

(FOR SGSS USE)

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## **GATEWAY UCITS FUNDS PLC**

### **AVI JAPANESE SPECIAL SITUATIONS FUND**

To: Gateway UCITS Funds Plc  
c/o Société Générale Securities Services, SGSS (Ireland) Limited  
3<sup>rd</sup> Floor, IFSC House  
International Financial Services Centre  
Dublin 1  
Ireland

Tel : +353-1- 6750300

Fax : +353-1- 6750351

Attention : TA Department

Unless otherwise defined herein, all words and expression used in this Application Form shall have the same meaning as in the Prospectus issued by Gateway UCITS Fund Plc (the “**Company**”) and its sub-fund, AVI Japanese Special Situations Fund (the “**Fund**”) and any addenda thereto (together the “**Prospectus**”).

Investors should ensure that they complete:

- This Application Form; and
- Appendix I (Declaration of residence outside the Republic of Ireland) or Appendix II (Declaration for investors resident in the Republic of Ireland who are tax exempt); and
- Appendix IV (the entity self-certification form) or Appendix V (the individual self-certification form).
- Appendix VI: the declaration of source of wealth for Individual Investors.

I/We hereby apply to purchase Shares in the Fund.

**Note: The Shares in the Fund are not available for subscription by U.S. Persons (as defined in the Prospectus of the Company). Please note point (11) under the heading “Declaration” below in this regard which requires investors to certify that they are not a U.S. Person, nor are the Shares in the Fund being acquired for the benefit of, directly or indirectly, any U.S. Person.**

**SUBSCRIPTION DETAILS:**

<b>Share Class</b>	<b>ISIN</b>	<b>Cash Amount</b>	<b>No of Shares (if known)</b>	<b>Dividend Payment Option (Cash or reinvest)</b>

Please confirm the Cash Amount/Number of Shares in **Words**:

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\*Subscription monies for the Shares of the Fund should be remitted in the designated currency of the relevant Class, unless otherwise agreed with the Administrator.

*Note: The minimum initial investment for each Class is disclosed in the Supplement for the Fund.*

**Please note that cleared funds in respect of the subscription monies must be received for the account of the Fund no later than 12 p.m. on the last day of the relevant initial offer period. Following the close of the relevant initial offer period, applications in respect of the Fund received by the Administrator prior to the Subscription Dealing Deadline before the relevant Dealing Day will be dealt with on that Dealing Day. If any application is received after the Subscription Dealing Deadline, it will be deemed to have been received in respect of the next Dealing Day and dealt with accordingly. The Directors may, at their discretion, resolve to accept applications received after the Subscription Dealing Deadline but prior to the Valuation Point, in exceptional circumstances. Following the close of the relevant initial offer period, confirmed cleared funds must be received three (3) Business Days after the relevant Dealing Day as outlined further in the Supplement for the Fund.**

**PAYMENT DETAILS:**

I/We have instructed/undertake to instruct my/our bank \_\_\_\_\_  
(State name of bank and branch)

to remit by telegraphic transfer for value (net of all bank charges) by \_\_\_\_\_  
(State value date)

USD / EUR / GBP \_\_\_\_\_ to:  
(State amount)

**EUR Payment Details**

Beneficiary Bank Name	<b>Société Générale (PARIS)</b>
Beneficiary Swift Code	<b>SOGEFRPPAFI</b>
Beneficiary Account IBAN	<b>FR76 3000 3056 0500 0011 5056 329</b>
Beneficiary Account Name	<b>AVI JAPAN SPEC SIT FD COL</b>

**GBP Payment Details**

Correspondent Bank:	<b>BARCLAYS BANK LONDON</b>
Correspondent Bank Swift	<b>BARCGB22</b>
Beneficiary Bank Name	<b>Société Générale (PARIS)</b>
Beneficiary Swift Code	<b>SOGEFRPPAFI</b>
Beneficiary Account IBAN	<b>FR76 3000 3056 0503 8011 5056 310</b>
Beneficiary Account Name	<b>AVI JAPAN SPEC SIT FD COL</b>

**USD Payment Details**

Correspondent Bank:	<b>Société Générale (New York)</b>
Correspondent Bank Swift	<b>SOGUES33</b>
Beneficiary Bank Name	<b>Société Générale (PARIS)</b>
Beneficiary Swift Code	<b>SOGEFRPPAFI</b>
Beneficiary Account IBAN	<b>FR76 3000 3056 0503 0011 5056 314</b>
Beneficiary Account Name	<b>AVI JAPAN SPEC SIT FD COL</b>

The initial application form may be submitted by facsimile to the Administrator.  
The original duly completed application must be mailed to the Administrator immediately thereafter.

**REGISTRATION DETAILS:**

**PRIMARY INVESTOR**

Name: \_\_\_\_\_  
(in full)

Address: \_\_\_\_\_  
(for corporate applicants, if the registered office is a P.O. Box, please also provide the full address of place of business or of a director for registration purposes)

National I.D./Passport No/Company Registration Number: \_\_\_\_\_

Nationality/Place of Incorporation: \_\_\_\_\_

Telephone No: \_\_\_\_\_

Facsimile No: \_\_\_\_\_

Email Address: \_\_\_\_\_

Contact Person: \_\_\_\_\_

**Joint/Second Investor**

Name: \_\_\_\_\_  
(in full)

Address: \_\_\_\_\_  
(for corporate applicants, if the registered office is a P.O. Box, please also provide the full address of place of business or of a director for registration purposes)

National I.D./Passport No/Company Registration Number: \_\_\_\_\_

Nationality/Place of Incorporation: \_\_\_\_\_

Telephone No: \_\_\_\_\_

Facsimile No: \_\_\_\_\_

Email Address: \_\_\_\_\_

Contact Person: \_\_\_\_\_

**(If there is more than one joint applicant, please attach an additional sheet with details)**

**BANK ACCOUNT DETAILS FOR REALISATION PAYMENTS:**

<b>Currency</b>	<input type="text"/>
<b>Correspondent Bank Name</b>	<input type="text"/>
<b>Correspondent Bank SWIFT Code</b>	<input type="text"/>
<b>Beneficiary Bank Address</b>	<input type="text"/>
<b>Beneficiary Bank Name</b>	<input type="text"/>
<b>Beneficiary SWIFT Code</b>	<input type="text"/>
<b>Beneficiary Account Number / IBAN</b>	<input type="text"/>
<b>Beneficiary Account Name</b>	<input type="text"/>
<b>Sort Code / ABA</b>	<input type="text"/>
<b>For Further Credit (if any)</b>	<input type="text"/>

**POLITICALLY EXPOSED PERSONS CONFIRMATION:-**

Please tick the relevant box;

I/We declare that I am/we or the ultimate beneficiary(ies) are not a politically exposed person/an immediate family member of a politically exposed person or close associate of such a politically exposed person

I/we declare that I am/we or the ultimate beneficiary(ies) are a politically exposed person/an immediate family member of a politically exposed person or close associate of such a politically exposed person.

**DECLARATION - ULTIMATE BENEFICIAL OWNER & ASSOCIATED PARTIES:**

**Please complete this section and sign below if relevant:**

- Associated Parties include the following: Director/Governor/Trustee/Official/Board Members/Partners/Members or equivalent who exercise control over the management of the entity.
  - **Name:**
  - **Address:**
  - **Nationality:**
  - **Date of Birth:**
  
- Ultimate Beneficial Owners are individuals who directly or indirectly hold ownership of 25% or more of the shares or voting rights in an entity
  - **Name:**
  - **Address:**
  - **% Ownership:**
  - **Nationality:**
  - **Date of Birth:**

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

**Signature** \_\_\_\_\_

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

**Date** \_\_\_\_\_

**The initial application should be made by submitting a completed Application Form and Customer Due Diligence Information to the Administrator prior to an account being opened. On completion of the required AML/CFT obligations an account will be opened within 2 Business days by the Administrator**

Additional details should be supplied on a separate sheet of paper. The Administrator should be notified of any changes in the named individuals.

**(Please complete fully as incomplete applications may be rejected)**

I/We 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, PEP status and source of funds. I/We also acknowledge that the Administrator shall be held harmless by me/us against any loss suffered by the Administrator arising as a result of a failure to process my/our application for shares/units if such information and documentation as has been requested by the Administrator has not been provided by me/us. I also confirm that if my status changes I will alert the Administrator.

**DECLARATIONS: -**

- (1) If I am / we are acting as agent, representative or nominee for the account of a third party (the "Beneficial Owner"), I / we acknowledge and agree that the agreements, representations and warranties made by me / us herein are also made for and on behalf of (to the fullest extent possible) the Beneficial Owner and I / we represent and warrant that I / we have all requisite power and authority to execute this Application Form and the transactions contemplated hereby and that, in doing so, I / we will not be in breach of any laws or regulations of any competent jurisdiction.
- (2) I / We confirm that I am / we are 18 years of age or over and that I / we have the authority to make the investment pursuant to this Application Form whether this investment is my / our own name or is made on behalf of a Beneficial Owner.
- (3) I / We hereby acknowledge that I / we have received and considered the current Prospectus relating to the Company and / or the Fund and that this application is made on the terms thereof and the material contracts therein referred to together (where applicable) with the most recent annual report or semi-annual report and accounts of the Company and subject to the provisions of the Memorandum and Articles of Association of the Company, as amended from time to time and not in reliance on any other oral or written statement.
- (4) 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 and the Key Investor Information Document (KIID) on paper or in electronic form by means of a website and hereby specifically consent to receiving the KIID in electronic form by way of accessing the latest version of the document online at ***www.equitytrustees.com*** (or such other website address as may be notified to us from time to time). I / We note that the KIID is now available and I / we hereby confirm that I / we have also been notified electronically of this website address and the place on the website where the KIID can be accessed.  
I / We hereby acknowledge that I / we have received or accessed by electronic means the KIID. I / We also undertake to access the KIID by electronic means before making any subsequent and/or future subscriptions for Shares in any share class and/or sub-fund to ensure I/we have obtained and read the KIID then in issue.

By signing this application I / we confirm that I / we have fully read and understood the KIID.

My/Our email address is \_\_\_\_\_.

- (5) I / We hereby irrevocably apply for such number of Shares (including fractions) at a price determined in accordance with the Prospectus and the material contracts therein referred to together (where applicable) with the most recent annual report or semi-annual report and accounts of the Company, unless the law of the jurisdiction of my / our residence provides otherwise. I / We acknowledge that the Company reserves the right to reject any application in whole or in part for any or no reason.
- (6) I am / We are submitting this application relying solely on the facts and terms set forth in this application, the current Prospectus, any additional documents given to me / us by the Company (the "Offering Materials"). I / We confirm that I / we have read carefully and understood the Offering Materials and have made further investigations as I / we or my / our representatives have deemed appropriate to evaluate the merits and risks of this investment. I am / We are not relying upon the Company for guidance with respect to tax or other legal considerations; I / we acknowledge that I / we have been advised to consult with my / our own attorney regarding legal matters concerning the Company and to consult with my/our tax advisor regarding the tax issues. I / We have been afforded an opportunity to ask questions of, and receive answers from, the Company, or persons authorised to act on its behalf, concerning the terms and conditions of the purchase of the Shares and the information contained in the Offering Materials and that all such questions have been answered to my / our full satisfaction. I / We have been afforded the opportunity to obtain any additional information (to the extent the Company had such information or could acquire it without unreasonable effort or expense) necessary to verify the accuracy of information otherwise furnished by the Company.
- (7) I / We warrant that: (a) I / we have the knowledge, expertise and experience in financial matters to evaluate the risks of investing in the Fund and to make an informed decision with respect thereto; (b) I am / we are aware of the risks inherent in investing in the Shares and the method by which the assets of the Fund are held and / or traded; and (c) I / we can bear the risk of loss of my / our entire investment.
- (8) I / We warrant that I / we have the right and authority to make the investment pursuant to this Application Form and that I / we will not be in breach of any laws or regulations of any competent jurisdiction and I / we hereby indemnify the Company (on its own behalf and on behalf of the Investment Manager and other shareholders) for any loss suffered by them as a result of this warranty / representation not being materially accurate in every respect.
- (9) I / We acknowledge that the Company has been established with segregated liability between its sub-funds. I / We hereby agree that any amounts due or payable to me / us in respect of an investment in the Fund, howsoever arising (including any proven claim), will be limited to, and payable only out of, the assets of the Fund (or any insurance proceeds covering the Fund) and in no circumstances will the assets of any other sub-fund be used to discharge the amount due.
- (10) I / We certify that I / we will be acquiring the Shares for investment and not with a view to or a present intention of distribution or resale to others. I / We understand that (a) the Company has not been, and will not be, registered under the U.S. Investment Company Act of 1940, as amended (the "1940 Act"); (b) the Shares have not been, and will not be, registered under the U.S. Securities Act of 1933, as amended (the "1933 Act"); and (c) the Shares have not been



qualified under the securities laws of any state of the United States and, absent approval by the Directors and except as permitted under the 1933 Act, the 1940 Act and any applicable state securities laws, the Shares may not be offered, sold or transferred in the United States or to or for the benefit of, directly or indirectly, any U.S. Person (as defined in the Prospectus).

(11) I / We hereby certify that I am / we are not a U.S. Person (as defined in the Prospectus). I / we further certify that the Shares are not being acquired for the benefit of, directly or indirectly, any U.S. Person and that I / we will not, subject to the conditions set forth in the Prospectus, sell or offer to sell or transfer Shares in the United States or to or for the benefit of, directly or indirectly, a U.S. Person.

(12) I / We agree that the transfer or assignment of the Shares acquired shall be made only in strict accordance with the provisions of the Prospectus and all applicable laws. Within ten days after receipt of a written request therefor from the Company, I / we agree to provide such information and to execute and deliver such documents as the Company may deem reasonably necessary to comply with any and all laws and ordinances to which the Company is or may be subject.

(13) I / We agree to provide to the Company, the Directors, the Administrator, the Distributor and the Investment Manager any additional documentation that it may require to verify my / our identity in accordance with current anti-money laundering and / or any applicable taxation requirements. I / We acknowledge that any delay by me / us in providing such documentation may result in delayed processing of my / our application and / or delayed payment of any future redemption payments to me / us or processing of Share transfer requests on my / our behalf. I/We acknowledge that any failure to provide complete identification and verification documentation at the account opening stage will result in my/our account being blocked for both redemptions and distribution payments pending receipt of the outstanding documentation. I/We acknowledge that I/we may be classified as a non-compliant investor. Furthermore, where such documentation remains outstanding for 120 days from the date of the initial subscription all transactions including additional subscriptions may be blocked pending receipt of the outstanding documentation. I/We acknowledge that any failure to provide complete identification and verification documentation upon request at any other stage during the course of the business relationship will result in my/our account being blocked for both redemptions and distribution payments pending receipt of the outstanding documentation. I/We acknowledge that I/we may be classified as a non-compliant investor. Furthermore, where such documentation remains outstanding for 120 days from the date of the initial request for documentation all transactions including additional subscriptions may be blocked pending receipt of the outstanding documentation. I/We acknowledge that the Investment Manager and/or the Board of Directors have the right to discontinue the business relationship with me/us upon my/our being classified as a non-compliant investor or a non-compliant legacy investor.

(14) I / We hereby hold the Company, the Directors, the Administrator, the Distributor and the Investment Manager harmless and indemnify them against any loss arising as a result of a failure to process the application if such information has been required and has not been provided by me / us. I / We also warrant and declare that the monies being invested pursuant to this application do not represent directly or indirectly the proceeds of any criminal activity and the investment is not designed to conceal such proceeds so as to avoid prosecution for

an offence or otherwise. In order to comply with the anti-money laundering regulations applicable to the Company and the Investment Manager, Appendix VII to this Application Form must be completed by the subscriber.

- (15) I / We agree to provide to the Company and the Investment Manager, at such times as each of them may request, such declarations, certificates or documents as each of them may reasonably require in connection with this investment. Should any information furnished to any of them become inaccurate or incomplete in any way, I / We hereby agree to notify the Company or the Investment Manager immediately of any such change and further agree to request the redemption of Shares in respect which such confirmations have become incomplete or inaccurate where requested to do so by the Company. I / we agree to notify the Company of any change to my / our tax residency status.
- (16) I / We hereby confirm that the Company, the Directors, the Administrator and the Investment Manager are each authorised and instructed to accept and execute any instructions in respect of this application and the Shares to which it relates given by me / us by facsimile or such other means as may from time to time be permitted by the Directors or their delegate including electronic means. If instructions are given by me / us by facsimile or such other means as may from time to time be permitted by the Directors or their delegate including electronic means, I / we acknowledge that the onus is on me / us to ensure that such instructions are received in legible form, and I / we undertake to confirm them in writing. I / We hereby indemnify the Company (on its own behalf and on behalf of the Directors) 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 instructions or instructions given by such other means as may from time to time be permitted by the Directors or their delegate including electronic means. The Company, the Administrator and the Directors 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.
- (17) I / We consent to details relating to my / our application and holdings being disclosed to the Investment Manager, the relevant Distributor and any other company which may carry out marketing and / or investor servicing duties in respect of the Company. I / We consent to the disclosure of any information in this application, and any other information furnished to the Company, to any of its service providers, to any of its duly authorised agents, governmental authority, self-regulatory organisation or, to the extent required by law, to any other person.
- (18) I / We acknowledge that certain laws and regulations may require disclosure of my / our identity (and other details) under some circumstances, and such disclosures may be a matter of public record. I / We hereby consent to such disclosure.
- (19) I / We acknowledge that I / we will indemnify and hold harmless the Company (on its own behalf and the Investment Manager) and their respective directors, officers and employees and other shareholders against any loss, liability, cost or expense (including, without limitation, attorneys' fees, taxes and penalties) which may result, directly, from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any other document delivered by me / us to the Company and shall notify the Company immediately if

any of the representations herein made are no longer accurate and complete in all respects.

(20) In signing this Application Form, I / we hereby consent to the Company, the Administrator, the Distributor and the Investment Manager and their delegates and their duly authorised agents and any of their respective related, associated or affiliated companies obtaining, holding, using, disclosing and processing my / our data:

- (a) to manage and administer my / our holding in the Fund and any related accounts on an on-going basis;
- (b) for any other specific purposes where I / we have given specific consent to do so;
- (c) to carry out statistical analysis and market research;
- (d) to comply with legal or regulatory requirements applicable to the Company or me / us or any service providers to the Company or the Fund;
- (e) for other legitimate business interests of the Company.

I / We hereby acknowledge my/our right of access to and the right to amend and rectify my / our personal data, as provided herein.

I / We consent to the recording of telephone calls made to and received from me / us by the Company, the Administrator, the Distributor and the Investment Manager, their delegates, their duly appointed agents and any of their respective related, associated or affiliated companies for record keeping, security and / or training purposes and any recordings may be submitted in evidence in any proceedings relating to this Application or to the Fund or any service agreements between the Administrator, the Distributor, the Investment Manager and the Company.

(21) If the subscriber is more than one person, the obligations of the subscriber shall be joint and several and the agreements, representations, warranties and acknowledgments herein contained shall be deemed to be made by and be binding upon each such person and his respective heirs, executors, administrators, successors, legal representatives and assigns.

(22) I / We hereby agree to notify the Company promptly of any changes in the foregoing representations which may occur prior to or following an investment in the Company. I / We further agree that the representations and warranties made herein will be deemed to be reaffirmed by me / us at any time I / we make an additional investment in the Company and the act of making such additional investments will be evidence of such reaffirmation.

(23) I / We acknowledge that the Manager and/ or the Administrator on behalf of the Fund intend 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.

(24) Furthermore, I / We hereby acknowledge that the Manager and/ or the Administrator on behalf of the Fund intend to also take such steps as may be required to satisfy any obligations imposed by (i) the Standard for Automatic Exchange of Financial Account Information in Tax Matters ("the Standard") and, specifically, the Common Reporting Standard ("CRS") therein

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

(25) In order for the Company to comply with the above FATCA and CRS obligations, I/We agree to provide to the Manager and/ or the Administrator on behalf of the Fund 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 Manager and/ or the Administrator immediately of any such change and further agree to immediately take such action as the Manager and/ or 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 Manager and/ or the Administrator. If relevant, I/we agree to notify the Manager and/ or the Administrator of any change to my/our tax residency status. I/we hereby also agree to indemnify and keep indemnified the Fund, the Manager, the Sub-Investment Manager, the Custodian and/ or 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 Manager and/ or the Administrator and has not been provided by me/us, and from any misrepresentation or breach of any warranty, condition, covenant or agreement set forth herein or in any document delivered by me/us to the Manager and/ 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 Fund and that the Manager, the Custodian and/ or the Administrator are authorised 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 Fund, the Manager, the Sub-Investment Manager, the Custodian and/ or the Administrator against any loss suffered by them or other Shareholders in the Fund in connection with any obligation or liability to so deduct, withhold or account.

(26) I/We confirm that we have accurately and correctly completed the relevant self-certification forms included at Appendices IV and V hereto, as appropriate. I/We further confirm that if any information included in the self-certification forms subsequently becomes inaccurate or incorrect we will notify the Fund, the Manager, the Sub-Investment Manager, the Custodian and/ or the Administrator<sup>2</sup> immediately of any such change and agree to immediately take such action as the Fund, the Manager, the Sub-Investment Manager, the Custodian and/ or the Administrator may direct, including where appropriate, redemption of our Shares.

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<sup>1</sup> For more information in respect of CRS, applicants should refer to the customer information notice at Appendix III.

<sup>2</sup> The revised clauses refer to the entities previously mentioned. However, as clause 25 is not based on wording previously included, SG might please confirm the relevant entities.

## **FAX AND ELECTRONIC DEALING INDEMNITY**

Instructions may be sent by fax. The Company, the Administrator and the Investment Manager are authorised to act on any facsimile, without verification, which it, in its sole discretion, believes emanates from a Shareholder and it shall not be liable for and will not be liable for any failure in acting on any instructions by reason of breakdown, delay or failure of transmission or communication facilities or breakdown of or error in transmission or communication for any other reason.

Each applicant for shares acknowledges that fax is not a secure means of communicating with or giving instructions to the Company, the Administrator and/or the Investment Manager and confirms that he / she / it is aware of the risks involved in communicating in this way and that a request to act on any instruction given by fax is for his / her / it's convenience only and he / she / it hereby indemnifies the Company, the Administrator and/or the Investment Manager against any claims and holds it harmless from all actions, proceedings, claims, loss, damage, costs (including, without limitation, interest and legal fees), charges and expenses which may be brought against it or suffered or incurred by it and which shall have arisen directly or out of or in connection with it accepting Instructions by fax and acting thereon;

Each applicant hereby undertakes to immediately send the Company, the Administrator or the Investment Manager the original of all instructions, and acknowledges that the non-receipt by the Company, the Administrator or the Investment Manager of such written confirmation shall in no way invalidate the authority or indemnity provided by the Shareholder.

Please provide fax number: \_\_\_\_\_

## **DATA PROTECTION**

In accordance with the provisions of the Data Protection Act 2018 (as may be amended or supplemented from time to time) and from 25 May, 2018, the EU's General Data Protection Regulation 2016/679 (the "GDPR" (together the "Data Protection Legislation"), I/we hereby acknowledge and are informed that personal data given in this Application Form (or otherwise provided in connection with an application to subscribe for Shares in the Fund, 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 Company as a "data controller" under the Data Protection Legislation, and as further described in the 's data privacy statement, which is set out in Appendix VIII hereto and is otherwise available upon request. **Please see the Appendix VIII below under "Data Protection Notice" below for further information.**

I / We acknowledge that information relating to my / our holding of Shares in the Fund, and / or details of income arising from such holdings may be subject to disclosure to any relevant tax authority in accordance with the terms of the Savings Directive (or in order to comply with any other tax obligation applicable to the Fund).

I / We hereby consent to such disclosure by the Investment Manager or any person deemed to be a paying agent for the purposes of the Savings Directive (the "Paying Agent").

I / We confirm that we will promptly advise the Investment Manager of any amendments to information which may be relevant for the purposes of the Savings Directive, including my/our name(s), address(es) tax identification number and country of residence for tax purposes.

I / We hereby agree to indemnify the Paying Agent against any and all loss, liability, cost and expenses (including without limitation legal fees, taxes and penalties) which may arise directly from my/our failure to provide the requisite information or where the information provided is incorrect or where I/we have failed to update information previously provided.

The Company hereby warrants that it shall process the applicant's personal data in accordance with Data Protection Law and hereby indemnifies the applicant against any and all loss, liability, cost and expenses (including without limitation legal fees, taxes and penalties) which may arise directly from a failure to comply with any Data Protection Law.

#### **ADDITIONAL DECLARATIONS**

1. (Corporate applicants only) We hereby confirm that we have the full right and power to make this application and invest in Shares and all corporate action has been taken to authorise this application and such investment.
2. (Banks and Brokers) We are a bank or broker and are making this application on behalf of clients for investment purposes. We hereby make each of the declarations in this Application Form on behalf of such clients and further covenant that we will notify the Company if we become aware that any such client has become a U.S. Person, that we will not at any time knowingly transfer or deliver Shares or any interest therein to a U.S. Person and that we will not make any transfer of Shares in the United States.

#### **NOTES:**

1. In accordance with the anti-money laundering/terrorist financing laws/rules applicable to our business, we are required to verify an applicant's identity. We reserve the right to request from applicants, evidence of their identity, permanent residential address and any other information which may be required to comply with our obligations under all relevant laws/rules. In certain circumstances we may seek independent verification of this information. If we do not receive satisfactory verification, we reserve the right to delay or reject an application or cancel an investment if already made.
2. **Individual investors** - please enclose certified copy of national ID/Passport with picture page and date of birth and one forms of proof of residence not more than 6 months old (for example, utility bills). In the case of joint account holders, please supply the relevant documentation in respect of all holders.
3. **Recognised Regulated Entity** (Financial companies, banks, nominee companies acting on their own account and if authorised and regulated in a member state of the European Union or the three additional states (Liechtenstein, Iceland and Norway) which make up the European Economic Area, or in the FATF countries which are not EEA members, or in a designated

country per the list under Section 31 of the Criminal Justice Act (Money Laundering and Terrorist Financing) 2010.)

**- acting on its own account:**

- (i) Name of regulated entity and name of regulator
- (ii) Recognised Regulated Entity's Authorised Signatory List

**- acting on behalf of a third party:**

- (i) Reliance letter (Appendix VII)
- (ii) Recognised Regulated Entity's Authorised Signatory List
- (iii) Proof of regulatory status of Recognised Regulated Entity

**4. Corporate investors** - please enclose certified true copies of the following:

- (i) Certified copy of the Memorandum and Articles of Association or Copy of the last audited financial statements, Certificate of Incorporation and Business Registration Certificate (if any) of the corporation;
- (ii) a list of authorised signatories;
- (iii) list of Directors, certified copies of the passports/National Ids of the Directors and one certified proofs of residence not more than 6 months old (for example utility bill);
- (iv) Details of any beneficial owner(s) who own more than 25% of the share capital, profit or voting rights or otherwise exercise control over the management of the company. Where the beneficial owner is an entity, details of ultimate beneficial owner(s) (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc.) and certified copies of the passports/National Ids of the beneficial owner(s) ;
- (v) For a Listed Company on a recognised stock exchange, proof of listing

**5. Limited partnerships** – please enclose certified copies of the following:

- (i) the limited partnership agreement;
- (ii) a list of authorised signatories;
- (iii) in the case of partners which are individuals, certified copies of the passports/National IDs of the Directors and certified proofs of residence not more than 6 months old (for example utility bill);
- (iv) in the case of a Partnership Fund, names of General Partner and partners who own more than 25% of the partnership capital, profit or voting rights or otherwise exercise control over the management of the Partnership Fund and listing of directors, if appropriate. Where the beneficial owner is an entity, details of ultimate beneficial owner(s) (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc.) and certified copies of the passports/National Ids of the beneficial owner(s) ;

**6. Trust, Foundation or similar entity** – please enclose certified copies of the following:

- (i) Trust deed or equivalent (declaration of Trust etc.);
- (ii) a list of authorised signatories;
- (iii) Details of all trustees and certified copies of the passports/National Ids of the trustees and certified proof of residence not more than 6 months old (for example, utility bills);
- (iv) Details of settler;
- (v) Details of any beneficial owner(s) who own more than 25% of the share capital, profit or voting rights or otherwise exercise control over the trust. Where the beneficial owner is an entity, details of ultimate beneficial owner(s) (this can be demonstrated through an organisation chart signed by an authorised signatory or shareholder register or other company documentation etc.) and certified copies of the passports/National Ids of the beneficial owner(s);

**7.** The Administrator reserves the right to request such information as is necessary to verify the identity of an applicant or the source of the subscription monies. In the event of delay or failure by the applicant to produce any information required for verification purposes, the Administrator may refuse to accept the application and subscription monies.

8. In the case of joint applicants, all must sign and supply names and addresses in accordance with "Registration Details" above. Please note that only the first-named holder's address will be used for registration. A corporation should sign under the hand of a duly authorised official who should state his representative capacity. If this form is signed under a power of attorney, such power or a duly certified copy thereof must accompany this form.
9. All individual investors have the right of access to, and to update, all their records (whether held on computer files or manually) held by or on behalf of the Administrator. A copy of such record will be provided to an investor who requests it, upon the payment of a modest administration charge to cover the costs of complying with such request. Requests should be made in writing to Administrator at the address set out in the Prospectus.
10. Where the applicant is a financial institution, broker or other person applying to acquire Shares on behalf of its individual client(s) the applicant represents and warrants that it has full power and authority on behalf of the individual investor to subscribe for Shares and to execute any necessary subscription documentation, including this Application Form and, in particular but without limitation to the aforesaid, to make the representations above on behalf of such individual investor as to the agreement of such individual investor regarding the use of personal data. The applicant also represents and warrants that it has made due diligence enquiries to make sure that the individual investor is not involved in money laundering or terrorist activities ("know your customer rules").
11. Where this application form is sent by facsimile, you must also send the original signed application to the address specified above. The Administrator will not be responsible to an applicant for any loss resulting from the non-receipt of any application sent by fax.
12. Applicants should note that the Company or the Administrator or their agents may refuse to accept a redemption request if it is not accompanied by such additional information as they may in their absolute discretion require. This power may, without limitation to the generality of the foregoing, be exercised where proper information has not been provided for money laundering verification purposes as described above. Applicants should note in particular that redemption proceeds will not be paid by the Administrator to an account which is not in the name of the applicant.
13. Redemptions will not be processed on non cleared/verified accounts.
14. All certified copies should be certified by any of the following: a police officer, a practising chartered and certified public account, notaries public, a practising solicitor, embassy and consular staff or a representative of your bank or other regulated financial institution. The document must be signed by the entity certifying the document and noting their capacity and licence number (if applicable).



## TAXATION OF SAVINGS DIRECTIVE

Council Directive 2003/48/EC ('Savings Directive'), which deals with the Taxation of savings income in the form of interest payments, seeks to ensure that individuals that are resident and "residual entities" that are established in an EU Member State or a "dependent or associated territory" who receive savings income from a paying agent in an EU Member State or a dependent or associated territory are taxed in the EU Member State or dependent or associated territory in which they are resident for tax purposes. "Dependent or associated territory" includes Aruba, Netherlands Antilles, Jersey, Guernsey, Isle of Man, Anguilla, British Virgin Islands, Cayman Islands, Montserrat, Turks and Caicos Islands and may be updated from time to time.

Date & Place of Birth:	
Country of issue of Passport/Official ID card*:	
If applicable, your Tax Identification Number ("TIN") issued by your country of residence:	
If applicable, please specify the country issuing TIN:	

\*Applicants who present a passport or official National ID card issued by an EU Member State or dependent or associated territory and claim to be tax resident in a country other than that EU Member State must produce a certificate of tax residence issued by that country he/she claims to be tax resident in. If they do not, they will be treated for the purposes of the Savings Directive as tax resident in the country which issued the passport or official National Identity card presented by them.

**Note:** Individuals acting as an intermediary for another person will be treated as the beneficial owner for the purposes of the Savings Directive unless they can provide appropriate evidence that this is not the case.

## 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 Shareholders.

In order to satisfy the Regulations, the Administrator/ the Manager on behalf of the Company must collect the following additional information from any applicants<sup>3</sup> which are Irish Resident or Ordinarily Resident in Ireland (that are not excepted Shareholders within the meaning of the Regulations):

<b>Tax Identification Number (TIN) / PPS Number<sup>4</sup></b>	
---	--

**Furthermore, the Regulations require the Administrator/ the Manager on behalf of the Company to seek appropriate documentation from the applicant to verify the above TRN or PPS Number. Any one of the following additional documents (copy or original) is sufficient;**

P60  
P45  
P21 Balancing Statement  
Payslip (where employer is identified by name or tax number)  
Drug Payment Scheme Card  
European Health Insurance Card

<sup>3</sup> 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.

<sup>4</sup> A PPS Number is required if the relevant applicant is an individual.

Tax Assessment  
Tax Return Form  
PAYE Notice of Tax Credits  
Child Benefit Award Letter /Book  
Pension Book  
Social Services Card  
Public Services Card

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

*Your personal information will be handled by the Administrator or its duly appointed delegates as Data Processor for the Company in accordance with the Data Protection Legislation. In particular, all the relevant security measures will be taken to ensure an adequate level of protection of the personal data against unauthorised access, accidental loss or destruction. 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. Please see the Appendix VIII below under “Data Protection Notice” below for further information.*

## NOTICES

Any notice required or permitted to be given to the applicant in relation to the Fund, shall be sent to the address or to the facsimile number specified in the “Registration Details” section above or to such other address or facsimile number as the applicant designates by written notice received by the Administrator.

## GOVERNING LAW

This Application Form shall be governed by the laws of the Republic of Ireland.

## SIGNATURES

Date: \_\_\_\_\_

Signature(s) of applicant(s): \_\_\_\_\_  
\_\_\_\_\_

## Appendix I

### Declaration of residence outside the Republic of Ireland

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

<p>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</p> <ul style="list-style-type: none"><li>• I am/we are/the company is* not currently resident or ordinarily resident in the Republic of Ireland, and</li><li>• should I/we/the company* become resident in the Republic of Ireland I/we* will so inform you, in writing, accordingly. (* <b>Delete as appropriate</b>)</li></ul>
---

<p>Declaration as Intermediary I am/we are* applying for shares/units on behalf of other persons who are beneficially entitled to the shares/units, and I/we* declare that</p> <ul style="list-style-type: none"><li>• to the best of my/our knowledge and belief, none of the beneficiaries are resident or ordinarily resident in the Republic of Ireland, and</li><li>• I/we* will inform you accordingly, in writing, if I/we* become aware that this declaration is no longer correct. (* <b>Delete as appropriate</b>)</li></ul>
--

#### Notes to declaration of non-residence:

1. Non-resident declarations are subject to inspection by the Irish Revenue Commissioners and it is a criminal offence to make a false declaration.
2. To be valid, the application form (incorporating the declaration required by the Irish Revenue Commissioners) must be signed by the applicant. Where there is more than one applicant, each person must sign. If the applicant is a company, it must be signed by the company secretary or another authorised officer.
3. If the application form (incorporating the declaration required by the Irish Revenue Commissioners) is signed under power of attorney, a copy of the power of attorney must be furnished in support of the signature.

Applicant's Signature: \_\_\_\_\_

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

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

Signed on  
behalf of: \_\_\_\_\_

(your own name and the name of the entity on whose behalf this application is being made should be printed in block capitals below your signature if applicable)

## Appendix II

**A. <sup>1</sup>Declaration referred to in Section 739D(6) Taxes Consolidation Act, 1997**

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

a pension scheme	
a company carrying on life business within the meaning of section 706 TCA 1997;	
An investment undertaking	
a special investment scheme	
a unit trust to which section 731(5)(a) TCA 1997 applies;	
a charity being a person referred to in section 739D(6)(f)(i) TCA 1997;	
a qualifying management company;	
a specified company;	
Entitled to exemption from income tax and capital gains tax by virtue of section 784A(2) TCA 1997, (see further requirements for Qualifying Fund Manager below).	

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

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

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

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

(\*Delete as appropriate)

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

<sup>2</sup>Irish Tax Reference Number of Applicant: \_\_\_\_\_

<sup>3</sup>Authorised Signatory: \_\_\_\_\_ (Declarant) (Mr./Ms. etc.)

Capacity in which declaration is made: \_\_\_\_\_ Date: \_\_\_\_\_  
(See overleaf for important notes)

## Important Notes

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

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

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

## Appendix III

### Customer Information Notice – Common Reporting Standard

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

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

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

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

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

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

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

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

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

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

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

## Appendix IV

### Entity Self-Certification for FATCA and CRS

#### Instructions for completion

We are obliged under Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each investor's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor's interests in the Fund, with relevant tax authorities. This form is intended to request information only where such request is not prohibited by Irish law.

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

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

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

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

(Mandatory fields are marked with an \*)

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

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#### Section 1: Investor Identification

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

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

#### Current Registered Address\*:

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

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

Postal/ZIPCode: \_\_\_\_\_ Country: \_\_\_\_\_

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

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

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

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



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

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

a) The Entity **is** a *Specified U.S. Person* and the Entity's U.S. Federal Taxpayer Identifying number (U.S. TIN) is as follows (please also complete Sections 4 and 5):

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 classification may differ from your CRS classification in Section 5):**

**3.1 Financial Institutions under FATCA :**

If the Entity is a *Financial Institution*, please tick one of the below categories and provide the Entity's GIIN at 3.2

I.	<i>Irish Financial Institution or a Partner Jurisdiction Financial Institution</i>	<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 <i>GIIN</i> but is sponsored by another entity which does have a <i>GIIN</i>  Please provide the sponsor's name and sponsor's <i>GIIN</i> :  Sponsor's Name: _____  Sponsor's <i>GIIN</i>: _____</p> <p><i>∞NOTE: this option is only available to Sponsored Investment Entities in Model 1 IGA jurisdictions. Sponsored Investment Entities that do not have U.S. reportable accounts are not required to register and obtain a <i>GIIN</i> with the IRS unless and until U.S. reportable accounts are identified.</i></p>	<input type="checkbox"/>
II.	<p><i>Exempt Beneficial Owner</i></p> <p><i>Please tick and confirm the category of Exempt Beneficial Owner;</i></p> <p>I. <input type="checkbox"/> Government Entity  II. <input type="checkbox"/> International Organisation  III. <input type="checkbox"/> Foreign Central Bank  IV. <input type="checkbox"/> Exempt Retirement Fund  IV. <input type="checkbox"/> Collective Investment Vehicle Wholly Owned by Exempt Beneficial Owners.</p>	<input type="checkbox"/>

III.	<i>Certified Deemed Compliant Foreign Financial Institution (including a deemed compliant Financial Institution under Annex II of the Agreement)</i>  <i>Indicate exemption: _____</i>	
IV.	<i>Non-Participating Foreign Financial Institution</i>  <i>Indicate exemption: _____</i>	
V.	<i>Excepted Foreign Financial Institution</i>	
VI.	<i>Trustee Documented Trust. Please provide your Trustee's name and GIIN</i>  <i>Trustee's Name: _____</i>  <i>Trustee's GIIN: _____</i>	

### 3.4 Non-Financial Institutions under FATCA:

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

I.	<i>Active Non-Financial Foreign Entity</i>	
II.	<i>Passive Non-Financial Foreign Entity</i>  <i>(Please tick the box that applies)</i>  <b>I. Passive Non-Financial Foreign Entity with no Controlling Persons that are specified U.S Persons. <input type="checkbox"/></b>  <b>II. Passive Non-Foreign Financial Entity with Controlling Persons that are specified U.S <input type="checkbox"/> Persons. (If this box is ticked, please indicate the name of all natural Controlling Person(s) of the Entity in section 6.1 below and separately complete</b>	
III.	<i>Excepted Non-Financial Foreign Entity</i>	
IV.	<i>Direct Reporting NFFE</i>  <i>Please provide your GIIN:</i>  _____	

### Section 4: CRS Declaration of Tax Residency (please note that you may choose more than one country)\*

(Note that Entities may have more than one country of Tax Residence)

Please indicate the Entity's country of tax residence for CRS purposes, (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers ("TIN")). Please refer to the OECD CRS Web Portal for AEOI for more information on Tax Residence. If the Entity is not tax resident in any jurisdiction (e.g., because it is fiscally transparent), please indicate that below and provide its place of effective management or country in which its principal office is located.

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

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

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

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- 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):**

In addition please note that the information that the Entity has to provide may differ depending on whether they are resident in a participating or non-participating CRS Jurisdiction. For more information please see the OECD CRS Standard and associated commentary.

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

**5.1 Financial Institutions under CRS:**

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

*Note: Please check the Irish Revenue AEOI portal at the time of completion of this form to confirm whether your country of Tax Jurisdiction is considered Participating or Non-Participating for the purposes of CRS Due-Diligence in Ireland. <http://www.revenue.ie/en/business/aeoi/participating-jurisdictions.pdf>*

I.	A Reporting Financial Institution resident in a participating CRS jurisdiction	
----	--	--

II.	<p><i>A Financial Institution Resident in a Non-Participating Jurisdiction.</i></p> <p><input type="checkbox"/> An <i>Investment Entity</i> resident in a <i>Non-Participating Jurisdiction</i> and managed by another <i>Financial Institution</i> (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 <i>Investment Entity</i> resident in a <i>Non-Participating Jurisdiction</i> that is not managed by another <i>Financial Institution</i></p> <p><input type="checkbox"/> Other <i>Financial Institution</i>, including a <i>Depository Financial Institution</i>, <i>Custodial Institution</i> or <i>Specified Insurance Company</i></p>	
III.	<p><b>Non-Reporting Financial Institution under CRS. Specify the type of Non-Reporting Financial Institution below:</b></p> <p><input type="checkbox"/> Governmental Entity</p> <p><input type="checkbox"/> International Organization</p> <p><input type="checkbox"/> Central Bank</p> <p><input type="checkbox"/> Broad Participation Retirement Fund</p> <p><input type="checkbox"/> Narrow Participation Retirement Fund</p> <p><input type="checkbox"/> Pension Fund of a Governmental Entity, International Organization, or Central Bank</p> <p><input type="checkbox"/> Exempt Collective Investment Vehicle</p> <p><input type="checkbox"/> Trust whose trustee reports all required information with respect to all CRS Reportable Accounts</p> <p><input type="checkbox"/> Qualified Credit Card Issuer</p> <p><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:</p> <p>_____</p>	

**5.2 Non Financial Institutions under CRS:**

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

I.	<p><i>Active Non-Financial Entity</i> – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation</p> <p>Please provide the name if the established securities market on which the corporation is regularly traded: _____</p>	
II.	<p><b><i>Active Non-Financial Entity</i></b> – if you are a <i>Related Entity</i> of a regularly traded corporation. Please provide the name of the regularly traded corporation that the Entity is a <i>Related Entity</i> of:</p> <p>_____</p> <p>Please provide details of the securities market that the entity is listed on :</p> <p>_____</p>	
III.	<p><i>Active Non-Financial Entity</i> – a Government Entity or Central Bank</p>	

IV.	<i>Active Non-Financial Entity</i> – an International Organisation	
V.	<i>Active Non-Financial Entity</i> – other than (I)-(III) (for example a start-up NFE or a non-profit NFE)	
VI	<i>Passive Non-Financial Entity</i> (If this box is ticked, please also complete Section 6.1 below and indicate the name of all natural Controlling Person(s) of the Entity and complete a separate Individual Self-Certification Form for each of your Controlling Person(s))	

**\*\* Controlling Persons:**

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

*For further information on identification requirements under CRS for Controlling Persons, see the Commentary to Section VII of the CRS Standard*

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

**Section 6: Controlling Persons**

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

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

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

I.	
II.	
III.	

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

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

**Section 7: Declarations and Undertakings**

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

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

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

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

\_\_\_\_\_

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

\_\_\_\_\_

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

\_\_\_\_\_

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

## Appendix V

### Individual (Controlling Persons) Self-Certification for FATCA and CRS

#### Instructions for completion

We are obliged under Section 891E, Section 891F and Section 891G of the Taxes Consolidation Act 1997 (as amended) and regulations made pursuant to those sections to collect certain information about each investor's tax arrangements. Please complete the sections below as directed and provide any additional information that is requested. Please note that in certain circumstances we may be legally obliged to share this information, and other financial information with respect to an investor's interests in the Fund, with relevant tax authorities. This form is intended to request information only where such request is not prohibited by Irish law.

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

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

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

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

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

**Section 4 should only be completed by any individual who is a Controlling Person of an entity investor which is a Passive Non-Financial Entity.** For further guidance see:

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

(Mandatory fields are marked with an \*)

---

#### Section 1: Investor/Controlling Person Identification

Investor Name\*: \_\_\_\_\_

Current Residential Address\*:

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

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

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

Mailing address (if different from above):

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

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

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

**Place 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**] /[the investor is] a U.S. citizen and/or resident in the U.S. for tax purposes and [my]/[its] U.S. federal taxpayer identifying number (U.S. TIN) is as follows:

\_\_\_\_\_

**OR**

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

---

**Section 3: CRS Declaration of Tax Residency (please note you may choose more than one country)\***

Please indicate ~~your~~ the investor's country of tax residence (if resident in more than one country please detail all countries of tax residence and associated tax identification numbers ("TINs")). Please see the CRS Portal for more information on Tax Residency.

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 investor which is a Passive Non-Financial Entity or an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution)

For Joint or multiple Controlling Persons please use a separate Self-Certification form for each Controlling Person

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

Section 5: Declaration and Undertakings:

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

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

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

#### Data Protection - Customer Information Notice:

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

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

Under CRS account holder information (and, in particular situations, information in relation to relevant Controlling Persons of such account holders) is to be reported to the relevant tax authority

where the account is held, which, if a different country to that in which the account holder resides, will be shared with the relevant tax authority of the account holder's resident country, if that is a CRS-participating jurisdiction.

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

Further information is available on the OECD website: <http://oecd.org/tax/automatic-exchange/> and on the Irish Revenue website - <http://www.revenue.ie/en/business/aeoi/>

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

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

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

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

## Appendix VI

### SOURCE OF WEALTH DECLARATION - Individual

All information provided in this document will remain strictly confidential

*Document to be returned by post as original*

Name and First Name:	
Country of Residence:	
Register ID <i>(on the letter)</i> :	
Occupation:	<p>Please provide a precise description of activity : <i>(as example: employee of post office, manager of bank, restaurant owner, car salesman...)</i></p> <p>Profession: _____</p> <p><i>If retired or unemployed, please indicate former profession:</i></p> <p>Retired: _____</p> <p>Unemployed: _____</p>
I declare:	<p><input type="checkbox"/> I am the ultimate beneficial owner of the monies invested in [ • ] .</p> <p><input type="checkbox"/> I am not the ultimate beneficial owner of the monies invested in the [ • ]; the ultimate beneficiary is/are: _____</p> <p><i>(a certified ID/Passport copy of this person is to be sent with this declaration)</i></p>
I further declare:	<p>The monies invested do not originate from criminal activity, of whatever nature, and in particular do not constitute the proceeds of money laundering.</p> <p>Any profits derived from my investment will not be used for terrorism financing.</p>
I declare that the monies invested do not come from a third party and is drawn from my own bank account. These funds originate from the following source:	<p><input type="checkbox"/> Salary savings      <input type="checkbox"/> Inheritance*</p> <p><input type="checkbox"/> Real Estate Sale <i>(please specify)*</i>: _____</p> <p><input type="checkbox"/> Gift <i>(Please specify)*</i>: _____</p> <p><input type="checkbox"/> Other* <i>(please add a precise source)</i>: _____</p>

*\*Please be advised, that Société Générale Securities Services, SGSS (Ireland) Limited in their capacity as Registrar and Transfer Agent may request additional information if necessary.*

Signature.....

Date .....

## SOURCE OF WEALTH DECLARATION - Company

All information provided in this document will remain strictly confidential

*Completed form to be returned by post as original*

Name of Company Representative:	
Country of Residence of Representative:	
Company Name:	
Commercial Register No. of Company:	
Issuing Authority:	
Position of Company Representative:	<hr style="border: 0; border-top: 1px solid black;"/> <i>As Company Representative please state your position.</i>
I, as Company Representative declare:	<input type="checkbox"/> The represented Company is the ultimate beneficial owner of the monies invested <input type="checkbox"/> The represented Company is not the ultimate beneficial owner of the monies invested, which is <i>(please specify*)</i> :  <hr style="border: 0; border-top: 1px solid black;"/>
I, as Company Representative further declare:	<p>The monies invested do not originate from criminal activity, of whatever nature, and in particular do not constitute the proceeds of money laundering.</p> <p>Any profits derived from my investment will not be used for terrorism financing.</p>
I, as Company Representative declare that the monies invested are drawn from the Company's bank account and do not come from a third party. These funds originate from the following:	<input type="checkbox"/> Company's funds  <input type="checkbox"/> Other <i>(Please specify*)</i> :

*\*Please be advised, that Société Générale Securities Services, SGSS (Ireland) Limited in their capacity as Registrar and Transfer Agent may request additional information if necessary.*

Signature of Company Representative.....

Date .....

## Appendix VII

[On Company Letterhead of Recognised Regulated Entity]

[Date]

**[Insert Name of Fund or Manager]**

**[Fund/Manager Address]**

**[Insert Name and Address of Administrator]**

**Investor Name: Insert "All" if this letter is required to cover all investors introduced by this Recognised Regulated Entity**

**Re: Investors in [Insert Name of Fund]**

**Customer Due Diligence: Anti-Money Laundering/Counter Terrorist Financing**

Dear Sirs,

[Full Legal Name of Regulated Institution] is licensed and regulated by [Regulator and licence No] in respect of the conduct of all our financial business activities including for the purposes of anti-money laundering and terrorist financing.

[Regulated Institution] is bound by and complies with the due diligence requirements as set out in regulations and/or guidance issued on the Prevention of Money Laundering and Countering the Financing of Terrorism under [Name of legislation] and as per the FATF recommendations

[Regulated Institution] verifies the identity of all its clients ("the introduced investor(s)") who have invested in the Fund and we make the following representations and undertakings:

### **Customer Due Diligence**

1. We have conducted Customer Due Diligence (and where appropriate Enhanced Customer Due Diligence) on the introduced investor (s) and, where applicable, the principal beneficial owners of the introduced investor(s);
2. We will conduct such verification and due diligence of any new investors and beneficial owner(s), where applicable;
3. We have access to, retain and verify, to the extent required by regulation, the identity, including the true name and proof of current permanent residence of the introduced investor(s);
4. In the event that the introduced investor(s) is a corporate or other entity we use all reasonable efforts to verify the identity of the ultimate beneficial owners or beneficiaries of that entity, obtain constitutional documents, a list of directors and executive officers (or identifying information relating

to those directors and officers) and evidence that the persons executing documents on behalf of the introduced investor(s) are properly authorised;

5. In the event we are unable to verify the identity of an introduced investor(s) we will inform you as soon as it is reasonably practical;
6. To the best of our knowledge, we are satisfied that the introduced investor(s), and, where applicable the beneficial owner(s), are engaged in legitimate business activities and that their funds and assets are derived from legitimate sources. We are unaware of any activities on the part of the introduced investor(s) which could lead us to believe that such introduced investor(s) is involved in criminal conduct, money laundering or terrorist activities;
7. To the extent that the introduced investor(s) or beneficial owner(s) is a bank, including a branch, agency or office of a bank, we have taken and will take reasonable measures to establish that the bank has a physical presence or is an affiliate or a regulated entity. We will not accept investments from or on behalf of [foreign] shell banks.
8. To the extent that we know or have reason to believe that the introduced investor(s) or beneficial owner(s) is/are current or former Politically Exposed Person(s) ("PEP") or an immediate family member or a close associate of such a PEP, we have conducted appropriate due diligence of the introduced investor(s)/beneficial owner(s). We undertake to inform you as soon as reasonably practicable of any PEPs which have been determined in this manner.

### **Suspicious Activity**

9. We will monitor transactions of our clients to identify possible suspicious activity. If we identify any unusual or suspicious activity of any introduced investor and beneficial owner, we will notify your MLRO as appropriate;

### **OFAC/EU Sanctions Representation and Warranties**

10. We have confirmed and verified that none of the introduced investor(s), persons controlling or controlled by the introduced investor(s), or persons having a beneficial interest in the introduced investor(s) is; named on a list of prohibited entities and individuals maintained and updated by the OFAC (Office of the Foreign Assets Control) or EU (Composite list of persons and organisations against whom sanctions have been imposed), or is prohibited pursuant to the sanctions programs administered by the OFAC or EU. We will recheck the names of each introduced investor and Beneficial Owner against OFAC and EU Lists as these lists are from time to time amended or if there is a change in ownership or control of the introduced investor(s);
11. If we determine in the future that an introduced investor or beneficial owner becomes subject to sanctions or is included on the OFAC or EU Lists, we will advise you of this in order for appropriate measures to be taken, including blocking of any assets of the introduced investor(s);

### **General Provisions**

12. We acknowledge that the Administrator and the Fund are placing reliance on (insert Legal Name of Regulated Financial Institution) for the purposes of meeting its due diligence obligations (except for ongoing monitoring) in respect of the introduced investor(s), and where applicable the beneficial owners;
13. We will retain and maintain documentary evidence of the identity of the introduced investor(s), and where applicable the beneficial owners, for a period of at least five years from the cessation of our relationship with the introduced investor;
14. We undertake that prior to the destruction of such documents and information; we will ensure that the relevant documents and information are provided to you, where there is a continuing relationship between investors and [Insert Name of Administrator and the Name of the Fund].
15. We agree to furnish you with the documentary evidence retained by us concerning the introduced investor(s) promptly upon request. In the event of any inquiry from a regulator or a competent law enforcement agency, we agree to provide you with all the necessary information to satisfy the request;
16. We undertake to advise you immediately, should at any time in the future, our licence or registration as noted above, be altered or revoked.

Yours sincerely,

Full Name & Position:

On behalf of [REGULATED INSTITUTION]

## Appendix VIII- Data Protection Notice

In accordance with the General Data Protection Regulation (697/2016/EU) (the “**GDPR**”) and applicable Irish data protection legislation (currently the Irish Data Protection Act 2018) as may be amended from time to time (collectively, “**Data Protection Legislation**”) Gateway UCITS Funds plc (the “**Fund**”) 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 Fund will be processed by the Fund, 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 Fund acting as a data controller may itself (or through third parties including but not limited to Société Générale Securities Services, SGSS (Ireland) Limited (the “**Administrator**”) together with any distributor or sub-distributors that may be appointed from time to time (collectively the “**Distributor**”), local paying agents, the corporate secretary and money laundering reporting officer (the “**MLRO**”) and mailing firms appointed by any of the foregoing (together the “**Service Providers**”) process your personal information or to the extent that you are a non-natural person, that of your directors, officers, employees, intermediaries and/or beneficial owners. Save where otherwise expressly provided, any reference in this Data Privacy Statement to “you” or “your” in the context of processing personal data of data subjects shall be understood to mean and relate to the personal data of your directors, officers, employees, intermediaries and/or beneficial owners as the context may require

In certain circumstances, the Administrator may itself use your personal data for its own purposes and as a result be considered a data controller of such data. In such circumstances, all rights afforded to you as a data subject under the GDPR shall be solely exercisable against the Administrator which will use personal data for its own purposes.

In this regard, please note the following:

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

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

<b>Processing Activity by or on behalf of the Fund</b>	<b>Legal Basis for Processing</b>
Where you are a natural person, managing and administering your holdings in the Fund and any related account on an ongoing basis	Performance of the contract between the Fund and you
Where you as investor are a natural person, disclosures to third parties such as auditors, regulatory, tax authorities and technology providers in the context of the day to day operations of the Fund;	Performance of the contract between the Fund and you.
Where you as investor are a non-natural person, disclosures to third parties such as auditors, regulatory, tax authorities and technology providers in the context of the day to day operations of the Fund	Pursuing the legitimate interests of the Fund <ul style="list-style-type: none"> <li>• in managing and administering your holdings in the Fund and any related account on an ongoing basis.</li> <li>• ensuring the effective operation of the Fund for all of its investors.</li> </ul>



Processing Activity by or on behalf of the Fund	Legal Basis for Processing
Complying with any applicable legal, tax or regulatory obligations imposed on the Fund including legal obligations under collective investment scheme law, the AIFM Regulations and the AIF Rulebook, under tax law and under anti-money laundering / counter terrorist financing legislation	Compliance with a legal obligation to which the Fund is subject
<p>(i) Carrying out statistical analysis and market research;</p> <p>(ii) Recording, maintaining, storing and using recordings of telephone calls and electronic communications that you make to and receive from the Fund, the Service Providers and their delegates or duly appointed agents and any of their respective related, associated or affiliated companies for any matters related to investment in the Fund, dispute resolution, record keeping, security and/or training purposes; and</p> <p>Provision of monthly fund performance information.</p>	<p>Pursuing the legitimate interests of the Fund to include:</p> <p>(i) documenting and monitoring target investor profiles;</p> <p>(ii) maintaining adequate service levels for its investor base;</p> <p>(iii) keeping its investors informed in respect their investment</p> <p>Further information relating to the balancing test undertaken by the Fund in respect of such processing is available upon request.</p>

The Administrator, as a data controller of your personal data, may also collect, store, disclose, use or otherwise process your personal data for the purposes outlined below.

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

The Administrator shall be a separate data controller of the personal data of Shareholders, applicants for Shares, beneficial owners, directors and officers of Shareholders and applicants for Shares which it obtains as a result of its contracts with the Fund:

- (i) to the extent that it is necessary for it to comply with its own obligations under anti-money laundering legislation (on the basis of their respective legal obligations);
- (ii) to utilise such personal data for the purposes of anti-money laundering verification and monitoring in connection with investments made by Shareholders in other collective investment schemes administered by the Administrator (on the basis of a legitimate purpose of the Administrator and the other collective investment scheme(s) in which the relevant Shareholder has invested); and

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

**Please note that where personal data is processed for purposes of legitimate interests, you have a right to object to such processing and the Fund and its appointed Service Providers will no longer process the personal data unless it can be demonstrated that there are compelling**

**legitimate grounds for the processing which override your interests, rights and freedoms or for the establishment, exercise or defence of legal claims.**

### **Profiling and Screening**

The Fund and its appointed Service Providers may engage in PEP screening and financial sanctions screening programs defined by the European Union (“**EU**”), the United Nations (“**UN**”), Her Majesty’s Treasury (“**HMT**”) and the Office of Foreign Assets Control (“**OFAC**”) for the purposes of complying with the Criminal Justice (Money Laundering and Terrorist Financing) Act 2010 as may be amended or replaced from time to time and with UN, EU and other applicable sanctions regimes. The implementation of such PEP screening and financial sanctions screening programmes may result in the Fund or its Service Providers refusing an application for Shares in the Fund 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 Fund or its Service Providers. Such processing, which may reveal your political opinion, is considered lawful on the grounds of substantial public interest permitted under Article 9(2)(g) of the GDPR.

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

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

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

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

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

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

## **Transfers Abroad**

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

Where data transfers outside of the EEA take place, the Fund and/or the relevant Service Provider have taken the necessary steps to ensure that appropriate safeguards have been put in place to protect the privacy and integrity of such personal data, in particular ensuring that the recipient is in a jurisdiction in relation to which there is a European Union finding of adequacy or the implementation of binding corporate rules between companies within the group of any Service Provider and/or ensuring the implementation of model contracts by the Service Providers and their affiliates. Please contact us at the e-mail addresses identified below under the heading ‘Contact Us’ should you wish to obtain information concerning such safeguards.

## **Data Retention Period**

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

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

## **Your data protection rights**

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

- (i) You have a right of access to and the right to amend and rectify your personal data.
- (ii) You have the right to have any incomplete personal data completed.
- (iii) You have a right to lodge a complaint with a supervisory authority, in particular in the Member State of your habitual residence, place of work or place of the alleged infringement if you consider that the processing of personal data relating to you carried out by the Fund 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 Fund or a Service Provider is processing personal data for legitimate interests.

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

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

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

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

### **Contact us**

If you have any questions about the Fund’s use of your personal information, please contact [DPO.sgssireland@sgss.socgen.com](mailto:DPO.sgssireland@sgss.socgen.com)

If you have any questions about the Administrator’s use of your personal information where they act as data controller, please contact [Dataprotection.sgssireland@sgss.socgen.com](mailto:Dataprotection.sgssireland@sgss.socgen.com)