other foreign fiscal authorities;
 - (d) the ICAV, the Administrator or the Investment Manager and/or the Manager may be required to disclose to the IRS, HMRC and other foreign fiscal authorities certain confidential information when registering with such authorities and if such authorities contact the ICAV, the Administrator or the Investment Manager and/or the Manager with further enquiries, the ICAV, the Administrator or the Investment Manager and/or the Manager (as the case may be) may require me/us to provide additional information and/or documentation which such entity may be required to disclose to the Tax Information Authority or such other authorities;
 - (e) the ICAV, the Administrator or the Investment Manager and/or the Manager are authorised to withhold from any payment to the Investor, or my/our share of any distributions payable to me/us, any taxes, to the extent permitted by applicable laws and regulations;
 - (f) if I/we provide any information or documentation that is in any way misleading, or I/we fail to provide any requested information or documentation, in either case to satisfy the ICAV's obligations under any Tax Disclosure Requirements, the ICAV reserves the right to take any action and/or pursue all remedies at its disposal including, without limitation, compulsory redemption or withdrawal of my/our Shares; and
 - (g) none of the ICAV, the Administrator, the Investment Manager, the Manager or any of their agents or affiliates will be liable for loss (whether direct or consequential and including, without limitation, loss of profit or interest) or damage suffered by any party arising out of or caused in whole or in part by any actions which are taken by the ICAV, the Administrator, the Investment Manager, the Manager or any of their agents or affiliates to comply with the Tax Disclosure Requirements (including, without limitation, those actions referred to in this section).
- (lxv) I/We, hereby acknowledge that by signing and submitting this Application Form, I/We will by applying irrevocably for Shares in the ICAV all subject to the terms of the Prospectus (which I/we have read in full and understood) and

the Instrument of Incorporation of the ICAV.

- (lxvi) I/We, warrant that (1) I/we am/are not, and the Shares applied for will not be held for the benefit of a US person (as defined in Regulation S under the United States Securities Act of 1933, as amended) and (2) I/we will fall within the category of persons described in Article 11(3) of the United Kingdom Financial Services Act 1986 (Investment Advertisements) (Exemptions) Order 1996 or (3) I/We am/are a person who may otherwise lawfully subscribe for Shares in the ICAV.
- (lxvii) In accordance with the provisions of the Data Protection Legislation, I/we are informed that personal data given in this Application Form (or otherwise provided in connection with an application to subscribe for Shares in the ICAV, on application or at any other time, including without limitation my/our name, age, contact details, bank account details, transactions and the invested amount, and any information regarding the dealing in Shares (subscription, conversion, redemption and transfer) (the "Personal Data"), will be collected, recorded, stored, adapted, transferred and processed, by electronic means or otherwise, by the Fund as a "data controller" under the Data Protection Legislation, and as further described in the ICAV's Data Privacy Statement, which is set out in Appendix III hereto and otherwise available upon request.
- (lxviii) I/We agree that the Administrator may process personal data relating to me/us for the purposes of providing services to the ICAV, performing its legal and regulatory obligations and conducting financial crime risk management and other activities, including disclosing those data to the ICAV and to third parties and transferring them internationally.
- (lix) I/We acknowledge that the ICAV intends to take such steps as may be required to satisfy any obligations imposed by (i) the Foreign Account Tax Compliance Act ("FATCA") 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 FATCA or the IGA from 1 July 2014.
- (lxx) Furthermore, I/We hereby acknowledge that the ICAV intends to take such steps as may be required to satisfy any obligations imposed by (i) the OECD's Standard for Automatic Exchange of Financial Account Information in Tax Matters ("the Standard"), which therein contains the Common Reporting Standard, as applied in Ireland by means of the relevant international legal framework and Irish tax legislation and (ii) EU Council Directive 2014/107/EU, amending Directive 2011/16/EU as regards mandatory automatic exchange information in the field of taxation ("DAC2"), as applied in Ireland by means of the relevant Irish tax legislation, so as to ensure compliance or deemed compliance (as the case may be) with the Standard/CRS and the DAC2 from 1 January 2016 (hereafter collectively referred to as "CRS").
- (lxxi) In order for the ICAV to comply with the above FATCA and CRS obligations, I/We agree to provide to the ICAV, 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 ICAV, the Manager, the Investment Manager and the Administrator immediately of any such change and further agree to immediately take such action as the ICAV, the Manager, the Investment Manager and the Administrator may direct, including where appropriate, redemption of our Shares in respect of which such confirmations have become incomplete or inaccurate where requested to do so by the ICAV, the Investment Manager and the Administrator. If relevant, I/we agree to notify the ICAV, the Manager, the Investment Manager, the Administrator of any change to my/our tax residency status. I/we hereby also agree to indemnify and keep indemnified the ICAV, 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 ICAV, the Manager, the Investment Manager and 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 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 ICAV, and that the ICAV and the Depositary 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 ICAV and the Depositary against any loss suffered by them or other Shareholders in the ICAV in connection with any obligation or liability to so deduct, withhold or account.

- (lxxii) I/We agree to waive any provision of any privacy, banking secrecy or other law or regulation of any jurisdiction and/or the terms of any confidentiality agreement, arrangement or understanding that would, absent such a waiver, prevent the ICAV's compliance with FATCA and CRS requirements.
- (lxxiii) I/We hereby acknowledge that I/we should consult my/our own tax advisers about the applicability of FATCA, CRS, DAC6 and any other reporting requirements with respect to my/our own situation.
- (lxxiv) I/We acknowledge that the ICAV intends to take such steps as may be required to satisfy any obligations imposed by Council Directive (EU) 2018/822 (amending Directive 2011/16/EU), as applied in Ireland by means of the relevant Irish tax legislation ("DAC6"). I/We further acknowledge that this may, in specific circumstances, require the ICAV or any party that falls to be considered an "intermediary" for the purposes of DAC6 to exchange certain of my/our information (including details of my/our investment in the ICAV) to the Irish Revenue Commissioners and/or other relevant tax authorities. I/We hereby agree to the transmission of such data by the relevant party to the Irish Revenue Commissioners and/or other relevant tax authorities, as is required to comply with DAC6.
- (lxxv) I/We confirm that we have accurately and correctly completed the relevant self-certification form included at Appendix I and Appendix II. I/We further confirm that if any information included in the self-certification form subsequently becomes inaccurate or incorrect we will notify the ICAV, the Investment Manager and/or the Administrator immediately of any such change and agree to immediately take such action as the ICAV, the Investment Manager and/or the Administrator may direct, including where appropriate, redemption of our Shares.
- (lxxvi) **For completion only by EEA resident investors or subscribers acquiring Shares in the ICAV on behalf of an EEA resident investor:**

Hereby certify that, I/we am/are a professional client within the meaning of Annex II of Directive 2014/65/EU on Markets in Financial Instruments (MiFID Professional Client) or I/we are acquiring Shares in the ICAV on behalf of a MiFID Professional Client. I/we further confirm that I/we shall not make the Shares in the ICAV available to any EEA resident investor which is not a MiFID Professional Client and that I/we shall not transfer any Shares which I/we have acquired in the ICAV to any EEA resident investor which is not a MiFID Professional Client. I/we further confirm that I/we will notify the ICAV, the Manager or the Administrator in writing in the event that I/we or any underlying investor on whose behalf I/we have acquired Shares in the ICAV ceases to be a MiFID Professional Client and I/we agree that I/we may be prohibited from subscribing for additional Shares in the ICAV in such circumstances.

Please indicate the basis of your "Professional Client" status and where applicable that of any underlying investor by completing Section A or Section B below as appropriate in respect of each party.

Section A: Please check one of the below applicable statement or statements:-

- A. ☐ We are required to be authorised or regulated in the financial markets and constitute one of the following entities from the list below (which we understand as including all authorised entities carrying out the characteristic activities of the entities mentioned: entities authorised by a Member State under a directive, entities authorised or regulated by a Member State without reference to a directive, and entities authorised or regulated by a non-Member State:

- ☐ Credit institutions;
- ☐ Investment firms;
- ☐ Other authorised or regulated financial institutions;
- ☐ Insurance companies;
- ☐ Collective investment schemes and management companies of such schemes;
- ☐ Pension funds and management companies of such funds;
- ☐ Commodity and commodity derivatives dealers;
- ☐ Locals;
- ☐ Other institutional investors

Or

- B. ☐ We are a large undertaking meeting at least two of the following size requirements on a company basis:

- ☐ balance sheet total: €20,000,000
- ☐ net turnover; €40,000,000
- ☐ own funds; €2,000,000

Or

- C. ☐ We are a National or regional government, public body that manages public debt at national or regional level, a Central Bank, international or supranational institution such as the World Bank, the IMF, the ECB, the EIB and other similar international organisation.

Or

- D. ☐ We are another institutional investor whose main activity is to invest in financial instruments, including entities dedicated to the securitization of assets or other financing transactions.

Or

Section B: Please check two or more of the following statements have been satisfied by you:

- ☐ I/we have carried out transactions, in significant size, on the relevant market at an average frequency of 10 per quarter over the previous four quarters;
- ☐ The size of my/our financial instrument portfolio, defined as including cash deposits and financial instruments exceeds EUR 500,000;
- ☐ I/we work or have worked in the financial sector for at least one year in a professional position, which requires knowledge of the transactions or services envisaged.

By ticking the box below, the applicant for Shares acknowledges and confirms on its own behalf and where applicable on behalf of any underlying investor that where it is relying on Section B above to constitute a Professional Client under MiFID, it has chosen to be treated as a Professional Client and in this regard has chosen to waive any applicable protections afforded to retail investors by the conduct of business rules under MiFID which may apply to this relationship and is aware of the consequences of losing such protection.

☐

10. DECLARATION OF RESIDENCE OUTSIDE IRELAND *(non-resident composite declaration)*

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

Declaration on own behalf

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

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

*Delete as appropriate

Declaration as Intermediary

I/we* declare that I am/we are* applying for shares/units on behalf of persons:

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

I/we* also declare that:

- unless I/we* specifically notify you to the contrary at the time of application, all applications for shares/units 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/units, becomes resident in Ireland.

*Delete as appropriate

Signature (1) _____

Capacity of Authorised Signatory _____

Name of Authorised Signatory _____

Signature (2) _____

Capacity of Authorised Signatory _____

Name of Authorised Signatory _____

see notes below

IMPORTANT NOTES

1. Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration. The application form including the non-resident declaration may also therefore be disclosed to the Irish Revenue Commissioners.
2. To be valid, the application form (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the applicant. Where there is more than one applicant, each person must sign. If the applicant is a company, it must be signed by the company secretary or another authorised officer.
3. If the application form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, a certified copy of the power of attorney must be furnished in support of the signature.
4. If the applicant is an Exempt Irish Investor (as defined in the Prospectus) it should contact the Administrator who will provide it with the appropriate declaration which must be made to confirm its status.

11. DECLARATION OF RESIDENCE WITHIN IRELAND

Resident Entities Composite Declaration - Declaration referred to in Section 739D(6) of Taxes Consolidation Act, 1997 ("TCA")

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

- I/We declare that the information contained in this declaration is true and correct.
- I/We also declare that I am applying for the shares/units on behalf of the applicant named below who is entitled to the units in respect of which this declaration is made and is a person referred to in Section 739D(6) of the Taxes Consolidation Act, 1997, being a person who is: (please tick ✓ as appropriate):

a pension scheme	
a company carrying on life business within the meaning of Section 706 of TCA	
an investment undertaking	
an investment limited partnership	
a special investment scheme	
a unit trust to which Section 731 (5)(a) of TCA applies	
a charity being a person referred to in section 739D(6)(f)(i) TCA1997	
a qualifying management company	
entitled to exemption from income tax and capital gains tax by virtue of section 784A(2) TCA, 1997 * (see further requirement for Qualifying Fund Manager below)	
a PRSA Administrator	
a credit union within the meaning of section 2 of the Credit Union Act 1997	

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

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

***Delete as appropriate**

Additional Requirements where the declaration as a Qualifying Fund Manager / Personal Retirement Savings Account ("PRSA") Administrator

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

***Delete as appropriate**

Additional requirements where the declaration is completed by an intermediary

- I/We* I/we* also declare that I am/we are* applying for shares/units on behalf of persons who:
 - to the best of my/our* knowledge and belief, have beneficial entitlement to each of the shares/units in respect of which this declaration is made, and
 - is a person referred to in section 739D(6) TCA 1997.
- I/we* further declare that
 - Unless I/we* specifically notify the ICAV or its delegate to the contrary at the time of application, all applications for Shares made by me/us* from the date of this application will be made on behalf of persons referred to in section 739D of TCA; and
 - I/we* will inform the ICAV or its delegate in writing if I/we* become aware that any person ceases to be a person referred to in section 739D(6) of TCA.

***Delete as appropriate**

Name of applicant: _____

Irish tax reference number of applicant: _____

Authorised signatory: _____ (declarant)

Title: (Mr/Ms. Etc.) _____

Capacity in which declaration is made: _____

Date: ____ / ____ / ____

IMPORTANT NOTES

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

APPENDIX I

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 2018). Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an account holder's interests in the Fund, with the Irish tax authorities, the Revenue Commissioners. They in turn may exchange this information, and other financial information with foreign tax authorities, including tax authorities located outside the EU.

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

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

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

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 *)

***Section 1: Account holder Identification**

***Account Holder Name:** _____ (the "Entity")

***Country of Incorporation or Organisation:** _____

***Current (Resident or 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:**

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

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

U.S. TIN: _____ ☐

Or

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

Or

c) The Entity is a **US person but not a Specified U.S. Person** (Please also complete Sections 4 and 5) ☐

Indicate exemption: _____

***Section 3: Entity's FATCA Classification**

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

3.4 Non-Financial Institutions (Non-Foreign Financial 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	<input type="checkbox"/>
II.	Passive Non-Financial Foreign Entity <i>(Please tick the box that applies)</i> I. Passive Non-Financial Foreign Entity with no Controlling Persons that are specified U.S Persons. II. Passive Non-Foreign Financial Entity with Controlling Persons that are specified U.S Persons. <i>(If this box is ticked, please also complete section 6.1 for each of the Controlling Person(s) of the Entity and complete an "Individual (Including Controlling Person(s) Self-certification for FATCA and CRS" form for each Controlling Person(s) as outlined in section 6.2).</i>	<input type="checkbox"/>
III.	Excepted Non-Financial Foreign Entity	<input type="checkbox"/>
IV.	Direct Reporting NFFE <i>Please provide your GIIN</i> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="checkbox"/>

*Section 4: Common Reporting Standard ("CRS") Declaration of Tax Residency (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 and TIN's. <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>.

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 only 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** - 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>.

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. <https://www.revenue.ie/en/companies-and-charities/documents/aeoi/participating-jurisdictions.pdf>.

I.	A Reporting Financial Institution resident in a participating CRS jurisdiction	<input type="checkbox"/>
II.	A Financial Institution Resident in a Non-Participating Jurisdiction. <i>(please also tick the box that applies below)</i> <p><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")</p> <p><input type="checkbox"/> An Investment Entity resident in a Non-Participating Jurisdiction that is not managed by another Financial Institution</p> <p><input type="checkbox"/> Other Financial Institution, including a Depository Financial Institution, Custodial Institution or Specified Insurance Company</p>	<input type="checkbox"/>

III.	Non-Reporting Financial Institution under CRS. Specify the type of Non-Reporting Financial Institution below: <ul style="list-style-type: none"> <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: <hr/>	<input type="checkbox"/>
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5.2 Non-Financial Institutions (Non-Financial Entity/NFE) 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.	Active Non-Financial Entity – a corporation the stock of which is regularly traded on an established securities market. Please provide the name of the established securities market on which the corporation is regularly traded: <hr/>	<input type="checkbox"/>
II.	Active Non-Financial Entity – if you are a Related Entity of a regularly traded corporation. Please provide the name of the regularly traded corporation that the Entity is a Related Entity of: <hr/> Please provide details of the securities market on which the Entity is regularly traded; <hr/>	<input type="checkbox"/>
III.	Active Non-Financial Entity – a Government Entity or Central Bank	<input type="checkbox"/>
IV.	Active Non-Financial Entity – an International Organisation	<input type="checkbox"/>
V.	Active Non-Financial Entity – 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.	Passive Non-Financial Entity – If this box is ticked, please also complete Section 6.1 for each of the Controlling Person(s) of the Entity and a separate "Individual (including Controlling Person's Self-Certification for FATCA and CRS form" as indicated in section 6.2 for each Controlling Person(s))	<input type="checkbox"/>

Section 6: Controlling Persons

NB: Please note that each Controlling Person must complete a separate “Individual (including Controlling Persons) FATCA and CRS 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/>

6.1 Controlling Person(s) of the Account Holder:

If you have ticked a Passive NFE with Controlling Persons in either the FATCA or CRS Classification sections above, then please also complete this section for each of the Controlling Person(s) of the account holder and provide a separate “Individual (including Controlling Persons) FATCA and CRS Self-Certification” form for each Controlling person as per 6.2 below:

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

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

***Authorised Signature(s):**

***Print Name(s):**

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

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

APPENDIX II

Individual (including Controlling Persons) 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 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 2018). 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 and guidance on FATCA or CRS please refer to the Irish Revenue or OECD websites at: <http://www.revenue.ie/en/business/aeoi/index.html> / <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/> in the case of CRS only.

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

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

Section 1, 2, 3 and 5 must be completed by all Account holders or Controlling Persons.

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.

(Mandatory fields are marked with an *)

***Section 1: Account Holder/Controlling Person 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 and Date 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** a U.S. citizen and/or resident in the U.S. for tax purposes and my U.S. federal taxpayer identifying number (U.S. TIN) is as follows:

OR

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

***Section 3: Common Reporting Standard (CRS) Declaration of Tax Residency/Residencies (please 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 on Tax Residence and TINs, please refer to the OECD CRS Information Portal

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>

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

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

Country of 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 an individual who is a Controlling Person of an entity 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 Person(s) please complete a separate “Individual (Including Controlling Persons) Self-Certification for FATCA and CRS form for each Controlling Person.

Please Confirm the type of Controlling Person applicable under CRS that applies to you/the Account holder by ticking the appropriate box	Please tick	Entity Name
Controlling Person of a legal person – control by ownership		
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 and consent to the fact that the information contained in this form and information regarding the Account Holder may be reported to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident where those countries (or tax authorities in those countries) have entered into Agreements to exchange financial account information.

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

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 -<https://www.revenue.ie/en/companies-and-charities/international-tax/aeoi/index.aspx>.

*Authorised Signature: _____

*Print Name: _____

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

*Capacity (if Controlling Person): _____

APPENDIX III

EAMC ICAV DATA PRIVACY STATEMENT

In accordance with the General Data Protection Regulation (697/2016/EU) (the “**GDPR**”) and applicable Irish data protection legislation (currently the Irish Data Protection Acts 1998 to 2018) (collectively, “**Data Protection Legislation**”), EAMC ICAV (the “**ICAV**”) being a data controller, must provide you with information on how the personal data that you provide as part of your subscription for shares in the ICAV will be processed by the ICAV, 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 ICAV acting as a data controller may itself or through third parties (including but not limited to BNP Paribas Fund Administration Services (Ireland) Limited in its capacity as administrator, registrar and transfer agent of the ICAV (the “**Administrator**”), BNP Paribas S.A., Dublin Branch in its capacity as depositary of the ICAV (the “**Depositary**”), Enam Asset Management Company Private Limited in its capacity as investment manager and global distributor of the ICAV (the “**Investment Manager**”), KBA Consulting Management Limited in its capacity as UCITS management company of the ICAV (the “**Manager**”) and together with any sub-distributors that may be appointed from time to time (collectively the “**Distributors**”), local paying agents and mailing firms appointed by any of the foregoing (together the “**Service Providers**”) process your personal information or, to the extent that you are a non-natural person, that of your directors, officers, employees, intermediaries and/or beneficial owners. Save where otherwise expressly provided, any reference in this Data Privacy Statement to “you” or “your” in the context of processing personal data of data subjects shall be understood to mean and relate to the personal data of your directors, officers, employees, intermediaries and/or beneficial owners as the context may require.

In 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 ICAV will be collected, stored, disclosed, used and otherwise processed by the Service Providers, their delegates, duly authorised agents and any of their respective related, associated or affiliated companies on behalf of the ICAV for the purposes outlined in the table below.

Processing Activity by or on behalf of the ICAV	Legal Basis for Processing
Where you are a natural person, opening your account with the ICAV and managing and administering your holdings in the ICAV and any related account on an ongoing basis	Performance of the contract between the ICAV and you
Where you are a natural person, disclosures to third parties such as but not limited to the auditors, regulatory authorities, tax authorities and technology providers in the context of the day to day operations of the ICAV	Performance of the contract between the ICAV and you.
Where you are a non-natural person, disclosures to third parties such as but not limited to the auditors, regulatory authorities, tax authorities and technology providers in the context of the day to day operations of the ICAV	Pursuing the legitimate interests of the ICAV in managing and administering the holdings of the non-natural person in the ICAV and any related account on an ongoing basis.
Complying with any applicable Irish or non-Irish legal, tax or regulatory obligations imposed on the ICAV or any Fund of the ICAV including legal obligations under investment funds law (such as inter alia the Irish UCITS Regulations and CBI UCITS Regulations), under tax law and under anti-money	Compliance with a legal obligation to which the ICAV or any Fund of the ICAV is subject.

laundering / counter terrorist financing legislation.	
Carrying out statistical analysis and market research for the following purposes:	Pursuing the legitimate interests of the ICAV.
(i) Recording, maintaining, storing and using recordings of telephone calls and electronic communications that you make to and receive from the ICAV, 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 ICAV, dispute resolution, record keeping, security and/or training purposes; and	
(ii) direct marketing purposes relating to other funds of the ICAV.	

Please note that where personal data is processed for purposes of legitimate interests, you have a right to object to such processing and the ICAV 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.

Each of the Administrator and the Depositary, being members of the BNP Paribas Group, and any of their respective related, associated or affiliated companies may process your personal data as a data controller for the purposes and legal basis as set out in its Data Protection Notice which can be found at <https://www.bnpparibas.ie/en/data-protection/#:~:text=BNP%20Paribas%20takes%20data%20privacy,respect%20for%20the%20entire%20Group>.

The Manager and its affiliates may also collect, store, disclose, use or otherwise process your personal data in its capacity as a data controller for the purposes outlined below:

- (a) using such personal data in order to comply with its own legal obligations under relevant anti-money laundering/counter-terrorist financing laws or other legislation or regulation;
- (b) to improve the delivery of service to its clients (business analysis, training and related purposes) in pursuit of its legitimate interests; and
- (c) for the purposes of the establishment, exercise or defence of legal claims brought against the Manager in pursuit of its legitimate interests.

For further information in relation to how the Manager processes your personal data please refer to their Data Protection Notice at <https://kbassociates.ie/data-protection-notice/>.

In circumstances where the Administrator, the Depositary or the Manager acts as a data controller in respect of the information that has been provided to it by you, all rights afforded to you as a data subject under the GDPR shall be exercisable by you solely against the Administrator, the Depositary or the Manager.

Profiling and Screening

The ICAV 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 anti-money laundering and counter terrorist financing legislation and with UN, EU and other applicable sanctions regimes. The implementation of such PEP and financial sanctions screening programmes may result in the ICAV or its Service Providers refusing an application for Shares in the ICAV 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 ICAV or its Service Providers.

Undertaking in connection with other parties

By accepting to provide personal data to the ICAV, you undertake to be authorised to disclose to the ICAV 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 ICAV. 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 ICAV and its or their duly appointed agents and any of related, associated or affiliated companies within any Service Provider group(s) for the purposes specified above.

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

The ICAV 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 India, Asia Pacific countries and the Americas.

Where a transfer of personal data outside of the EEA takes place, the ICAV is obliged to ensure in advance of such transfer that appropriate safeguards have been put in place to protect the privacy and integrity of such personal data (as detailed in Articles 45, 46 and 47 of GDPR), for example the implementation of binding corporate rules between companies within any Service Provider group(s) and/or ensuring the implementation of model contracts by the Service Providers and their affiliates. Please contact BNP Paribas at email gdpd.desk.cib@bnpparibas.com or the Manager at email DataProtection@kbaassociates.ie should you wish to obtain information concerning such safeguards entered into by or on behalf of the ICAV.

In the absence of such safeguards, the ICAV is only permitted to transfer such data pursuant to certain derogations in accordance with Article 49 of GDPR, for example where a data transfer to a non-EEA country is necessary for the performance of the contract between the data controller and the data subject provided the transfer of data is occasional. In this context, it may be necessary for certain personal data to be transferred by or on behalf of the ICAV to:

- (i) the Securities and Exchange Board of India (“SEBI”) or any third party licensed by SEBI to receive such data (including inter alia the designated depository in India and/or any Indian KYC Registration Agent) in order that a Fund may invest in Indian securities in accordance with the conditions of a foreign portfolio investor (“FPI”) approval granted to that Fund by SEBI; and
- (ii) the Central Board of Direct Taxes of the Indian Government Ministry of Finance in accordance with the conditions of any approval granted by the CBDT to a Fund pursuant to Section 9A of the Income Tax Act 1961 of India permitting a Fund to be managed on a discretionary basis by an Indian investment manager without the Fund being deemed to have a business connection in India thereby facilitating the appointment of the Indian investment manager as disclosed in the Prospectus or relevant Fund supplement to that Fund.

Data Retention Period

The ICAV and its appointed Service Providers will retain all information and documentation provided by you in relation to

your investment in the ICAV 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 ICAV infringes the GDPR.
- (iv) You have a right to be forgotten (right of erasure of personal data).
- (v) You have a right to restrict processing.
- (vi) You have a right to data portability.
- (vii) You also have the right to object to processing where personal data is being processed for direct marketing purposes and also where the ICAV is processing personal data for legitimate interests.

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

The ICAV or the applicable 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 ICAV or the applicable 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 ICAV 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 ICAV.

Updates to the Data Privacy Statement

A copy of this Data Privacy Statement any updates thereto can be accessed at <https://www.waystone.com/kba-consulting-management-ltd/eamc-icav/>.

Contact us

If you have any questions about our use of your personal data by the ICAV and the Service Providers, please contact the Manager at the following email address/using the following contact telephone number:

Telephone: +353 1 901 1671

Email Queries: DataProtection@kbassociates.ie.

APPENDIX IV

CLIENT IDENTIFICATION REQUIREMENTS

It is important to note that the appropriate Client Identification documents must be received as part of the completed Application Form. Failure to fully satisfy the Fund's and the Administrator's Client Identification requirements may result in an application being delayed to a later Dealing Day and may even result in the application being rejected. The Fund and the Administrator reserve the right to amend and/or supplement the following requirements from time to time where there is a change in regulations and/or industry best practices.

There are two methods by which you can be cleared for Anti Money Laundering ("AML") purposes

1) Simplified Customer Due Diligence

Introduction via Regulated Financial Institutions from an equivalent Jurisdiction.

2) Customer Due Diligence (Know Your Customer)

- Approved Jurisdictions
- Non Approved Jurisdictions/Other Risk Nexus

CONTACT DETAILS FOR ASSISTANCE:

If your entity type is not mentioned specifically, or we can be of any assistance in ensuring that you return the appropriate documents, please do not hesitate to contact us.

Investor Services

Telephone: + 353 1 607 1800

Email: bnpafsamlinvestorservices@bnpparibas.com

INDEX:**➤ Simplified Customer Due Diligence**

- **Introduction via Letter of Undertaking - Regulated Financial Institution**
- **Beneficial Ownership Declaration**

(Equivalent Jurisdiction within the equivalent country listing)

Please refer to Section 1(a) and Section 1(c)

- **Introduction via Letter of Undertaking – Nominee**

- **Beneficial Ownership Declaration**

(Equivalent Jurisdiction within the equivalent country listing)

Please refer to Section 1(b) and Section 1(c)

➤ Customer Due Diligence

- Individual Investors - please refer to Section 2
- Corporate Entities - please refer to Section 3
- Trusts - please refer to Section 4
- Partnerships - please refer to Section 5
- Charities / Foundations - please refer to Section 6
- Pensions - please refer to Section 7
- Source of Funds Declaration – please refer to Section 8
- Beneficial Ownership Declaration – please refer to Section 9

Documentation should be submitted to the Administrator in certified/notarized format, noting that the original certified/notarized documentation needs to be submitted by those falling into the Non-Approved jurisdiction or other increased risk factor.

Certification/notarisation of documentation is acceptable from; a notary public, lawyer, solicitor, chartered accountant, company secretary, member of the FATF police force, judiciary member or authorised person from a regulated institution evidenced by a stamp/ seal /licence number.

All documentation should be certified/notarised evidenced by a stamp/ seal /licence number.

SECTION 1 SIMPLIFIED CUSTOMER DUE DILIGENCE

Section 1 (a)

Letter of Introduction from a designated body in an *EU Member state or equivalent jurisdiction.

(Please print on letterhead of FI, IA or Fund Admin providing the R&W letter to BNP Paribas Fund Administration Services Ireland Limited, herein referred to as ("BNPP"))

To: BNP Paribas Fund Administration Services (Ireland) Ltd
Termini, 3 Arkle Road
Sandyford
Dublin D18 T6T7
Ireland

Attn: Investor Services Department

Re: **[Insert full legal name of the FI, IA or Fund Admin making the representations and warranties]**
Anti-Money Laundering and Client Identification Representations and Warranties

To Whom It May Concern

[Insert full Legal name of regulated institution] acts as **[delete as appropriate applicable relationship eg: Administrator, Nominee, Custodian, Manager, Trustee, Bank]** to **[insert investors name]** to investment funds for which you act as Administrator.

[insert regulated institution] is organised under the laws of **[insert country]**. **[insert regulated institution name]** has its principal address at **[insert address]** and is regulated by **[insert regulatory body]** for the purposes of combating money laundering and terrorist financing.

Applicable to US regulated entities only:

We **[insert full legal name of regulated institution]** has AML policies and procedures in place in accordance with the US PATRIOT Act.

Regulatory Licence no **[insert here]**

In connection with every account introduced to your firm, we make the following representations and warranties.

- We confirm that due diligence has been performed on the direct and indirect investors into the fund including ultimate beneficial owners¹.
- We confirm that we obtain identification and verification documentation and that the names and addresses of each investor (and where applicable, their beneficial owners) are kept on file for at least 5 years following the cessation of our relationship with the introduced investor.
- We confirm that, as far as we are aware, the investor funds are derived from legitimate business activities and legitimate sources and that the activities would not contravene applicable money laundering laws, regulations & conventions.
- If we identify any unusual or suspicious activity on the part of a fund client or its investors which lead us to suspect criminal conduct or money laundering we report this to the relevant reporting authority and to BNP Paribas as permitted by applicable law.
- We have customer due diligence measures in place to identify and verify the identity of the introduced investor(s) (and where applicable their beneficial owners) and, where appropriate, enhanced due diligence measures where there is an increased risk of money laundering eg; Politically Exposed Persons.
- We confirm that we have policies, procedures and control in place that prohibits doing business with shell banks.
- We have policies, procedures and control in place not to do business with investors/beneficial owners that are on the OFAC list and any other applicable sanction list.

- We agree to provide BNPP promptly upon request, all information that is necessary or appropriate to comply with applicable laws and regulations.
- In the event of any inquiry from the relevant regulator or a competent law enforcement agency, we agree to provide BNPP's MLRO with all the information that is necessary to satisfy the request.
- We confirm that the undersigned is duly authorized by us to provide this letter.

Sincerely,

Signature _____

Print Name: _____

Title: _____

Date: _____

¹ Please complete "Declaration of Beneficial Ownership to accompany this letter

Section 1 (b)

Letter of Introduction from a designated body in an *EU Member state or equivalent jurisdiction for a Nominee

(Please print on letterhead of Parent Company providing the letter to BNP Paribas Fund Administration Services Ireland Limited, herein referred to as (“BNPP”))

To: BNP Paribas Fund Administration Services (Ireland) Ltd
Termini, 3 Arkle Road
Sandyford
Dublin D18 T6T7
Ireland

Attn: Investor Services Department

Re: **[Insert full legal name of the FI, IA or Fund Admin making the representations and warranties]**
Anti-Money Laundering and Client Identification Representations and Warranties

To Whom It May Concern:

[Insert full Legal name of Nominee Company] is a wholly owned subsidiary of **[insert full legal name of regulated institution]** licensed and regulated by **[insert regulatory body]**.

[insert full legal name of nominee company] conducts customer due diligence in accordance with the policies and procedures set out by its parent company, a regulated institution. **[insert full legal name of nominee] acts as [Nominee, Custodian, Manager, Trustee, Bank]** to **[insert investors name]** to investment funds for which you act as Administrator.

[insert regulated institution] is organised under the laws of **[insert country]**.

Applicable to US regulated entities only:

We **[insert full legal name of regulated institution]** has AML policies and procedures in place in accordance with the US PATRIOT Act.

[insert regulated institution name] has its principal address at **[insert address]** and is regulated by **[insert regulatory body]** for the purposes of combating money laundering and terrorist financing.

Regulatory Licence no **[insert here]**

In connection with every account introduced to your firm, we make the following representations and warranties.

- We confirm that due diligence has been performed on the direct and indirect investors into the fund including ultimate beneficial owners¹.
- We confirm that we obtain identification and verification documentation and that the names and addresses of each investor (and where applicable, their beneficial owners) are kept on file for at least 5 years following the cessation of our relationship with the introduced investor.
- We confirm that, as far as we are aware, the investor funds are derived from legitimate business activities and legitimate sources and that the activities would not contravene applicable money laundering laws, regulations & conventions.
- If we identify any unusual or suspicious activity on the part of a fund client or its investors which lead us to suspect criminal conduct or money laundering we report this to the relevant reporting authority and to BNP Paribas as permitted by applicable law.
- We have customer due diligence measures in place to identify and verify the identity of the introduced investor(s) (and where applicable their beneficial owners) and,

- where appropriate, enhanced due diligence measures where there is an increased risk of money laundering eg; Politically Exposed Persons.
- We confirm that we have policies, procedures and control in place that prohibits doing business with shell banks.
- We have policies, procedures and control in place not to do business with investors/beneficial owners that are on the OFAC list and any other applicable sanction list.
- We agree to provide BNPP promptly upon request, all information that is necessary or appropriate to comply with applicable laws and regulations. In the event of any inquiry from the relevant regulator or a competent law enforcement agency, we agree to provide BNPP's MLRO with all the information that is necessary to satisfy the request.
- We confirm that the undersigned is duly authorized by us to provide this letter.

Sincerely,

Signature _____

Print Name: _____

Title: _____

Date: _____

¹ Please complete "Declaration of Beneficial Ownership to accompany this letter

Section 1 (c)**Declaration of Beneficial Ownership from a designated body in an *EU Member state or equivalent jurisdiction for a Financial Intermediary/Nominee****Declaration of Beneficial Ownership**

For the purposes of this document the investor is considered the Financial Intermediary/Nominee named on the Shareholder Register.

Please tick one of the below boxes and complete the relevant section:

- ☐ We confirm there is a natural person(s) who is a beneficial ownerⁱ of the investor. (Please complete section 1 below of this declaration).
- ☐ We confirm there is no natural person(s) who is a beneficial ownerⁱ of the investor. (Please complete section 2 of this declaration).

Section 1: Natural person(s) who is a beneficial owner of the investor**Beneficial Owner 1** (please complete in block capitals)

Full Name	Identification Number	Occupation
Date of Birth (DD-MM-YYYY)	Place of Birth	Nationality
Percentage %		
Registered Address (PO or C/O will not be accepted)		
City, Town, State, Province or County	Postal/ZIP Code	Country

Beneficial Owner 2 (please complete in block capitals)

Full Name	Identification Number	Occupation
Date of Birth (DD-MM-YYYY)	Place of Birth	Nationality
Percentage %		
Registered Address (PO or C/O will not be accepted)		
City, Town, State, Province or County	Postal/ZIP Code	Country

Beneficial Owner 3 (please complete in block capitals)

Full Name	Identification Number	Occupation
Date of Birth (DD-MM-YYYY)	Place of Birth	Nationality
Percentage %		
Registered Address (PO or C/O will not be accepted)		
City, Town, State, Province or County	Postal/ZIP Code	Country

If needed, please add additional natural person(s) who are beneficial owners on a separate sheet

Section 2: No natural person(s) who is a beneficial owner¹ of the investor

In the event where no natural person falls under the above scenario, the senior managing official(s) of the subscribing entity will be recorded as the Beneficial Owner.

In completing the below, we confirm we have read and understood the above definition and we have provided below details of a senior managing officials who should be recorded as the Beneficial Owner(s).

Senior managing official details (please complete in block capitals)

Full Name

Date of Birth (DD-MM-YYYY)	Place of Birth	Nationality
Registered Address (PO or C/O will not be accepted)		Title
City, Town, State, Province or County	Postal/ZIP Code	Country

If needed, please add additional senior managing official(s) on a separate sheet

Further information which may be required in order to verify the information provided above will be requested as required.

¹ Definition of a Beneficial Owner:

Article 3 of AMLD4 defines a beneficial owner as meaning any natural person(s) who ultimately owns or controls the customer and/or the natural person(s) on whose behalf a transaction or activity is being conducted and includes at least: .

(a) in the case of corporate entities:

- (i) the natural person(s) who ultimately owns or controls a legal entity through direct or indirect ownership of a sufficient percentage of the shares or voting rights or ownership interest in that entity, including through bearer shareholdings, or through control via other means, other than a company listed on a regulated market that is subject to disclosure requirements consistent with Union law or subject to equivalent international standards which ensure adequate transparency of ownership information. A shareholding of 25 % plus one share or an ownership interest of more than 25 % in the customer held by a natural person shall be an indication of direct ownership. A shareholding of 25 % plus one share or an ownership interest of more than 25 % in the customer held by a corporate entity, which is under the control of a natural person(s), or by multiple corporate entities, which are under the control of the same natural person(s), shall be an indication of indirect ownership
- (ii) if, after having exhausted all possible means and provided there are no grounds for suspicion, no person under point (i) is identified, or if there is any doubt that the person(s) identified are the beneficial owner(s), the natural person(s) who hold the position of senior managing official(s), the obliged entities shall keep records of the actions taken in order to identify the beneficial ownership under point (i) and this point;

(b) in the case of trusts:

- (i) the settlor; (ii) the trustee(s); (iii) the protector, if any; (iv) the beneficiaries, or where the individuals benefiting from the legal arrangement or entity have yet to be determined, the class of persons in whose main interest the legal arrangement or entity is set up or operates; (v) any other natural person exercising ultimate control over the trust by means of direct or indirect ownership or by other means;

(c) in the case of legal entities such as foundations, and legal arrangements similar to trusts, the natural person(s) holding equivalent or similar positions to those referred to in point (b);

SECTION 2 INDIVIDUAL / PRIVATE INVESTORS

Section 2 (a) – Individual / Private Investors in an approved jurisdiction

The following documentation is required;

- Certified Copy of an in-date Passport, National Identity Card, or Driver's Licence.
- Certified Copy of One Utility Bill issued within last 6 months
- Source of Funds

Section 2 (b) – Individual / Private Investors in a non-approved jurisdiction

The following documentation is required;

- Original/ Original Certified Copy of an in-date Passport, National Identity Card, or Driver's Licence.
- Original / Original Certified Copy of Two Utility Bill issued within last 6 months
- Source of Wealth Declaration to include supporting documentation.
- Source of Funds

SECTION 3 CORPORATE ENTITIES

Section 3(a) – Corporate Entity (PLC)

Listed Corporate Investor (PLC) within a prescribed country listing

- Proof of listed status from a recognised Stock Exchange in an EU member state or equivalent jurisdiction
- Application Form is in the name of the Listed Corporate Investor (PLC) investing own funds
- Authorised Signatory List

Section 3 (b) - Private Corporate Investors within an approved jurisdiction

- Certified copy of Certificate of Incorporation
- Certified copy of the Memorandum and Articles of Association
- Certified copy of Register of Directors
- Verify the identity of at least two directors/Senior Managing Officials or one director and one authorised signatory per the requirements for an individual investor.
- Certified copy of Authorised Signatory List on company headed paper, duly authenticated.
- Certified copy of register of Shareholders/ Members
- Identify (i.e. obtain details of) the ultimate beneficial owner(s) who owns/controls 25% plus 1 share or more – **Complete Section 9**
- Source of Funds – **Complete Section 8**

Section 3 (c) - Private Corporate Investors within a non-approved jurisdiction

- Original/ Original certified copy / of Certificate of Incorporation
- Original/ Original certified copy of the Memorandum and Articles of Association
- Original / Original certified copy of Register of Directors
- Verify the identity of at least *two directors/Senior Managing Officials or one director and one authorised signatory per the requirements for an individual investor.
- Original/ Original certified copy of authorised signatory list on company headed paper, duly authenticated.
- Original/ Original certified copy of register of Shareholders/ Members
- Verify the identity of the ultimate beneficial owner(s) who owns/controls 25% plus 1 share or more in line with the requirements for that entity - **Complete Section 9**
- Source of Wealth Declaration to include supporting documentation.- **Forms on request**
- Source of Funds - **Complete Section 8**

SECTION 4 TRUSTS

Section 4 (a) Private Trusts an approved jurisdiction

- Certified copy of the Trust Deed
- Names of any protector or controller or settlor
- Verify the identity of two Trustees (in accordance with requirements for individuals) or one Trustee and one authorised signatory.
- List of all beneficiaries of the trust. (Where the beneficiary is a corporate entity obtain details of the ultimate beneficial owner). - **Complete Section 9**
- Certified copy of the authorised signature list for the Trustees.
The persons named in the authorised signature list should be detailed in the Trust document or constitutional documents. If this is not present, or the signer is a person other than the Trustee, then an appropriate empowering document must support the application.
- Source of Funds - **Complete Section 8**

Section 4 (b) Private Trusts within a non-approved jurisdiction

- Original/ Original Certified copy of the Trust Deed
- Verify the identify of any protector or controller or settlor
- Verify the identity of two Trustees (in accordance with requirements for individuals) or one Trustee and one authorised signatory.
- Verify the identity of all beneficiaries of the trust. - **Complete Section 9**
- Original or Original Certified copy of the authorised signature list for the Trustees.
The persons named in the authorised signature list should be detailed in the Trust document or constitutional documents. If this is not present, or the signer is a person other than the Trustee, then an appropriate empowering document must support the application.
- Nature of the Trust Arrangement
- Source of Wealth of the grantor to include supporting documentation
- Source of Funds - **Complete Section 8**

SECTION 5 PARTNERSHIPS

Section 5 (a) Partnerships in an approved jurisdiction

- Certified copy of the partnership agreement or appropriate excerpts (for the general partnership) or constitutional documents for Limited Partnership in line with Corporate entity requirements)
- Verify the identity of two partners, or one partner and one authorised signatory, to the formal arrangement based on entity type.
- List all the beneficiaries of the Partnership - where the beneficiary is a corporate entity, details of the ultimate beneficial owner of that entity are required to include significant controllers. - **Complete Section 9**
- Certified copy of the authorised signatory list for the Partners. *If a party other than the authorised Partners are signing on the account, an original/ certified copy of the appropriate empowering document must also be provided to demonstrate how this third party has authority to sign.*
- Source of Funds - **Complete Section 8**

Section 5 (b) Partnerships in a non-approved jurisdiction

- Original or original certified copy of the partnership agreement or appropriate excerpts (for the general partnership) or constitutional documents for Limited Partnership in line with Corporate entity requirements)
- Verify the identity of two partners, or one partner and one authorised signatory, to the formal arrangement based on entity type.
- List all the beneficiaries of the Partnership
- Verify the identity of the ultimate beneficial owner (to include significant controllers) in line with the requirements for that entity type. - **Complete Section 9**
- Original or certified copy of the authorised signatory list for the Partners. *If a party other than the authorised Partners are signing on the account, an original/ certified copy of the appropriate empowering document must also be provided to demonstrate how this third party has authority to sign.*
- Source of Wealth
- Source of Funds- **Complete Section 8**

SECTION 6 CHARITIES/ FOUNDATIONS

Section 6 (a) Registered Charities/ Foundations in an equivalent jurisdiction.

- Certified copy of the approval from the Tax Authorities.
- Certified copy of the authorised signatory list.
A certified copy of the constitutional documents specifying who may sign or authorise persons to sign on the account. Alternatively, an original /certified copy of the resolution / minutes appointing the authorised signatory.
The person signing the resolution / minutes must be an approved person in the constitutional document / or equivalent.
- Certified copy of the constitutional documents specifying who may sign or authorise persons to sign on the account.
- Obtain a copy of the resolution/ minutes appointed the authorised signatory. The persons signing the resolution/ minutes must be an approved person in the constitutional document or equivalent.
- Source of Funds- **Complete Section 8**

Section 6 (b) Unregistered Charities/ Foundations in a non approved jurisdiction

- Original/ Original certified copy of the Constitutional / Formation document
- Names of Trustees/ Directors/ Governors or equivalent
- Verify the identity of the Two Trustees/ Directors/Board Member or equivalent or one Trustee/ Directors/Board Member and an authorised signer (per requirements for an individual investor).
- Names of beneficiaries and the supporting AML documentation in line with the entity type. Example Individual / Corporate. - **Complete Section 9**
- Original or Original certified copy of the authorised signatory list.
The authorised signatory list should be supported with a certified copy of the empowering document specifying who may sign or authorised persons to sign on the account.
- If a third party is signing on the account, verification documents of the third party must be submitted (per requirements for an individual / entity type) and a supporting resolution, duly authorised by an approved person in the constitutional document or equivalent.
- Original/ Original certified copy of audited accounts
- Source of Wealth
- Source of Funds - **Complete Section 8**

SECTION 7 PENSIONS

Section 7 (a) – Pensions in an approved jurisdiction

- Certified copy of the Revenue Commissioners approval or certified copy of the Tax approval for the Pension.
- Certified copy of the Constitution / Formation document (Pension Trust Deed).
- List Names of Administrator/ Trustee/ Controller/ Employer or equivalent
- Certified copy of the authorised signatory list for the Trustees.
The persons named in the authorised signatory list should be detailed in the Pension Trust document or constitutional documents. If this is not present, or the signer is a person other than the Trustee, then an appropriate empowering document must support the application.
- Source of Funds- **Complete Section 8**

Section 7 (b) - Pensions in a non-approved jurisdiction

- An original/ original certified copy of the Revenue Commissioners approval or certified copy of the Tax approval for the Pension.
- An original / original certified copy of the Constitution / Formation document (Pension Trust Deed).
- Verify the identity of Administrator/ Trustee/ Controller/ Employer or equivalent
- Original / original certified copy of the authorised signatory list for the Trustees.
The persons named in the authorised signatory list should be detailed in the Pension Trust document or constitutional documents. If this is not present, or the signer is a person other than the Trustee, then an appropriate empowering document must support the application.
- Source of Wealth Declaration and supporting documentation
- Source of Funds- **Complete Section 8**

SECTION 8 SOURCE OF FUNDS DECLARATION

Note: If an approved designated body supplies supporting documentation to confirm the source of funds from their underlying investor, BNPAS can accept a signed Source of funds declaration from the designated body as opposed to receiving this from the underlying investor.

The designated body may seek to independently validate the declaration by requesting supporting documentation.

***Source of Funds refers to how the money to be invested was generated (origin) and the means of transfer. Please indicate the source of funds to be invested:**

Investor Name: *[to be completed]* _____

Address: *[to be completed]* _____

Account number: *[to be completed]* _____

I hereby confirm that the investment into *[insert fund name]* _____

**Originated from:
Please complete applicable section**

A) Employment Income ☐ Yes ☐ N/a

- ¹Job Description: _____
- ¹Nature of Employer's business _____

B) Inheritance ☐ Yes ☐ N/a

- ¹Nature of Employer's business _____
- ¹Relation to benefactor _____
- ¹Date inheritance received _____
- ¹Amount received _____

C) Sale of Real Estate ☐ Yes ☐ N/a

- ¹Date property was sold: _____
- ¹Sale Amount: _____

D) Sale of Securities/ Investment ☐ Yes ☐ N/a

- ¹Type of security: _____
- ¹Date of sale: _____
- ¹How long investment(s) were held: _____

E) Other ☐ Yes ☐ N/a

Please specify: _____

- ¹Other types of source of funds include the following:
- ¹Loans received. Copy of Loan Agreement duly certified by a suitable persons maybe requested
- ¹Gifts received. Letter from donor confirming details of gift and acknowledging source of donated funds. maybe requested.
- ¹Competition or gambling win. Letter from relevant organisation (Betting office, Casino) or copy of media coverage if appropriate maybe requested.
- ¹Compensation payment. Letter / court order from compensating body or solicitor's letter maybe requested.
- ¹Company profits. A copy of a dividend statement maybe requested.
- ¹Maturing investments or encashment claim. A letter/ contract note from previous investment company giving notification of proceeds to be provided may be requested.
- ¹Sale of a company or sale of an interest in a company. A signed letter from a solicitor, or accountant, or copies of media coverage if applicable maybe requested.
- ¹For Sovereign Wealth Funds, certified copy of audited financials or appropriate on line back up maybe requested.

SOURCE OF FUNDS DECLARATION**Declaration**

I hereby declare that the funds used to fund my investment with you originate as per the information given above, and are made on my own behalf and are not on behalf of a third party.

¹We may seek to independently validate the declaration by requesting supporting documentation.

Fund Name: _____ **Applicant Name:** _____

Signature: _____

Signature of Applicant/ Signature of authorised person of designated body on behalf of applicant

Printed Name of above specimen: _____

Regulated / Licence number (if Applicable): _____

Date: _____

**Criminal Justice Act 2010-2021 Section 37 (4) (b)*

Section 9 Declaration of Beneficial Ownership

Declaration of Beneficial Ownership

Please tick one of the below boxes and complete the relevant section:

- ☐ We confirm there is a natural person(s) who is a beneficial ownerⁱⁱ of the investor. (Please complete section 1 below of this declaration).
- ☐ We confirm there is no natural person(s) who is a beneficial ownerⁱ of the investor. (Please complete section 2 of this declaration).

Section 1: Natural person(s) who is a beneficial owner of the investor

Beneficial Owner 1 (please complete in block capitals)

Full Name	Identification Number	Occupation
Date of Birth (DD-MM-YYYY)	Place of Birth	Nationality
Percentage %		
Registered Address (PO or C/O will not be accepted)		
City, Town, State, Province or County	Postal/ZIP Code	Country

Beneficial Owner 2 (please complete in block capitals)

Full Name	Identification Number	Occupation
Date of Birth (DD-MM-YYYY)	Place of Birth	Nationality
Percentage %		
Registered Address (PO or C/O will not be accepted)		
City, Town, State, Province or County	Postal/ZIP Code	Country

Beneficial Owner 3 (please complete in block capitals)

Full Name	Identification Number	Occupation
Date of Birth (DD-MM-YYYY)	Place of Birth	Nationality
Percentage %		
Registered Address (PO or C/O will not be accepted)		
City, Town, State, Province or County	Postal/ZIP Code	Country

If needed, please add additional natural person(s) who are beneficial owners on a separate sheet

Section 2: No natural person(s) who is a beneficial ownerⁱ of the investor

In the event where no natural person falls under the above scenario, the senior managing official(s) of the subscribing entity will be recorded as the Beneficial Owner.

In completing the below, we confirm we have read and understood the above definition and we have provided below details of a senior managing officials who should be recorded as the Beneficial Owner(s).

Senior managing official details (please complete in block capitals)

Full Name

Date of Birth (DD-MM-YYYY)	Place of Birth	Nationality
Registered Address (PO or C/O will not be accepted)		Title
City, Town, State, Province or County	Postal/ZIP Code	Country

If needed, please add additional senior managing official(s) on a separate sheet

Further information which may be required in order to verify the information provided above will be requested as required.

¹ Definition of a Beneficial Owner:

Article 3 of AMLD4 defines a beneficial owner as meaning any natural person(s) who ultimately owns or controls the customer and/or the natural person(s) on whose behalf a transaction or activity is being conducted and includes at least: .

(a) in the case of corporate entities:

(i) the natural person(s) who ultimately owns or controls a legal entity through direct or indirect ownership of a sufficient percentage of the shares or voting rights or ownership interest in that entity, including through bearer shareholdings, or through control via other means, other than a company listed on a regulated market that is subject to disclosure requirements consistent with Union law or subject to equivalent international standards which ensure adequate transparency of ownership information. A shareholding of 25 % plus one share or an ownership interest of more than 25 % in the customer held by a natural person shall be an indication of direct ownership. A shareholding of 25 % plus one share or an ownership interest of more than 25 % in the customer held by a corporate entity, which is under the control of a natural person(s), or by multiple corporate entities, which are under the control of the same natural person(s), shall be an indication of indirect ownership

(ii) if, after having exhausted all possible means and provided there are no grounds for suspicion, no person under point (i) is identified, or if there is any doubt that the person(s) identified are the beneficial owner(s), the natural person(s) who hold the position of senior managing official(s), the obliged entities shall keep records of the actions taken in order to identify the beneficial ownership under point (i) and this point;

(b) in the case of trusts:

(i) the settlor; (ii) the trustee(s); (iii) the protector, if any; (iv) the beneficiaries, or where the individuals benefiting from the legal arrangement or entity have yet to be determined, the class of persons in whose main interest the legal arrangement or entity is set up or operates; (v) any other natural person exercising ultimate control over the trust by means of direct or indirect ownership or by other means;

(c) in the case of legal entities such as foundations, and legal arrangements similar to trusts, the natural person(s) holding equivalent or similar positions to those referred to in point (b);

EAMC ICAV

an open-ended umbrella type Irish collective asset-management vehicle with limited liability and segregated liability between sub-funds (the "ICAV")

Additional Subscription / Application Form

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

Subsequent applications may be made by facsimile or by email.

Please return to:

The Administrator:
BNP Paribas Fund Administration Services (Ireland) Limited,
Termini, 3 Arkle Road, Sandyford, Dublin, D18 T6T7, Ireland
Fax: +353 161 25091
Email: afsinvestorservices.ie@bnpparibas.com
Phone: +353 1 612 6400

Agent Code: _____

Sub-Agent Code: _____

Shareholders name: _____

Acct ID: _____

We hereby irrevocably subscribe such amount as set out below in the class (the "Class") of shares of the Enam India Opportunities Fund (the "Shares")
 (please insert subscription amount in the relevant box)

Currency	Class of Shares	ISIN	Value of Subscription
USD	Class A USD	IE000016ESL7	
USD	Class B USD	IE000JOF0403	
USD	Class C USD	IE00079L4NS9	
EUR	Class A EUR	IE000M7TW0M4	
EUR	Class B EUR	IE000FRDTB16	
EUR	Class C EUR	IE000BBQN971	

Note: Minimum initial subscription amounts and other information in relation to each class are detailed in the relevant supplement to the Prospectus.

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

PLEASE NOTE:

- Monies must originate from the account of the investor.
- Failure to complete these details accurately and in accordance with the original signed Application Form and forward monies within the relevant settlement time scale may result in the loss of good value and an interest claim from the ICAV.
- I/We confirm that I/we have the authority to make this investment.

- I/We confirm that I/We have received and read the information contained in this form and confirm that a copy of the Key Investor Information Document ("KIID") has been supplied to me/us in good time prior to making the application for shares in the ICAV. I/We confirm that I/We have read the KIID and reviewed and understood the nature and the risks of the investment products that are being offered to me/us, and that any future investments to any other sub-fund of the ICAV ("Fund") or share class of the ICAV ("Share Class") can also be transacted based on this confirmation. I/We hereby acknowledge and agree that the updated KIID for each Share Class is available at <https://www.waystone.com/kba-consulting-management-ltd/eamc-icav/>.and that I/we will read and review the most up-to-date version of the relevant KIID prior to making any subsequent application for shares in the ICAV.
- I/We hereby agree that none of the ICAV, the Manager, the Investment Manager, the Administrator or the Depositary or any of their respective directors, officers, employees or agents will be responsible or liable for the authenticity of instructions from me/us reasonably believed to be genuine and shall not be liable for any losses, costs or expenses arising out of or in conjunction with any unauthorised or fraudulent instructions.

Authorised Signatories

Print Name

Signatory 1

Signatory 2

Signatory 3

Signatory 4

Date

REDEMPTION FORM**EAMC ICAV (THE "ICAV")****Date:** _____

EAMC ICAV

c/o

BNP Paribas Fund Administration Services (Ireland) Limited

Termini,

3 Arkle Road,

Sandyford,

Dublin

D18 T6T7

Ireland

Facsimile: +353 161 25091

Email: afsinvestorservices.ie@bnpparibas.com

Telephone: +353 1 612 6400

*Note: Requests to redeem should be made to the ICAV care of the Administrator by facsimile or by email. For the avoidance of doubt, redemption requests initially sent by facsimile or by email may only be processed where payment is made to the account of record and the original signed subscription form has been received.

Agent Code: _____**Sub-Agent Code:** _____**Shareholders Name:** _____**Acct ID:** _____

Fund	Share Class	Number of Shares to be redeemed (Please fill anyone either Shares or Amount)	Amount of Shares to be redeemed (Please fill anyone either Shares or Amount)
Enam India Opportunities Fund			

Redemptions will not be processed on non-cleared/verified accounts.

Signature: _____

Note: Redemption proceeds will be returned to an account held in the name of the registered Shareholder(s). Requests for redemptions should be made by submitting a completed Redemption Form to the ICAV care of the Administrator. Redemption forms may be submitted by post, facsimile or email. Requests for redemption received prior to the relevant Fund's Dealing Deadline for any Dealing Day will be processed on that Dealing Day. Any requests for redemption received

after the relevant Fund's Dealing Deadline for a Dealing Day will normally be processed on the next Dealing Day unless the Directors in their absolute discretion determine otherwise, provided that such request has been received prior to the Valuation Point for the relevant Dealing Day. Redemption requests received after the Dealing Deadline but prior to the Valuation Point will only be accepted in exceptional circumstances, as determined and agreed by the Directors and / or the senior management of the Manager, having regard to the equitable treatment of Shareholders. Acceptance of late redemption requests will be documented. No redemption payment will be made from an investor's holding until the Application Form and all documentation required by or on behalf of the Administrator (including any documents in connection with anti-money laundering procedures) has been received from the investor and the anti-money laundering procedures have been completed. For the avoidance of doubt, redemption requests initially sent by facsimile or by email may only be processed where payment is made to the account of record and the signed redemption request form has been received.

Date: _____

Name of Entity: _____

Address of Entity: _____

Telephone: _____

Facsimile: _____

Email: _____

Signed: _____

Name: _____

Title: _____

Capacity: _____

Signed: _____

Name: _____

Title: _____

Capacity: _____

*** Note: Two authorised signatories are required for an entity investor.**

In the case of individual investors, forms are to be signed by the registered investor(s).

REDEMPTION ACCOUNT DETAILS

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

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