

**Davy Funds Plc**  
 an open-ended umbrella investment company with variable capital and segregated  
 liability between sub-funds (the “Fund”)

**Subscription / Application Form**

Please complete this form in blue or black ink using BLOCK CAPITALS. This Application Form, together with the Money Laundering Verification Requirements and the Declaration of Irish Residence outside Ireland, constitutes your agreement to subscribe for Shares in the Fund. You should post or fax your subscription (in which case the original must also be forwarded) to Northern Trust International Fund Administration Services (Ireland) Limited (the “Administrator”) at the address below:-

On application please return to:

**The Administrator:**  
**Davy Funds Plc Transfer Agency Team, Northern Trust International Fund Administration Services (Ireland) Ltd., Georges Court, 54-62 Townsend Street, Dublin 2, Ireland**  
**Phone: + 353 1 434 5122**  
**Fax: + 353 1 434 5286**  
**E-mail [Davys\\_TA@ntrs.com](mailto:Davys_TA@ntrs.com)**

Please note that subscription/redemption orders can be accepted by telephone. Please see contact details:

<b>Davy</b>	<b>00353 1 434 5124</b>
<b>Davy UK Number</b>	<b>0044(0)333 300 0366</b>
<b>Option 1 = Enquiry</b>	
<b>Option 2 = Dealing</b>	
<b>Option 1 - KIID Yes</b>	
<b>Option 2 - KIID No</b>	
<b>Default - KIID selection not chosen</b>	

We wish to purchase:

SUB-FUND	SHARE CLASS	ACCUMULATING DISTRIBUTING	NUMBER OF UNITS	GROSS INVESTMENT AMOUNT
DAVY ESG MULTI-ASSET FUND				
DAVY ESG EQUITY FUND				
GLOBAL BRANDS EQUITY FUND				
DAVY DISCOVERY EQUITY FUND				
DAVY LONG TERM GROWTH FUND				
DAVY CAUTIOUS GROWTH FUND				
DAVY BALANCED GROWTH FUND				
DAVY STRATEGIC GLOBAL EQUITY FUND				
DAVY GLOBAL BOND FUND				

DAVY DEFENSIVE EQUITY INCOME FUND				
DAVY UK GPS CAUTIOUS GROWTH FUND				
DAVY UK GPS BALANCED GROWTH FUND				
DAVY UK GPS LONG TERM GROWTH FUND				
GLOBAL EQUITY INCOME FUND				
DAVY GLOBAL EQUITY FUND				
DAVY FIXED INTEREST FUND				
DAVY CASH FUND				
GLOBAL EQUITIES FOUNDATION FUND				
GLOBAL FIXED INCOME FOUNDATION FUND				
TARGET RETURN FOUNDATION FUND				
FACTOR EQUITY FOUNDATION FUND				
DAVY GLOBAL FOCUS FUND				
DAVY UK GPS DEFENSIVE GROWTH FUND				
DAVY GLOBAL ESG-FOSSIL FUELS FUND				

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

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

**1. Single Applicant: Full Name**

**2. Joint Applicants: (a) Full Name** \_\_\_\_\_

(b) Full Name \_\_\_\_\_

(c) Full Name \_\_\_\_\_

(d) Full Name \_\_\_\_\_

**Contact person (if different from above):**  
**Address**

\_\_\_\_\_

**Place of Incorporation**

**Fax No.** \_\_\_\_\_

**Email:** \_\_\_\_\_

**PPS No.** \_\_\_\_\_

Date of Birth <sup>1</sup>(if applicable): \_\_\_\_\_

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

Full name where applicable of any beneficial owner of investor who owns more than 25% of the investment by the Nominee Company/Intermediary/ Company/Partnership/CIS/Trust/Public body:

1. \_\_\_\_\_ 2. \_\_\_\_\_  
 3. \_\_\_\_\_ 4. \_\_\_\_\_

Note: If there are no beneficial owners please check the box below

**DECLARATION** - *I/We declare that the information contained in this form, including the section entitled "Representations and Warranties" at pages 12 to 18, and any attached documentation is true and accurate to the best of my/our knowledge and belief.*

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

Signed: 1. \_\_\_\_\_  
 \_\_\_\_\_

Signatory Capacity if applicable  
 (i.e. Director/manager)

2. \_\_\_\_\_  
 \_\_\_\_\_

3. \_\_\_\_\_  
 \_\_\_\_\_

4. \_\_\_\_\_  
 \_\_\_\_\_

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

**Investor Tax Residency**

Please tick (✓) the relevant box

- A) Non-U.S. taxpayer
- B) U.S. taxpayer\*
- C) One or more joint Applicants is a U.S. taxpayer
- D) Non-U.S. taxpayer holding shares on behalf of a U.S. taxpayer

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

**\*"U.S. Taxpayer"** is defined to include a U.S. citizen or resident alien of the United States (as defined for United States federal income tax purposes); any entity treated as a partnership or corporation for U.S. tax purposes that is created or organised in, or under the laws of, the United States or any state thereof (including the District of Colombia); any other partnership that is treated as a U.S. Taxpayer under U.S. Treasury Department

<sup>1</sup> Must be over 18 years of age.

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

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

regulations; any estate, the income of which is subject to U.S. income taxation regardless of source; and any trust over whose administration a court within the United States has primary supervision and all substantial decisions of which are under the control of one or more U.S. fiduciaries. Persons who have lost their U.S. citizenship and who live outside the United States may nonetheless, in some circumstances, be treated as U.S. Taxpayers.

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

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

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

The administrator can issue electronic reports to shareholders. By ticking the box opposite, I hereby consent to electronic receipt of contract notes, statements and other reports which may be issued from time to time by the Administrator in respect of my holdings in the Fund.

**1.1. BENEFICIAL OWNER**

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

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

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

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

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

Where sub-paragraphs (A) or (B) below are relevant, the following table must also be completed in order to enable the Fund to comply with the European Union (Anti Money Laundering Beneficial Ownership of Corporate Entities) Regulation 2016 (SI No. 560 of 2016) (the "**Beneficial Ownership Regulations**"). If you become aware that you are a "beneficial owner" of the Fund (as that term is defined in the Beneficial Ownership Regulations) you have certain legal obligations to provide the Fund with relevant information, in particular any changes to the information below (including if you become aware that you have ceased to be a beneficial owner)(a "**Relevant Change**"). Please see Section 9, "Signatures and Declarations" in respect of the statutory obligations to the Fund.

- (A) If either (i) the beneficial owner is a natural person, and is the same as the account holder or (ii) the third party beneficial owner is a natural person please provide all information below.

<sup>4</sup> As defined in footnote (2)

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

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

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

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

For intermediaries only

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

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

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

1. the intermediary has verified the identity of the above named investor (meaning the third-party beneficial owner(s)) consistent with the anti-money laundering regulations of Ireland or, if they are at least equivalent, of the jurisdiction of sale
2. the intermediary has documentation to support the investor identification, can produce it on demand and will hold it for five years after the final transaction in this account
3. the intermediary has identified all parties owning or controlling 25% or more of the equity or the voting rights of the investor, and all parties that in turn own or control 25% or more of the equity or voting rights of the parties initially described, and agrees to provide documentation on all of these parties that is satisfactory to us upon request
4. the intermediary has the power and authority to act on behalf of the investor as concerns all matters regarding this application and investment
5. the intermediary indemnifies us from any costs or any damages resulting from any misrepresentation the

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

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

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

intermediary makes on this form

6. the intermediary agrees to notify us immediately should its relationship to investor end
7. the intermediary agrees to provide the beneficial owner(s) with all current standard and local offering documents as and when required by law and regulation, and to maintain adequate records that it has done so
8. the signer is authorised to make all of these representations on behalf of the intermediary

Authorised Signer Name in Block Letter

\_\_\_\_\_

Title

Date

\_\_\_\_\_

Signature

\_\_\_\_\_

## 2. BANK ACCOUNT DETAILS (MANDATORY)

Name of Bank

\_\_\_\_\_

A/c Name

\_\_\_\_\_

A/c Number

\_\_\_\_\_

Address of Bank

\_\_\_\_\_

\_\_\_\_\_

Swift Code

\_\_\_\_\_

IBAN Number

\_\_\_\_\_

***NO THIRD PARTY PAYMENTS WILL BE UNDERTAKEN***

Please ensure that you have read the prospectus for the Fund (“the Prospectus”) before completing this Application Form. Defined terms used in this Application Form are those used in the Prospectus.

### NOTES:

- (a) Please note bank charges may be deducted, see main prospectus for further details.
- (b) Requests for redemption or distribution payments to be made by telegraphic transfer will be subject to bank charges. Such charges will normally be payable by the Shareholder although the Fund has the discretion to determine that these charges should be borne by the Fund or the relevant Sub-Fund.
- (c) If subscribing for shares in more than one Sub-Fund investors must clearly mark the payment reference accounts for each particular Sub-Fund and the sub-account.
- (d) Any subscription proceeds paid in currencies other than the Base Currency of the relevant Sub-Fund or the designated currency of the relevant Share Class will be converted into that currency at prevailing exchange rates. This foreign exchange transaction will be arranged by the Administrator at the cost and risk of the relevant investor.
- (e) The Base Currency of the fund and the designated currency of any Shares will be set out in the relevant Supplement to the Prospectus and is also noted above. Applications for Shares shall be accepted in the Base Currency of the relevant fund or the designated currency of the relevant Class.
- (f) Please ensure that you have read the prospectus for the Fund (“the Prospectus”) before completing this

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

- (g) All Applicants should sign the necessary additional declarations on pages 19 & 21 Exempt from tax non – Irish Residents and Exempt from tax Irish Residents should also complete the relevant declarations appropriate

**All Applicants should sign the necessary declarations on page 4.  
Exempt from tax non-Irish Residents and Exempt from tax Irish Residents should also complete the relevant declarations on pages 4 and 5 respectively.**

**Distribution/Dividend Requirements<sup>10\*</sup>**

I/We would like our distribution re-invested  **Paid by Telegraphic Transfer**

**Distributions paid by Telegraphic Transfer will be paid to the account specified above. Should you require your distribution to be paid to another account, please enter the banking details below. Please note if no option is indicated such dividend payments will be reinvested.** Distributions due will automatically be re-invested if you have failed to provide satisfactory evidence of your identity in accordance with the Administrator’s anti-money laundering procedures notwithstanding any election to the contrary by you.

**Name of Bank** \_\_\_\_\_

**A/c Name** \_\_\_\_\_ **A/c Number** \_\_\_\_\_

**Address of Bank** \_\_\_\_\_

**Swift Code** \_\_\_\_\_

**IBAN Number** \_\_\_\_\_

*No third party payments will be undertaken*

**3. ANTI-MONEY LAUNDERING REQUIREMENTS**

In line with anti-money laundering requirements operating in various jurisdictions, all investors are required to be identified. For this purpose certain documentation will be required at the time of application. Failure to supply all of the necessary documentation may result in the rejection of any subsequent redemption instructions-. Please tick the most appropriate box below and refer to Due Diligence Documentation Section (as set out below) for the relevant documentation requirements:

Are you investing as

Individual  Corporate Entity  Trust  Partnership

Collective Investment Scheme  Pension Scheme  Club/Society

Pension Scheme  Charity  Public Body  Educational

Institution

**Note that, in all cases the Administrator or Fund may, at its absolute discretion request further due diligence documentation/ information to satisfy applicable procedural and regulatory requirements.**

**4. DEALING PROCEDURE**

All application, redemption, transfer requests and instructions in relation to the Shares in the Sub-Fund must be received before the time(s) specified in the relevant supplement of the Prospectus for the Sub-Fund. Applications, redemptions and transfer requests received after that time will generally be deemed to have been received for the next Dealing Day. No redemption payment may be made until the original application form has been received and the Administrator is satisfied that all of the necessary anti-money laundering checks have been completed in full. Investors

By ticking the box opposite, I hereby consent to the provision of contract notes, statements and other reports, by secured or encrypted electronic transmission, which may be issued from time to time by the Administrator in respect of my holdings in the Fund.	<input type="checkbox"/>
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**5. METHOD OF PAYMENT**

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

	<b>FOR GBP SETTLEMENT</b> (International payments)	<b>FOR EURO SETTLEMENT</b>
<b>To:</b>	Barclays Bank	Barclays Bank
<b>Address:</b>	1 Churchill Place, London E14 5HP	1 Churchill Place, London E14 5HP
<b>Swift Code:</b>	BARCGB22	BARCGB22
<b>Beneficiary Bank</b>	The Northern Trust International Banking Corporation, New Jersey  Swift: (CNORUS33)	The Northern Trust International Banking Corporation, New Jersey  Swift: (CNORUS33)
<b>A/C Number:</b>	N/A	56080488
<b>Beneficiary account name &amp; number:</b>	DAVY FUNDS PLC - 626986-20019	DAVY FUNDS PLC 626978-20019
<b>Reference: Register number and/or order number</b>		

**Please specify your Ordering Institution details for subscriptions**

Currency \_\_\_\_\_ Correspondent Bank \_\_\_\_\_  
 Swift/ABA \_\_\_\_\_ Account Number \_\_\_\_\_



*MONIES MUST COME FROM THE ACCOUNT OF THE INVESTOR***6. Return of Values (Investment Undertakings) Regulations 2013**

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

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

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

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

*Your personal information will be handled by the Administrator or it's duly appointed delegates as Data Processor for the Fund in accordance with the General Data Protection Regulation (Regulation 2016/679, the "Data Protection Legislation"). Your information provided herein will be processed for the purposes of complying with the Return of Values (Investment Undertakings) Regulations 2013 and this may include disclosure to the Irish Revenue Commissioners.*

**7. Individual (including Controlling Persons) Self-Certification for FATCA and CRS**

**Instructions for completion and Data Protection Notice**

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

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

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

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

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

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

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

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

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

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

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

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**\*Section 1: Account Holder/Controlling Person Identification**

**\*Account Holder / Controlling Person Name:** \_\_\_\_\_

**\*Current Residential Address:**

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

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

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

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

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

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

**Postal/ZIP Code:** \_\_\_\_\_

**Country:** \_\_\_\_\_

**\*Place and Date Of Birth**

**\*Town or City of Birth:** \_\_\_\_\_ **\*Country of Birth:** \_\_\_\_\_

**\*Date of Birth:** \_\_\_\_\_

**\*Section 2: FATCA Declaration of U.S. Citizenship or U.S. Residence for Tax purposes:**

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

- (a)  I confirm that **I am** a U.S. citizen and/or resident in the U.S. for tax purposes and my U.S. federal taxpayer identifying number (U.S. TIN) is as follows:

\_\_\_\_\_

**OR**

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

**\*Section 3: Common Reporting Standard (CRS) Declaration of Tax Residency/Residencies (please confirm all Tax Residencies)**

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

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

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

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

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

- Reason A** - The country/jurisdiction where the Account Holder is resident does not issue TINs or TIN equivalents to its residents
- Reason B** - No TIN is required. (Note: Only select this reason if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such country/jurisdiction)
- Reason C** - The Account Holder is otherwise unable to obtain a TIN (*Please explain why you are unable to obtain a TIN if you selected Reason C*)

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**Section 4 – Type of Controlling Person**

(ONLY to be completed by an individual who is a Controlling Person of an entity which is a Passive Non-Financial Entity or an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution)

For Joint or multiple Controlling 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 /the Account holder by ticking the appropriate box	Please Tick	Entity Name
Controlling Person of a legal person – control by ownership		
Controlling Person of a legal person – control by other means		
Controlling Person of a legal person – senior managing official		
Controlling Person of a trust – settlor		
Controlling Person of a trust – trustee		
Controlling Person of a trust – protector		
Controlling Person of a trust – beneficiary		
Controlling Person of a trust – other		
Controlling Person of a legal arrangement (non-trust) – settlor-equivalent		
Controlling Person of a legal arrangement (non-trust) – trustee-equivalent		
Controlling Person of a legal arrangement (non-trust) – protector-equivalent		
Controlling Person of a legal arrangement (non-trust) – beneficiary-equivalent		
Controlling Person of a legal arrangement (non-trust) – other-equivalent		

**\*Section 5: Declaration and Undertakings:**

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

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

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

**Data Protection - Customer Information Notice :**

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

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

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

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

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

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

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

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

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

**\*Capacity (if Controlling Person):** \_\_\_\_\_

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

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

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

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

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

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

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

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

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

(Mandatory fields are marked with an \*)

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

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

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

**\*Current (Resident or Registered) Address:**

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

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

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

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

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

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

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

**\*Section 2: FATCA Declaration:**

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

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

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

Or

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

Or

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

Indicate exemption: \_\_\_\_\_

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

**3.1 Financial Institutions under FATCA:**

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

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

**3.2 Please provide the Entity’s Global Intermediary Identification number (GIIN)**

□□□□□□.□□□□□□.□□.□□□□

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

I.	<p>The Entity has not yet obtained a GIIN but is sponsored by another entity which does have a GIIN<sup>∞</sup> Please provide the sponsor’s name and sponsor’s GIIN :</p> <p><b>Sponsor’s Name:</b> _____</p> <p><b>Sponsor’s GIIN:</b> □□□□□□.□□□□□□.□□.□□□□</p> <p><sup>∞</sup><b>NOTE:</b> this option is only available to Sponsored Investment Entities in Model 1 IGA jurisdictions. Sponsored Investment Entities that do not have U.S. reportable accounts are not required to register and obtain a GIIN with the IRS unless and until U.S. reportable accounts are identified.</p>	<input type="checkbox"/>
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**\*Section 4: Common Reporting Standard (“CRS”) Declaration of Tax Residency**  
**(Note that Entities may have more than one country of Tax Residence)**

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

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)

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**\*Section 5: Entity’s CRS Classification** (The information provided in this section is for CRS. Please note an Entity’s CRS classification may differ from its FATCA classification in Section 3 above). In addition please note that the information that the Entity has to provide may differ depending on whether they are resident in a participating or non-participating CRS Jurisdiction. For more information please see the OECD CRS Standard and associated commentary. <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>

**5.1 Financial Institutions under CRS:**

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

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

I.	<p><b>A Reporting Financial Institution resident in a participating CRS jurisdiction</b></p>	<input type="checkbox"/>
II.	<p><b>A Financial Institution Resident in a Non-Participating Jurisdiction</b> (Please also tick the box that applies)</p> <p><input type="checkbox"/> <b>An Investment Entity resident in a Non-Participating Jurisdiction and managed by another Financial Institution</b> (If this box is ticked, please indicate the name of any Controlling Person(s) of the Entity <b>in section 6 below</b> and complete a separate individual self-certification forms for each of your Controlling Persons“)</p> <p><input type="checkbox"/> <b>An Investment Entity resident in a Non-Participating Jurisdiction that is not managed by another Financial Institution</b></p> <p><input type="checkbox"/> <b>Other Financial Institution</b>, including a Depository Financial Institution, Custodial Institution or Specified Insurance Company</p>	<input type="checkbox"/>
III.	<p><b>Non-Reporting Financial Institution under CRS.</b></p> <p><b>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.</p> <p>Specify the type provided in the domestic law:</p> <p>_____</p>	<input type="checkbox"/>

**5.2 Non Financial Institution (Non-Financial Foreign Entity/NFE) under CRS:**

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

I.	<b>Active Non-Financial Entity (NFE)</b> – a corporation the stock of which is regularly traded on an established securities market. Please provide the name if the established securities market on which the corporation is regularly traded: _____	<input type="checkbox"/>
II.	<b>Active Non-Financial Entity (NFE)</b> – if you are a Related Entity of a regularly traded corporation. Please provide the name of the regularly traded corporation that the Entity is a Related Entity of: _____  Please provide details of the securities market that the entity is listed on : _____	<input type="checkbox"/>
III.	<b>Active Non-Financial Entity (NFE)</b> – a Government Entity or Central Bank	<input type="checkbox"/>
IV.	<b>Active Non-Financial Entity (NFE)</b> – an International Organisation	<input type="checkbox"/>
V.	<b>Active Non-Financial Entity (NFE)</b> – <i>other</i> than those listed in I, II, III or IV above. (for example a start-up NFE or a non-profit NFE)	<input type="checkbox"/>
VI.	<b>Passive Non-Financial Entity (NFE)</b> - (if this box is ticked, please also complete Section 6.1 below and indicate the name of all natural Controlling Person(s) of the Entity and complete a separate Individual Self-Certification Form for each of your Controlling Person(s))	<input type="checkbox"/>

**Section 6: Controlling Persons**

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

*For further information on Identification requirements under CRS for Controlling Persons, see the Commentary to Section VIII of the CRS Standard. <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/common-reporting-standard-and-related-commentaries/#d.en.345314>*

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

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

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

I.	
II.	
III.	

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

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

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

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

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

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

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

\_\_\_\_\_

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

\_\_\_\_\_

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

\_\_\_\_\_

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

## 9. SIGNATURES AND DECLARATIONS

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

- I/We declare that I am/we are licensed as..... (description) by the (regulatory body) under the laws of..... (country) and am/are thereby subject to regulations and/or guidelines which to the best of my/our. knowledge and understanding are in accordance with the FATF Recommendations on the prevention of money-laundering. We attach independent verification of our licensed status. This application is made in my/our name on behalf of my/our clients whose identity has been properly verified by me/us in accordance with the guidelines. Evidence of such verification will be retained for such period as is required by the country of our domicile and will be promptly supplied to the Administrator or the Fund upon request. We confirm that we have adopted measures to prevent and detect the commission of an offence of financing terrorism and that all employees, directors and other officers have received the appropriate level of training to ensure these measures are applied. Furthermore, should our licence or registration as noted above be revoked or altered at any future time or if the situation with regard to any of the clients introduced has changed, we undertake to advise you immediately. We further confirm we will provide the Administrator with a letter of assurance in connection with these matters in a form acceptable to the Administrator, if requested. A Designated Body is an individual or other entity which is regulated in respect of the provision of banking or investment services in a country which is a member of the European Union or the FATF.
- I/We understand that the confirmations, representations, declarations, indemnities and warranties made or given herein are continuous and apply to all subsequent purchases of Shares by me/us in the Fund.
- I/We have such knowledge and experience in business and financial matters or have obtained advice from a professional adviser such that I am/we are capable of evaluating the merits, and the risks, of an investment by me/us in the Fund.
- I/We understand that the tax disclosure set forth in the Prospectus is of a general nature and may not cover the jurisdiction in which I am /we are subject to taxation and that the tax consequences of my/our purchase of Shares depend on my/our individual circumstances.
- I/We acknowledge the right of the Fund at any time to require the mandatory redemption of Shares in the circumstances provided for in the Prospectus.
- Please **tick (✓)** as appropriate:-<sup>11</sup>
  - (a)  I am a U.S. Person (as defined in the Prospectus) and have completed the Application Form<sup>12</sup> for applicants who are U.S. Persons; or
  - (b)  I/We hereby certify that the Shares are not being acquired for the benefit of, directly or indirectly, any U.S. Person nor in violation of any applicable law, and that I/we will not, subject to the conditions set forth in the Prospectus, sell or offer to sell or transfer Shares in the United States or to or for the benefit of a U.S. Person.

In particular: (a) I/we understand that the Fund has not been and will not be registered under the United States Investment Company Act of 1940, as amended, that the Shares have not been registered and will not be registered under the United States Securities Act of 1933, as amended, and that the Shares have not been qualified under the securities laws of any state of the United States and may not be offered, sold or transferred in the United States or to or for the benefit of, directly or indirectly, any U.S. Person; (b) I am not/none of us is a U.S. Person; and (c) I am not/none of us is/are acquiring the Shares for the account or benefit, directly or indirectly, of any U.S. Person or with a view to their offer, sale or transfer within the United States or to or for the account or benefit, directly or indirectly, of any U.S. Person.

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

Yes       No       *(please tick the appropriate box)*

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

<sup>11</sup> Client Client’s US counsel to review.

<sup>12</sup> Client’s US counsel to provide US Person specific Application Form.



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

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

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

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

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

- I/We, if not a natural person, am/are duly organised, validly existing and in good standing under the laws of the jurisdiction in which I am/we are organised and I/we have the power and authority to enter into and perform my/our obligations under this Application Form.

- I am/we are able to bear the economic risk of an investment in the Shares, including, without limitation, the risk of loss of all or a part of my/our investment. I/we do not have an overall commitment to investments which are not readily marketable that is disproportionate to my/our net worth, and my/our investment in the Shares will not cause such overall commitment to be excessive.
- The Administrator and the Fund are each hereby authorised and instructed to accept and execute any instructions in respect of the Shares to which this application relates given by me/us in written form or by facsimile. I/We hereby agree to indemnify the Fund and the Administrator, on its own behalf and as agent of the Fund and agree to keep the Administrator indemnified against any loss of any nature whatsoever arising as a result of the Fund and the Administrator acting upon facsimile instructions. The Fund and the Administrator may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed by properly authorised persons.
- I/We agree to provide to the Fund and the Administrator 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 Fund or the Administrator immediately of any such change and further agree to request the redemption of Shares in respect which such confirmations have become incomplete or inaccurate where requested to do so by the Fund.
- I/We acknowledge that due to AML requirements operating within Ireland, the Administrator or the Fund (as the case may be) may require further identification of the applicant(s) before the application can be processed and the Administrator, on its own behalf and as agent of the Fund and the Fund shall be held harmless and indemnified against any loss arising as a result of a failure to process the application, or a delay in processing any redemption requests, if such information requested by the Administrator or the Fund has not been provided by me/us or has been provided in incomplete form.
- I/We hereby accept such lesser number of Shares, if any, than may be specified above in respect of which this application may be accepted.
- In respect of joint applicants only, we direct that on the death of one of us the Shares for which we hereby apply be held in the name of and to the order of the survivor or survivors of us or the executor or administrator of the last of such survivor or survivors.
- I/We acknowledge that the Fund will collect, store and use the personal data I/we provide in my/ our interactions with the fund. I/We understand that I/we are advised to read in detail the Data Protection Disclosure Statement attached at Appendix 1. This document provides an outline of my/our data protection rights and the Fund's data protection obligations as they relate to my/our investment in the Fund.
- I/We shall provide the Fund and the Administrator with any additional information which it may reasonably request in connection with tax and/or FATCA regulations/reporting requirements or other similar requirements in order to substantiate any representations made by me/us or otherwise and I/we authorise the Fund or its agents to disclose such information relating to this application to such persons as they consider appropriate.
- I/We hereby acknowledge that any notice or document may be served by the Fund or Administrator on me/us in the manner specified from time to time in the Prospectus and, for the purposes of the Electronic Commerce Act 2000, if I have provided an e-mail address or fax number to the Fund or its delegate, consent to any such notice or document being sent to me/us by fax or electronically to the fax number or e-mail address previously identified to the Fund or its delegate which I/we acknowledge constitutes effective receipt by me/us of the relevant notice or document. I/we acknowledge that I/we am/are not obliged to accept electronic communication and may at any time choose to revoke my/our agreement to receive communications by fax or electronically by notifying the Fund in writing at the above address, provided that my/our agreement to receive communications by fax or electronically shall remain in full force and effect pending receipt by the Fund of written notice of such revocation.
- Where I/we am/are investing as nominee, I/ we shall provide our client(s) with the KIID issued in respect of the Sub-Funds and/or Share Class (as the case may be) and I/we shall ensure that we do so in compliance with Commission Regulation (EU) No. 583/2010, as amended from time to time or by any supplemental legislation and in compliance with the applicable legislation in any jurisdiction in carrying out this activity. I/We shall maintain

records of my/our provision of the KIID to my/our clients and shall furnish such records to the Fund, or its delegates, upon request.

- I/We hereby represent and declare that I/we am/are fully informed as to: (i) the legal requirements within my/our country for the purchase of Shares and are permitted to purchase the Shares under the laws and regulations of my/our home country in the manner in which the Shares have been offered and sold to me/us; (ii) any foreign exchange restrictions applicable to me/us; and (iii) any relevant tax considerations relating to me/us arising out of my/our purchase and ownership of Shares.
- I/We have made arrangements for payment to be made to the relevant bank account(s) specified above for subscriptions.
- I/We also warrant and declare that the monies being invested pursuant to this Application Form do not represent directly or indirectly the proceeds of any criminal activity and the investment is not designed to conceal such proceeds so as to avoid prosecution for an offence or otherwise.
- I/We acknowledge that the Fund or the Administrator also reserves the right to delay or refuse to make any redemption payment or distribution to a Shareholder without notice if any of the Directors or the Administrator suspects or is advised that the payment of any redemption or distribution moneys to such Shareholder might result in a breach or violation of any applicable anti-money laundering or other laws or regulations by any person in any relevant jurisdiction, or such refusal is considered necessary or appropriate to ensure the compliance by the Fund, its Directors or the Administrator with any such laws or regulations in any relevant jurisdiction. I/We hereby hold the Fund and the Administrator harmless and indemnify them against any loss arising as a result of a failure to process the application if such information has been required and has not been provided by me/us.
- I/We acknowledge that the Fund reserves the right to cancel without notice any contract for which payment has not been received by the relevant Settlement Date and to recover any losses incurred.
- If any of the foregoing representations, warranties or covenants ceases to be true or if the Fund no longer reasonably believes that it has satisfactory evidence as to their truth, notwithstanding any other agreement to the contrary, the Fund may be obligated to freeze my/our investment, either by prohibiting additional investments, investment may immediately be redeemed by the Fund, and the Fund may also be required to report such action and to disclose my/our identity to the Office of Foreign Asset Control ("**OFAC**") or other authority. In the event that the Fund is required to take any of the foregoing actions, I/we understand and agree that I/we shall have no claim against the Fund, the Investment Manager, the Administrator, and their respective affiliates, directors, members, partners, Shareholders, officers, employees and agents for any form of damages as a result of any of the aforementioned actions.
- I/We understand and agree that any redemption proceeds paid to me/us will only be paid to a bank account in my/our name and with a recognised financial institution. Redemptions will not be processed on non-cleared/verified accounts.
- We confirm that the persons listed on the attached authorised signatories list and whose specimen signatures appear on that list are duly authorised to give instructions with respect to Shares held by us in the Fund. (For corporate applicants only).
- I/We hereby agree that in order to allow the Fund comply with the rules of Sections 1471 through 1474 (inclusive) of the Internal Revenue Code of 1986 of the US, as amended, any current or future regulations or official interpretations thereof, any agreement entered into thereunder, or any fiscal or regulatory legislation, rules or practices adopted pursuant to any intergovernmental agreement entered into in connection with the implementation thereof ("**FATCA**") or the OECD Common Reporting Standard ("**CRS**"), I/we will:
  - a. Provide the (or any nominated service provider) with any information, declarations, certificates or documentation necessary for FATCA or CRS reporting; and
  - b. Permit the Fund to:
    - (a) Share such information with the US Internal Revenue Service, Irish Revenue or other relevant tax or other government authority as required by FATCA or CRS;
    - (b) Compel or effect the sale of the Shares or repurchase and cancel the Shares if it fails to comply with the foregoing requirement; and
    - (c) Make any other amendments to any other documents entered into in connection with the subscription ("Transaction Documents") as may be necessary to enable the Fund to comply with the FATCA or CRS.

- From 1 July 2014, the Sub-Fund will be obliged to collect certain information about you concerning US residency or citizenship, as set out below. If your Application pre-dates 1 July 2014, you may wish to volunteer the following information in order to avoid the Administrator contacting you thereafter to collect this information. However there is no legal obligation to provide this information prior to 1 July 2014.
  1. Tick this box if you are resident in the U.S. or if you are a U.S citizen;
  2. Tick this if you are not resident in the U.S. for tax purposes or a U.S. citizen. 
    - i. Please tick this box if you are not an individual, you have ticked box 2) above and the persons who control you are neither resident in the U.S. nor U.S. citizens
    - ii. Please tick this box if you are not an individual, you have ticked box 2) above and the persons who control you are either resident in the U.S. or U.S. citizens
- In addition to the Tax Information, I/we agree to promptly provide, at any times requested by the Fund, any information (or verification thereof) the Fund deems necessary for the Fund to comply with the terms of the IGA and any Irish laws, regulations or other guidance implementing the IGA, and any information required to comply with the terms of that agreement on an annual or more frequent basis. I/We agree to waive any provisions of foreign law that would, absent such a waiver, prevent compliance with such requests and acknowledges that, if it fails to provide such waiver, it may be required by the Fund to withdraw from the Fund if necessary to comply with the FATCA and the IGA.
- By providing the Tax Information, I/we represent and warrant the completeness and accuracy of such information (as at the date of submission) and authorise the Fund to act upon such information in good faith, including, but not limited to, disclosing or submitting such information to the Irish tax authorities. The Fund shall have no obligation to carry out any investigation with respect to the truth, accuracy or completeness of the Tax Information provided by us and I/we will, on demand, hold the Fund harmless from any liability resulting from the my/our failure to provide complete and accurate Tax Information.
- I/We hereby acknowledge that if I/we fail to provide the Tax Information on a timely basis, I/We may be subject to 30% U.S. withholding tax on the investor's Share of "withholdable payments" (as defined for purposes of FATCA) received by the Fund.
- I/We hereby acknowledge that if I/we fail to provide the Tax Information and such failure results in the Fund being unable to comply with the IGA, the Fund may exercise its right to completely redeem an applicant (at any time upon any or no notice). I/We further acknowledge and agree to indemnify the Fund and its other investors for any losses resulting from our failure to meet its obligations under this Section, including any U.S. withholding tax imposed on the Fund.
- For so long as I/We hold Shares in the Fund, I/We agree to provide all necessary details, information, documents and co-operation requested by the Fund or its duly authorised delegates in order to determine beneficial ownership as defined in the Beneficial Ownership Regulations.
- If at any time during the period I/We hold any Shares in the Fund I/We become aware that I/We am/are a "beneficial owner" of the Fund as that term is defined in the Beneficial Ownership, I/We acknowledge and agree to the following:
  - (a) to provide such information as may be required by the Fund and (b) if the Fund or its duly appointed delegate has not contacted me/us within a month of my/our acquiring the status of a Beneficial Owner, provide the information required in Part 1.1 of Section 1 of this form within the following month, as well as (to the best of my/our knowledge) the date on which I/We became a Beneficial Owner (as required under Regulation 11 of the Beneficial Ownership Regulations);
  - where I/We become aware that: (a) a Relevant Change (as defined in Part 1 of Section 1.1) has occurred and (b) the Company or its duly appointed delegate has not contacted me/us for information on the Relevant Change within a month of its occurrence, I/We agree to notify the Fund or its duly appointed delegate of the Relevant Change, the date of its occurrence and any other necessary information within either: (i) two months of the Relevant Change; or (ii) one month of becoming aware of facts from which I/We could reasonably conclude that a Relevant Change has occurred (whichever is later)(as required under Regulation 12 of the Beneficial Ownership Regulations).
  - I/We acknowledge that under Regulations 11 and 12 of the Beneficial Ownership Regulations

(outlined above) it is a criminal offence under Irish law (punishable by a fine of up to €5,000) if, being aware of my/our status as a Beneficial Owner, I/We (i) fail to take the steps above where the Fund has not contacted me/us for information within the relevant timeframes, or (ii) in purporting to do so, make a statement that is false in a material particular, knowing it to be false or being reckless as to whether it is so false.

- You agree to notify us immediately of any changes in the information provided in this application including all attachments.
- You understand that the confirmation, representations, declarations and warranties made herein are continuous and apply to all subsequent purchases of Shares in the Fund.

## **Declaration of Residence Outside Ireland**

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

**Declaration on own behalf**

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

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

**\*Delete as appropriate (mandatory)**

**Declaration as Intermediary**

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

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

I/we\* also declare that:

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

**\*Delete as appropriate (mandatory)**

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

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

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

Joint applicants:

Names \_\_\_\_\_ Signatures \_\_\_\_\_  
\_\_\_\_\_

### **IMPORTANT NOTES**

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

### **<sup>1</sup> Declaration of Residence within Ireland**

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

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

- I 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 for the purposes of the Finance Act.
- A specified company
- Entitled to exemption from income tax and capital gains tax by virtue of sections 784A(2), and 787I of the TCA 1997, (see further requirements for Qualifying Fund Manager below).
- A PRSA Administrator;
- A credit union to which Section 2 of the Credit Union Act, 1997 applies.

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

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

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

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

**Additional requirements where the declaration is completed by a Qualifying Fund Manager / Qualifying Savings Manager/ PRSA Administrator**

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

- Are assets of an \*approved retirement fund/an approved minimum retirement fund, a special savings incentive account or a PRSA and
- Are managed by the declarant for the individual named below who is beneficially entitled to the shares.

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

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

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

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

I/we\* also declare that

- unless I/we\* specifically notify you to the contrary at the time of application, all applications for shares/units made by me/us\* from the date of this application will be made on behalf of persons referred to in section 739D(6) TCA 1997; and

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

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

<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:** \_\_\_\_\_

**IMPORTANT NOTES**

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

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

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



**SIGNATURE**

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

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

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

**Due Diligence Documentation**

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

**1. Guide to completing this form.**

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

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

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

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

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

Suitable persons include:

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

Certification of each document should include:

- A signed statement confirming that this document is a true and accurate copy of the

original document as seen by the person certifying the document.

- The name (in block capitals), occupation and contact details (address, telephone number and email address) of the person certifying the document, as a true copy of the original document.
- The date of certification of the document, as a true copy of the original document.

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

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

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

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

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

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**3. English Translations**

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

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**Due Diligence Documentation- Investor Type**

**Part I – All Investors**

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

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

Please confirm whether you are a Politically Exposed Person

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

**Due Diligence Documentation- Leverage Across Investments**

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

**Due Diligence Documentation- Ultimate Beneficial Owner**

Ultimate Beneficial Owners are individuals who directly or indirectly hold ownership of 25% or more of the shares or voting rights in an entity, or otherwise exercise control over the management of the entity. **The Ultimate Beneficial Owner section must be completed. Non-completion could delay acceptance of subscription.**

\* In cases where shareholder(s) are entities with over 25% ownership or control, please provide the details of Individual(s) who hold beneficial ownership over 25%.

Please complete the below:

Name	Address	% Ownership	Nationality	Date of Birth

**Note:** If there is/ are no Individual(s) with a beneficial interest of 25% or more (either directly or indirectly) of the shares or voting rights of the entity, or anyone that otherwise exercises control of the entity (where applicable), please check the box.

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

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

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

**Related Person Detail**

Full names of all Related Persons:

- In the case of a company, Related Persons means the directors.
- In the case of a Partnership, Related Persons means the partners.
- In the case of a limited liability company (LLC), Related Persons means the managing members.
- In the case of a trust, foundation or similar entity, Related Persons means the trustees.
- In the case of a charity/government body/ university/ school/ college/ club/ society, Related Persons means the authorising officers/ board members/ officials.

1. _____	2. _____
3. _____	4. _____
5. _____	6. _____
7. _____	8. _____
9. _____	10. _____
11. _____	12. _____

**Due Diligence Documentation- Requirements**

**Part II- Due Diligence Requirements**

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

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

Examples of Photographic Identity Documentation

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

Examples of Proof of Address

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

**Note: All documentation must reflect the current residential address and must be dated within the previous 6 months other than in the case of an official document known to be issued only or typically at fixed intervals of**

**more than 6 months, in which case such document may be accepted during that period, to a maximum of 12 months (e.g. correspondence from local authorities).**

Letter of Assurance

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

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

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**Prescribed Countries (i.e. jurisdictions where a presumption of comparability with Ireland may be made)**  
Australia, Austria, Belgium, Brazil, Bulgaria, Canada, Channel Islands, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hong Kong, Hungary, Iceland, India, Ireland, Isle of Man, Italy, Japan, Latvia, Liechtenstein, Lithuania, Luxembourg, Malta, Mexico, Netherlands, Norway, Poland, Portugal, Romania, Singapore, Slovakia, Slovenia, South Africa, South Korea, Spain, Sweden, Switzerland, United Kingdom, United States.

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

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

**Deemed High Risk Countries**

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

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

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**Regulated Credit or Financial Institution**

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

1. Please provide proof of regulation.

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

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

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

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

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

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

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

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**Nominee Company**

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

1. Please provide proof of regulation.

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

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

**or**

**Please provide the following confirmations/documentation**

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

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

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

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

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#### **Listed Company**

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

1. Please provide proof of listing.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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### **Government / Public Body**

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

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

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

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

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

8. Photographic identity document and proof of address for 2 official of the government body or public authority.



9. Copy of the audited financial statements of the government body or public authority.

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

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### **Pension Scheme**

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

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

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

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

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

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

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

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### **Collective Investment Scheme**

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

1. Please provide proof of listing.

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

1. Please provide proof of regulation.

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

1. Full name of the CIS.

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

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

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

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

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

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

1. Photographic identity document.
2. Proof of address.
3. One of the following:
  - An additional verification document such as a second photographic identity document or a second proof of address document.
  - Confirmation from a credit or financial institution confirming that the applicant is or has been a customer of that institution.

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

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

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### **Private and Unlisted Company**

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

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

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

7. One or more of the following:
  - Extract from the relevant company registry providing details of the Company; and/or
  - Copy of the certificate of incorporation or equivalent of the Company; and/or

- Copy of the Memorandum and Articles of Association or equivalent of the Company; and/or
- Copy of the latest audited financial statements of the Company.

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

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

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

### **Limited Liability Company**

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

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

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

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

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

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

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

### **Partnership**

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

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

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

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

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

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

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

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

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

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## **Trust**

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

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

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

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

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

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

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

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

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

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### **Foundation**

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

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

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

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

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

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

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

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

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### **Charity**

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

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

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

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

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

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

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

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**Club or Society**

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

1. Full name of the Club/Society.
2. Registered legal address and principal business address of the Club/Society.
3. Confirmation of the legal status of the Club/Society.
4. Confirmation of the nature/purpose of the Club/Society with details of how the Club/Society is funded.
5. Details of the principal Officers of the Club/Society.
6. Photographic identity document and proof of address for 2 principal Officers of the Club/Society or 1 principal officer and 1 authorised signatory certified as true copies of the original documents.
7. Constitutional/formation document or Audited financial statements for the Club/Society.

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

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

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

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**School, College or University**

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

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

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

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

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

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### **Church**

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

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

**or**

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

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

9. Audited financial statements for the Church.
10. Details of any Beneficial Owner with photographic identity document and proof of address for such Beneficial Owner(s).

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

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### **Trade Union**

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

1. Full name of the Trade Union.
2. Registered legal address and principal business address of the Trade Union.

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

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

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

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



## **Appendix 1**

### **Data Protection Disclosure Statement**

#### **Introduction**

The purpose of this document is to provide you with information on our use of your personal data in accordance with the EU data protection regime introduced by the General Data Protection Regulation (Regulation 2016/679, the "Data Protection Legislation").

In this document, "we", "us" and "our" refer to the Company and J&E Davy and its affiliates and delegates.

#### **Who this affects**

If you are an individual investor, this will affect you directly. If you are an institutional investor that provides us with personal data on individuals connected to you for any reason in relation to your investment with us, this will be relevant for those individuals and you should transmit this document to such individuals or otherwise advise them of its content.

#### **Your personal data**

By virtue of making an investment in the Company and your associated interactions with us (including the initial application, and including the recording of electronic communications or phone calls where applicable) or by virtue of you otherwise providing us with personal information on individuals connected with you as an investor (for example directors, trustees, employees, representatives, shareholders, investors, clients, beneficial owners or agents), you will provide us with certain personal information which constitutes personal data within the meaning of the Data Protection Legislation. We may also obtain personal data on you from other public sources.

This includes the following information relating to you and/or any individuals connected with you as an investor: name, residential address, email address, contact details, corporate contact information, signature, nationality, place of birth, date of birth, tax identification, credit history, correspondence records, passport number, bank account details, source of funds details and details relating to your investment activity.

#### **How we may use your personal data**

The Company, as the data controller, may collect, store and use your personal data for lawful purposes disclosed below:

(i) to reflect your ownership of shares in the Company (i.e. where this is necessary for the performance of the contract to purchase shares in the Company or to process redemption, conversion, transfer and additional subscription requests or the payment of distributions);

(ii) to discharge our anti-money laundering obligation to verify the identity of our customers (and, if applicable their beneficial owners) or for prevention of fraud or for regulatory or tax reporting purposes or in response to legal requests or requests from regulatory authorities (i.e. where this is necessary for compliance with a legal obligation to which we are subject); and/or

(iii) for direct marketing purposes (that is, us providing you with information on products and services) or for quality control, business and statistical analysis or for tracking fees and costs or for customer service, training and related purposes (i.e. where this is necessary for the purposes of the legitimate interests of us or a third party and such legitimate interests are not overridden by your interests, fundamental rights or freedoms and provided that we are acting in a fair, transparent and accountable manner and have taken appropriate steps to prevent such activity having any unwarranted impact on you and also noting your right to object to such uses, as discussed below).

Additionally, Northern Trust International Fund Administration Services (Ireland) Limited the "Administrator" may use your personal data where this is necessary for compliance with a legal obligation to which it is directly subject (i.e. to comply with applicable law in the area of anti-money laundering and counter terrorist financing, where required for global tax reporting purposes or where mandated by a court order or regulatory sanction). The Administrator, in respect of this specific use of personal data, acts as a data controller.

Should we wish to use your personal data for other specific purposes (including, if applicable, any purpose that requires your consent), we will contact you.

#### **Why we may transfer your personal data**

In certain circumstances we and/or our authorised delegates may be legally obliged to share your data and other financial information with respect to your interest in the Company with the Irish Revenue Commissioners and they, in turn, may exchange this information with foreign tax authorities including tax authorities located outside the EEA.

We anticipate that the following affiliates and delegates will process your personal data on our behalf and this may include certain entities located outside the EEA:

- the Administrator;
- the Company's investment managers, Davy Asset Management Limited and J&E Davy and distributor J&E Davy; and their respective affiliates.

### **The data protection measures we take**

Any transfer of personal data by us or our duly authorised delegates outside the EEA shall be in accordance with the conditions in the Data Protection Legislation.

We and our duly authorised delegates shall apply appropriate information security measures designed to protect data in our/our delegates' possession from unauthorised access by third parties or any form of computer corruption.

We shall notify you of any personal data breach affecting you that is likely to result in a high risk to your rights and freedoms.

### **Your data protection rights**

You have certain rights regarding our use of your personal data summarised as follows:

- the right to access your data (in an easily readable form);
- the right to examine and correct your data;

- the right to data portability;
- the right to restrict the use of your data;
- the right to withdraw any consent given to the processing of your data (where applicable);
- the right to receive information regarding any entities we disclose your data to;
- the right to lodge a complaint with the Office of the Data Protection Commissioner (our lead supervisory authority).

You also have the right to object to the processing of your data where we have considered this to be necessary for the purposes of our legitimate interests.

Please note that the right for your data to be erased (the "right to be forgotten") that applies in some contexts is not likely to be applicable to most, if not all, of the personal data we hold, given the specific nature of the purposes for which we use the data, as described above.

### **Our retention of your personal data**

We or our duly authorised delegates may retain your personal data for a period of up to seven years following your disinvestment from the Company or the point where your business relationship with us has ceased. Thereafter, we and our duly authorised affiliates and delegates will refrain from collecting any further personal data on you and shall take appropriate steps to dispose of any records containing your personal data, to the extent this is operationally feasible and proportionate.

### **Getting in touch**

The Company is not required to designate a data protection officer. However, should you have any queries or wish to discuss your data protection rights with us, please contact Grellan O'Kelly [grellan.okelly@davy.ie](mailto:grellan.okelly@davy.ie), Head of Group Risk.