

Corporate application form

Canaccord Wealth International Investment Funds Limited

This application form is for the use of corporate entities where, under Jersey AML/CFT laws regulations and guidance, the entity is not exempt from Third Party identity verification.

About this form

Canaccord Wealth International Investment Funds Limited is a company incorporated in Jersey with limited liability under the Companies (Jersey) Law 1991. This application is to buy participating shares of the classes shown below in Canaccord Wealth International Investment Funds Limited. ('The Company').

Please write clearly in the spaces with capital letters or tick (✓) the boxes where indicated. Your application may be delayed if any of the information we need is missing.

Please refer to Section 10 – Notes on completion of the Application Form for guidance before completing this form and once completed, check that you have taken a copy of the completed Application Form for future reference.

The Manager may reject any application at its sole discretion, or require additional information to meet AML/CFT requirements.

Applicant: The entity in whose name the shareholding will be registered.

Third Party/ies: Person(s) for whom the Applicant is acting – the Applicant's customers.

Section 1 – Applicant details

(a) Applicant name:

Name in which the shareholding is to be registered (i.e nominee name):

Designation (if applicable):

(b) Registered address of the Applicant:

(c) Principal place of business or operations of the Applicant:

(d) Contact name (if applicable):

Telephone:

Fax:

Email:

Website (if applicable):

(e) Mailing address (if different):

(f) Please tick (✓) in the appropriate box: Private company Public company Personal Asset Holding Vehicle

Provide details of rationale for use of a Personal Asset Holding Vehicle if applicable:

(g) If the Applicant is a Company that is not wholly owned directly by individuals, provide details of the ownership structure of the Company and ownership structure of any underlying legal persons. Please provide a structure chart:

(h) Nature of business and countries of operation:

(i) Source of Funds, and the activity which has generated, the funds being invested (note: verification of source of funds may be requested to meet AML requirements):

(j) Source of the wealth that has generated the total net worth of the Applicant (note: verification of source of funds may be requested to meet AML requirements):

(k) Details of type, value and volume of activity expected:

(l) Purpose and intended nature of business relationship:

(m) Official Identification number:

Date of incorporation/registration:

Country of incorporation/registration:

Date of start of trading:

(n) Does the Applicant have nominee shareholders? Yes No

If yes, provide the rationale for such use and the name(s) of the nominee shareholders:

(o) Is the Applicant acting on behalf of any third parties in respect of this application? Yes No

(p) If the Applicant conducts regulated financial services business, provide details, including the name of its Regulator:

(q) Please disclose any higher risk factors for the Applicant or Third Party/ies: Please see Section 10 for more information on 'higher risk factors'.

(r) If the Applicant is not resident in the Channel Islands or the Isle of Man, please explain why it is investing in a Jersey domiciled fund?

Section 2 – Tax Information

(Section 10 contains some further explanations and information)

(a) Entity Classification for FATCA Purposes

Applicant Global Intermediary Identification Number (GIIN):

If the Entity is a Financial Institution, please specify which applies below:

UK Financial Institution or Partner Jurisdiction

Participating Foreign Financial Institution

Non- Participating Foreign Financial Institution

Exempt beneficial owner

Deemed a Compliant Foreign Financial Institution or Non-reporting Financial Institution

(b) If the Entity is not a Foreign Financial Institution. Please specify which applies below:

Publicly traded NFFE or NFFE affiliate of a publicly traded corporation

Active Non-Financial Foreign Entity ('NFFE')

Passive Non-Financial Foreign Entity

(c) Entity's Classification for the Purposes of Common Reporting Standards (CRS) (you must complete this section)

A Professionally Managed Investment Entity outside of a CRS Participating Jurisdiction

Financial Institution

Non-Reporting Financial Institution

Active NFE – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a Related Entity of an Entity the stock of which is regularly traded on an established securities market

Active NFE – government entity

Active NFE – international organisation

Active NFE - other

Passive Non-Financial Foreign Entity

(d) In which country/countries is the Applicant tax resident? State all that apply and provide applicants tax identification numbers (TIN)

Country:

Country:

Tax Identification Number:

Tax Identification Number:

Country:

Country:

Tax Identification Number:

Tax Identification Number:

If the applicant is unable to provide a TIN number, please provide an explanation here:

Section 3 – Key Account Party details

The following section requires details of all key account parties in relation to the Applicant. Verification of identity of all key account parties is required. (See Section 10 for guidance on who are the key account parties and the documentation required.) Complete the appropriate sections for individuals who are key account parties and for corporate entities that are key account parties. In the case of any key account parties which are corporate entities, please provide an ownership structure chart of that corporate entity and please complete the relevant section here for each key account party of that corporate entity that holds a material controlling ownership interest. If there are more than four individual key account parties or more than four Directors and persons having senior management positions of a corporate entity, please provide details on a separate sheet and attach.

First individual key account party

Title: Mr Mrs Miss Ms Other (please specify):

Gender: Male Female

First name and middle name(s) (Legal names as they appear on your chosen identity documents):

Any other name(s), e.g. maiden name, and any other name used:

Principal residential address

House name or number:

Street:

City:

Country:

Postcode:

Date of birth:

Town/city of birth:

Country of birth:

Nationality:

US Citizen: Yes No

US Green Card Holder: Yes No

Occupation:

Government issued identification number or other government issued unique identifier:

Position (e.g director, beneficial owner, trustee, controlling person): Please see Section 10 for further information on Key Account Parties.

Please disclose any higher risk factors for the Key Account Party: Please see Section 10 for more information on 'higher risk factors'.

In which countries are you tax resident? State all that apply and provide tax identification numbers (TIN)

Country:

Country:

Tax Identification Number:

Tax Identification Number:

Country:

Country:

Tax Identification Number:

Tax Identification Number:

Country:

Country:

Tax Identification Number:

Tax Identification Number:

If the Key Account Party is unable to provide a TIN number, please provide an explanation here:

Second individual key account party

Title: Mr Mrs Miss Ms Other (please specify):

Gender: Male Female

First name and middle name(s) (Legal names as they appear on your chosen identity documents):

Any other name(s), e.g. maiden name, and any other name used:

Principal residential address

House name or number:

Street:

City:

Country:

Postcode:

Date of birth:

Town/city of birth:

Country of birth:

Nationality:

US Citizen: Yes No

US Green Card Holder: Yes No

Occupation:

Government-issued ID number (e.g. national identity or passport number):

Position (e.g director, beneficial owner, trustee, controlling person): Please see Section 10 for further information on Key Account Parties.

Please disclose any higher risk factors for the Key Account Party: Please see Section 10 for more information on 'higher risk factors'.

In which country are you a tax resident?

Country:

Country:

Tax Identification Number:

Tax Identification Number:

Country:

Country:

Tax Identification Number:

Tax Identification Number:

Country:

Country:

Tax Identification Number:

Tax Identification Number:

If the applicant is unable to provide a TIN number, please provide an explanation here:

Third individual key account party

Title: Mr Mrs Miss Ms Other (please specify):

Gender: Male Female

First name and middle name(s) (Legal names as they appear on your chosen identity documents):

Any other name(s), e.g. maiden name, and any other name used:

Principal residential address

House name or number:

Street:

City:

Country:

Postcode:

Date of birth:

Town/city of birth:

Country of birth:

Nationality:

US Citizen: Yes No

US Green Card Holder: Yes No

Occupation:

Government-issued ID number (e.g. national identity or passport number):

Position (e.g director, beneficial owner, trustee, controlling person): Please see Section 10 for further information on Key Account Parties.

Please disclose any higher risk factors for the Key Account Party: Please see Section 10 for more information on 'higher risk factors'.

In which countries are you tax resident?

Country:

Country:

Tax Identification Number:

Tax Identification Number:

Country:

Country:

Tax Identification Number:

Tax Identification Number:

Country:

Country:

Tax Identification Number:

Tax Identification Number:

If the Key Account Party is unable to provide a TIN number, please provide an explanation here:

Fourth individual key account party

Title: Mr Mrs Miss Ms Other (please specify):

Gender: Male Female

First name and middle name(s) (Legal names as they appear on your chosen identity documents):

Any other name(s), e.g. maiden name, and any other name used:

Principal residential address

House name or number:

Street:

City:

Country:

Postcode:

Date of birth:

Town/city of birth:

Country of birth:

Nationality:

US Citizen: Yes No

US Green Card Holder: Yes No

Occupation:

Government-issued ID number (e.g. national identity or passport number):

Position (e.g director, beneficial owner, trustee, controlling person): Please see Section 10 for further information on Key Account Parties.

Please disclose any higher risk factors for the Key Account Party: Please see Section 10 for more information on 'higher risk factors'.

In which country/countries is the Key Account Party tax resident?

State all that apply and provide Key Account Party's tax identification numbers (TIN)

Country:

Country:

Tax Identification Number:

Tax Identification Number:

Country:

Country:

Tax Identification Number:

Tax Identification Number:

Country:

Country:

Tax Identification Number:

Tax Identification Number:

If the Key Account Party is unable to provide a TIN number, please provide an explanation here:

First corporate entity key account party

Corporate entity name of the key account party:

Positions held in relation to the Applicant:

Any other business name under which the corporate entity operates:

Date of incorporation/registration of the corporate entity:

Incorporation/Registration number of the corporate entity:

Regulator (if applicable):

Registered office address of the corporate entity:

Mailing address (if different):

Principal place of business or operations of the corporate entity:

Directors and persons having senior management positions:

1:

2:

3:

4:

Please disclose any higher risk factors, for the Key Account Party or associated persons. Please refer to Section 10 for more information on 'higher risk factors':

Second corporate entity key account party

Corporate entity name of the key account party:

Positions held in relation to the Applicant:

Any other business name under which the corporate entity operates:

Date of incorporation/registration of the corporate entity:

Incorporation/Registration number of the corporate entity:

Regulator (if applicable):

Registered office address of the corporate entity:

Mailing address (if different):

Principal place of business or operations of the corporate entity:

Directors and persons having senior management positions:

1:

2:

3:

4:

Please disclose any higher risk factors, for the Key Account Party or associated persons. Please refer to Section 10 for more information on 'higher risk factors':

Section 4 – Investment and Withdrawal details

- (a) If you already hold Shares in Canaccord Wealth International Investment Funds Limited or in Canaccord Wealth International Multi Strategy Funds Limited and would like this investment added to the same portfolio, please state your portfolio number here. Alternatively leave blank and a new portfolio will be opened.
- (b) Please indicate below, the amount of your lump sum investment and any regular savings or withdrawals of Shares of Canaccord Wealth International Investment Funds Limited:

P -

Canaccord Wealth International Investment Funds Limited	Amount of Lump Sum Investments*	Amount of Regular Savings**	Amount of Regular Withdrawals (please stipulate the monetary amount or number of shares)***	Select to redeem shares on either a monthly, quarterly or annual basis by entering M, Q or A in the relevant boxes below:
Euro High Income Fund	€	€		
High Income Fund	£	£		
Sterling Bond Fund	£	£		
Total investment	€	€		
	£	£		

* Minimum initial Lump Sum investment in any one Fund is £5,000 except for Euro High Income Fund which is €5,000. Subsequent investments must be for a minimum of £1,000 or €1,000 for the Euro High Income Fund.

** Minimum regular Savings amount for the High Income Fund and the Sterling Bond Fund is £100 or €200 for the Euro High Income Fund. For regular Savings please complete the appropriate Direct Debit or Standing order Form for euro investments.

*** Shareholders may instruct the Administrator to redeem shares on either a monthly, quarterly, or annual basis, such redemptions can be for a fixed amount or number of shares and should be for a minimum of £100 (or equivalent).

When sending monies to us by bank transfer for Lump Sum investments, please note that the base currency of the funds strategies are sterling, except for the Euro High Income Fund, which is Euro. If proceeds are received in a different currency to the base currency of the funds, then they will be exchanged into the base currency of that fund prior to investment.

Please mark (✓) the relevant box:

We have arranged a telegraphic transfer to the appropriate bank account of Canaccord International Fund Managers Limited for the (date):

OR

Sterling Settlement Details

Electronic Funds Transfer payments for the credit of Canaccord International Fund Managers Limited - client account

Account Number: 01773390

IBAN Number: GB40LOYD30946101773390

Lloyds Bank International

9 Broad Street, St. Helier, Jersey JE4 8NG

Sort Code: 3 0 – 9 4 – 6 1

If remitting funds from outside the UK send via SWIFT MT103 to LOYDJES1001

Euro Settlement Details

Please request your bankers to route payments by authenticated SWIFT MT103 to LOYDJEH1 for the credit of Canaccord International Fund Managers Limited - client account

Account Number: 51091336

IBAN Number: GB47LOYD301663351091336

Lloyds Bank International

9 Broad Street, St. Helier, Jersey JE4 8NG

Sort Code: 3 0 – 1 6 – 6 3

Section 5 – Nominated bank account

Please pay the proceeds of any future redemption of Shares of any class registered in the Applicants name as specified in Section 1, to:

Name of bank:

Address:

Account name*:

Sort code:

BIC number:

Account number/IBAN number:

* This account must be in the name of the registered shareholder as specified in Section 1. If you wish to nominate additional banks to the one stated above please advise the Manager in writing.

Section 6 – Dividends

Please tick the relevant box

Please re-invest dividends to purchase further Shares in the Fund

Please send dividends to our bank/building society as specified below:

Name of bank:

Address:

Account name*:

Sort code:

BIC number:

Account number/IBAN number:

* This account must be in the name of the registered shareholder as specified in Section 1. If you wish to nominate additional banks to the one stated above please advise the Manager in writing.

Section 7 – Data Privacy Notice - Personal and Business information

Who looks after your personal information?

Your personal information will be held by Canaccord International Fund Managers Limited, which is part of Canaccord Genuity group of companies (the Group), and is registered as a 'Controller' under the Data Protection (Jersey) Law 2018 as we collect and process personal information about you. More information on the Group can be found at www.canaccordgenuity.com.

How we use personal information

To provide products and services, manage your shareholding in the Company, manage your relationship with us and comply with any laws or regulations we are subject to (for example the laws that prevent financial crime or the regulatory requirements governing the products we offer). For other purposes including improving our services and exercising our rights in relation to agreements and contracts.

To support us with the above, we analyse information we know about you and how you use our products and services, including some automated decision making.

You can find out more about how we use your personal Information, and in what circumstances you can ask us to stop, in our full privacy notice.

Who we share personal information with

Your personal information will be shared within our Group and with our service providers, so that we and any other companies in our Group can look after your relationship with us. By sharing this information it enables us to better understand our customers' needs, run accounts, and provide products and services efficiently. This processing will include some activities which take place outside of Jersey and/or the European Economic Area in jurisdictions whose data protection laws may not be as extensive as those which apply to us. In these instances we will ensure appropriate safeguards are in place to protect your personal information. You can find out more about how we share your personal information in our full privacy notice.

Where we collect personal information from

We will collect personal information from a number of sources including:

- information given to us on application forms, if you meet with us face-to-face, over the phone, by email or
- through the device you use and when new services are requested
- from analysis of how you operate our products and services, including the frequency, nature, location,
- origin and recipients of any payments
- from or through other organisations (for example, your financial intermediary, credit reference agencies
- and fraud prevention agencies).

You can find out more about where we collect personal information about you in our full privacy notice.

Our data retention policy?

We are committed to only keeping your personal data only for as long as we need to in order to fulfil the relevant purpose(s) it was collected for and for as long as we are required, or permitted, to keep it by law. In most cases, we will retain your personal Information for not less than 10 years after termination or expiry of our contract with you.

Please note, some of your personal information will be held on a shareholder register. As required by law, these registers are shared with the Jersey Financial Services Commission and may be subject to data retention periods / requirements that differ from our own.

You can find out more about our data retention policies in our full privacy notice.

Do you have to give us your personal information?

We may be required by law, or as a consequence of any contractual relationship we have, to collect certain personal information. Failure to provide this information may prevent or delay us fulfilling these obligations or performing services.

What rights you have over your personal information

The law gives you a number of rights in relation to your personal information including:

- the right to access the personal information we have about you. This includes information from application forms, statements, correspondence and call recordings
- the right to get us to correct personal information that is wrong or incomplete
- in certain circumstances, the right to ask us to stop using or delete your personal information
- in certain circumstances, to receive your personal data, which you have provided to us, in a structured, commonly-used and machine-readable format and the right to transmit that data to another data controller without hindrance, or to have that personal data transmitted to another data controller, where technically feasible.

You also have the right to lodge a complaint with the data protection authority about the way in which your personal data is being used:

- In Jersey to: the Jersey Office of the Information Commissioner www.jerseyoic.org/raise-a-concern-options/

If you would like to lodge a complaint with us, or exercise any of your rights, please contact us using our contact details below.

Where we rely on your consent to use your personal data, you have the right to withdraw that consent at any time. You can find out more about these rights and how you can exercise them in our full privacy notice.

Other individuals you have financial links with

We may also collect personal information about other individuals who you have a financial link with. This may include people who you have joint accounts or policies with such as your partner/spouse, dependents, beneficiaries or people you have commercial links to, for example other directors or officers of your company. We will collect this information to assess any applications, provide the services requested and to carry out credit reference and fraud prevention checks. You can find out more about how we process personal information about individuals with whom you have a financial link in our full privacy notice.

How we use credit reference agencies

In order to process your application we may supply your personal information to credit reference agencies (CRAs) including how you use our products and services and they will give us information about you, such as about your financial history. We do this to check your identity and prevent criminal activity.

We may also continue to exchange information about you with CRAs on an ongoing basis, information on fund going into the account and the balance on the account. CRAs will share your information with other organisations, for example other organisations you ask to provide you with products and services. Your data will also be linked to the data of any joint applicants or other financial associates as explained above.

How we use fraud prevention agencies

The personal information we have collected from you and anyone you have a financial link with may be shared with fraud prevention agencies that will use it to prevent fraud and money laundering and to verify your identity. If fraud is detected, you could be refused certain services, finance or employment. Further details of how your information will be used by us and these fraud prevention agencies, and your data protection rights, can be found in our full privacy notice.

Our full privacy notice

It is important that you understand how the personal information you give us will be used. Therefore, we strongly advise that you read our full privacy notice, which you can find at www.canaccordgenuity.com/49f9ab/globalassets/wealth-management-uk/documents/privacy-notice.pdf or you can ask us for a copy.

How you can contact us

If you have any questions or else require more information about how we use your personal information please contact our Data Protection Officer at:

Email: DPO@canaccord.com

Post: Data Protection Officer, Canaccord Genuity Wealth Limited, 88 Wood Street, London, EC2V 7QR.

Section 8 – Declarations and signatures

This section must be completed by a duly authorised representative of the Applicant.

By signature of this Application Form, the Applicant will be deemed to have: (i) taken all necessary actions to authorise the signing of this Application Form; and (ii) confirmed that such authorisation is in accordance with its relevant constitutional documents.

In this section only, 'we/us' means the Applicant. We hereby declare that:

1. We understand and accept that this application is made on the basis of and subject to the terms of the current or any subsequent Prospectus of the Company and any relevant country supplement, a copy of which has been offered to us and is subject to the Memorandum and Articles of Association of the Company.
2. We have received and read the relevant Key Information Document(s) (KID(s)) and that we will read and review the most up-to-date version of the KID(s) prior to making any subsequent investment in the fund(s).
3. A copy of the latest available Report and Financial Statements of the Company has been offered to us.
4. The Shares are NOT being acquired directly or indirectly by a person resident in the United States of America.
5. The Shares are NOT being acquired directly or indirectly by a person in violation of any law applicable to the sale of Shares to such a person.
6. The beneficial owners of the shares are known to us and we have completed all required 'Know Your Customer' and Money Laundering Procedures to our satisfaction.
7. We undertake to advise you of any changes to the Applicant's beneficial ownership as soon as such changes are effective (private companies only).
8. We confirm that none of the shares in the company of the Applicant have been issued in bearer form.
9. We acknowledge that investment in the Company is not a deposit with or other liability of any of the companies in the Canaccord Genuity Group and is subject to investment risk including delays in repayment and potential loss of income and capital invested.
10. We acknowledge that this contract is with Canaccord International Fund Managers Limited for investment in the Company and is subject to the law of Jersey.
11. This contract is in English and we agree that you may continue to communicate with us in English once this contract is made.
12. The details provided are accurate.
13. Where we are an individual acting in the role of Director or other signatory and are completing this Application Form on behalf of the Applicant and on behalf of other persons named in Section 3, we acknowledge and confirm that we have been authorised by the persons specified in Section 3 to consent to the processing of their personal data and to receive any data protection notices on their behalf.
14. We confirm that we have provided the persons named in Section 3 with a copy of Section 7 of this Application Form entitled 'Data Privacy Notice - Personal and Business information' and have received their written consent to agree to the processing of their data in the ways described on their behalf.
15. We confirm that any funds transferred do not or will not represent the proceeds or derive from, any activity which would be considered illegal under the Anti-Money Laundering and Proceeds of Crime legislation applicable in Jersey and my/our country(ies) of residence.

Copies of the current and any subsequent prospectus are obtainable, free of charge, from the Manager.

First signatory

(please sign in black ink if possible)

Signature:

Date:

Print name:

Business title /status:

Company stamp/seal:

Second signatory

(please sign in black ink if possible)

Signature:

Date:

Print name:

Business title /status:

All required documentation must be received with this application before the investment will be made.
Please refer to Section 10 – Notes on completion of the Application Form, for details of documents to be provided.

Your Marketing preferences

I consent to Canaccord International Fund Managers Limited contacting me in the following ways about investment products, services and promotional offers that may be of interest.

Please tick here: By post By phone By email

I consent to other entities within the Canaccord Genuity Group contacting me, in the following ways about investment products, services and promotional offers that may be of interest.

Please tick here: By post By phone By email

You can withdraw your consent at any time by letting us know by post, phone or email. We'll continue to use your chosen method of communication for all other types of interactions with you.

Signed:

Date:

Signed:

Date:

Section 9 – Agent's details (if applicable)

Agent's name:

Address:

Regulating authority:

Contact details

Telephone:

Fax:

Email:

Registration number:

Section 10 – Notes on completion of the Application Form

This application form is for the use of corporate entities where, under Jersey AML/CFT laws regulations and guidance, the entity is not exempt from Third Party identity verification.

Applications will only be accepted where the following documentation has been supplied for the Applicant and all corporate entity key account parties:

For public companies listed on a recognised stock exchange or subsidiaries thereof

- (a) Registered address of the company
- (b) Latest Audited Financial Statements
- (c) A certified copy list of authorised signatories, including details of their signing powers
- (d) A certified copy of the register of Directors.

Copies of the above documents may be certified by the Company Secretarial, Legal or Compliance departments.

For private companies

- (a) Certified copy Certificate of Incorporation
- (b) Certified copy of Memorandum and Articles of Association
- (c) Certified copy of the authorised signatory list
- (d) Certified copy of Audited Financial Statements (where available)
- (e) Resolution of the Board of Directors considering and agreeing the terms of the Prospectus and authorising the persons named in the signatory list provided to provide instructions on behalf of the Applicant
- (f) Certified copy of the register of Directors.

Verification of identity of all Directors and persons having senior management positions, key account parties and beneficial owners of the company

For each of the above individuals, provide:

- An original or certified copy of a Utility Bill issued within the last three months

PLUS

- a certified copy of a current passport (copy the page bearing your photograph and the page bearing your signature)

OR

- a National Identity Card (overseas countries)

OR

- a current full United Kingdom/Jersey/Guernsey/Isle of Man Driving Licence bearing your photograph.

Definitions

Applicant

The entity in whose name the shareholding will be registered.

Third Party/ies

Person(s) for whom the Applicant is acting – the Applicant's customers.

Nominee Shareholders

Nominee shareholders are the registered owner of shares held for the benefit of another person (the beneficial owner). The beneficial owner may choose to appoint a nominee because it does not wish to have the shares registered in its own name, or it may be required to appoint a nominee.

Section 1 Applicant details

Source of wealth

This is distinct from source of funds, and describes the activities which have generated the total net worth of a person, i.e. those activities which have generated a customer's funds and property. Information concerning the geographical sphere of the activities that have generated a customer's wealth may also be relevant.

Higher risk factors

Higher risk factors include situations where the Applicant or Third Party/ies are:

- A person with a connection to an 'enhanced risk state' (as defined in the Jersey Financial Services Commission AML/CFT Handbook, Appendix D1)
- A person with a connection to a country identified as presenting higher risks (as defined in the Jersey Financial Services Commission AML/CFT Handbook, Appendix D2)
- A Politically Exposed Person (PEP) including an immediate family member or close associate of a PEP
- A resident of or a person connected with a sanctioned country
- A person who carries out, or whose source of funds or wealth derives from a 'sensitive activity' as defined by the Jersey Financial Services Commission in Table 2 of its Sensitive Business Practice Policy
- A person regarded as Higher Risk by the Applicant due to the presence of other risk factors.

Section 2 Tax Information

Tax Identification Number (TIN)

Is an identifying number used for tax purposes. Most countries issue them to identify their taxpayers and to help with the administration of tax affairs. For entities, jurisdictions may use a business/company registration code or number where no TIN has been issued.

Global Intermediary Identification Number

Consists of 19 characters, GIINs are assigned by the FATCA registration system to financial institutions and direct-reporting non-financial entities. The complete list of the variety of reporting entities includes:

- Foreign financial institutions (FFIs)
- Financial institution (FI) branches
- Direct reporting non-financial foreign entities (NFFE)
- Sponsoring entities, sponsored entities and sponsored subsidiary branches.

These registered entities can use their official GIIN to identify themselves to withholding agents and tax administrators for FATCA reporting purposes.

FATCA

The Foreign Account Tax Compliance Act.

FATCA tax Status

Used by non-resident alien or foreign corporation, to avoid or reduce tax withholding from U.S source income. The Certificate of Status of Beneficial Owner for United States Tax Withholding and Reporting (Entities) a.k.a. Form W-8BEN-E is used by a foreign person to establish beneficial ownership and foreign status.

Section 3 Key Account Party details

This section requires details of all key account parties in relation to the Applicant. Key account parties are:

- All Directors and persons having senior management positions and persons having senior management positions of the Applicant, whether individuals or corporate entities; any individuals having a senior management position means those who have and exercise strategic decision taking powers or who have and exercise executive control
- Any beneficial owner or controller of the Applicant; namely:
 - any person holding a material controlling ownership interest in the Applicant, whether by direct or indirect holdings or voting rights or who exerts control through other ownership interests (e.g., shareholders); or, if no such person exists, then; – any person who exerts control over the Applicant through other means (e.g., through close personal connections); or if no such person, then; any person who exercises control of the Applicant through positions held (e.g., Directors and persons having senior management positions) and, if any person identified above is not an individual, each individual who is that person's beneficial owner or controller with ultimate control of the Applicant (by applying the same three criteria).

Material Controlling Ownership Interest means

- persons who hold a material controlling ownership interest in the capital of the applicant through direct or indirect holdings of interests or voting rights, or who exert control through other ownership means or, if applicable,
- individuals who exert control through other means (for example personal connections, by participating in financing, through close family relationships, as a result of historical or contractual associations or as result of default on certain payments, or

- if no individual is otherwise identified, individuals who exercise control of the applicant through positions held (who have or exercise strategic decision-taking powers or who have and exercise executive control through senior management positions). Material controlling interest in capital is generally set at 10%.

Section 4 Investment and Withdrawal details

Monies in respect of applications may be paid by telegraphic transfer or cheque. Please mark (insert tick symbol) the relevant box, dependent on which payment method you choose.

- For payment by telegraphic transfer, please arrange for your bank to pay, net of all charges, the exact amount to be invested to our settlement bank details provided on page 15 and insert the date on which this payment will be made. The investment will be made on the first Dealing Day following receipt of the funds. In order to avoid unnecessary delay in applying funds for the purchase of shares, ensure that the Manager is pre-advised of the payment and that the name of the fund and your name are quoted as references
- For payments by cheque, issue the cheque drawn on the account of the Applicant for the exact amount to be invested, made payable to 'Canaccord International Fund Managers Limited reference account name/ designation' and attach to your Application Form. Cheques made payable to a third party and endorsed are not acceptable. Persons intending to pay funds by this means should note that the investment will be made on the first Dealing Day following receipt of cleared funds. Sterling cheques drawn on a UK bank will normally take three working days to clear and drafts in other currencies will take longer and may be subject to charges
- For Regular Savings in sterling only, please completed the enclosed Direct Debit form. For Regular Savings in euro, please complete the enclosed Standing Order Instruction
- If you have opted to make Regular Withdrawals, please complete section 4. Nominated Bank account, as all redemption proceeds will be paid to your nominated bank account.

Section 5 Nominated Bank Account

Insert the full name and address of your bank, together with full account name and account number. Investors should note that this is the bank account to which the Manager will repay the proceeds of any redemptions.

Section 6 Dividends:

If you're investing in one of the Sterling Fixed Income Fund Classes, please tick one of the relevant boxes to select your preferred option.

Section 7 Data Privacy Notice - Personal and Business information

Information only about how Canaccord Genuity Group use your personal and business information.

Section 8 Declarations and Signatures

Read the declarations carefully and ensure that you have received and read the documentation referred to therein. The form must be signed by two authorised signatories in accordance with your current authorised signature list.

Section 9 Agent Details

Insert Agent's details, if appropriate.

Certification of Documents

When providing certified copies of documents, the person certifying the copy document must state the following:

'I hereby certify that this is a true and correct copy of the original document sighted by me and, where the document contains a photograph, the photograph is a true likeness of the individual.'

The person certifying the document must state the following:

- Full Name of Certifier
- Title of Certifier
- Signature of Certifier
- Date of Certification – must be dated within the last 3 months
- Contact details – address, telephone number and email address of Certifier.

Where more than one page of any document in relation to identification is provided, the certifiers must fully comply with the above on the first page and then sign and date each remaining page.

NB: Certification must be of original documents; certified copies of faxes and copies of certified copies are not acceptable and will be rejected.

This certification must be undertaken by one of the following:

- Lawyer/Notary Public/Barrister who is a member of a recognised professional body
- An Embassy, Consulate or High Commission employee of the country of issue (acting in their official capacity).

Note: British Foreign and Commonwealth overseas missions will, in most cases, not provide this service

- A member of the judiciary, a Senior Civil Servant, Accountant who is a member of a recognised professional body
- A Director, Officer or Manager of a regulated Financial Services Business operating in an equivalent jurisdiction (branch rubber stamp must be affixed)
- Serving Police Officer or Customs Officer (Office/Station rubber stamp must be affixed)
- An individual that is qualified to undertake certification services under the authority of the Certification and International Trade Committee (in Jersey this service is available through the Jersey Chamber of Commerce).

The completed Application Form should be posted to:

The Administrator, PO Box 12984, Dunmow, United Kingdom. CM6 9DQ.

Contact Details

Customer Services

T: +44 (0) 800 735 8000

International Callers: +44 (0) 1534 700104

E: CW.dealing@JTCGroup.com

Section 11 – Direct Debit instructions

(for Regular Savings Plan in sterling only)

Instructions to your Bank or Building Society to pay Direct Debits

Please fill in the whole form and send it to: The Administrator, PO Box 12984, Dunmow, CM6 9DQ

Originator's Identification Number: 7 7 0 0 8 1

1. Name and full postal address of your Bank or Building Society branch

To: The Manager

Bank or Building Society:

Address:

2. Name(s) of the account holders

Account holder 1:

Account holder 2:

Account holder 3:

Account holder 4:

3. Branch sort code

(from the top right corner of your cheque):

4. Bank or Building Society Account Number

Account number:

5. Reference Number

(Official use Only):

6. Instructions to your Bank or Building Society

Please pay Canaccord International Fund Managers Limited Direct Debits from the account detailed in this instruction subject to the safeguards assured by the Direct Debit guarantee.

(Official use Only):

Signature(s):

(please sign in black ink if possible)

Date:

Signature joint holder (if applicable):

Date:

The Direct Debit Guarantee

- This Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits
- If there are any changes to the amount, date or frequency of your Direct Debit, Canaccord International Fund Managers Limited will notify you 10 working days in advance of your account being debited or as otherwise agreed. If you request Canaccord International Fund Managers Limited to collect a payment, confirmation of the amount and date will be given to you at the time of the request
- If an error is made in the payment of your Direct Debit, by Canaccord International Fund Managers Limited or your bank or building society, you are entitled to a full and immediate refund paid from your bank or building society.
- If you receive a refund you are not entitled to, you must pay it back when Canaccord International Fund Managers Limited asks you to
- You can cancel a Direct Debit at any time by writing to your bank or building society. Written confirmation may be required. Please also notify us.

Section 12 – Standing Order Instructions

(for Regular Savings Plan in Euro only)

Applicants should complete this form and return it to their representative with their completed application form.

Name of your Bank:

Address:

Please transfer to: Lloyds Bank International 30 – 16 – 63

For the credit of: Canaccord International Fund Managers Limited - clients account

Euro account number 51091309

IBAN number GB97LOYD30166351091309

Payments must be in Euro (€)

An initial payment of:

Date of first payment*:

*Applications received after the 1st business day of the month will commence payments on the 20th of the following month. Investments will be carried out on the last business day of the month.

Followed by subsequent payments as specified below.

Total Monthly Standing Order in the Euro High Income Fund:

To be deducted monthly on the 20th of each month until further notice. From my/our account

Account name:

Account number:

Sort code:

Canaccord International Fund Managers Limited must be informed if changes are made to payment amounts and/or currencies. Failure to notify the Manager may cause delay in processing payments and we will process deals at our discretion.

Signature(s):

(please sign in black ink if possible)

Date:

Signature joint holder (if applicable):

Date:

Canaccord International Fund Managers Limited Registered Office: 37 Esplanade, St Helier, Jersey, JE4 0XQ. Canaccord Wealth International Investment Funds Limited is authorised by the Jersey Financial Services Commission under the Collective Investment Funds (Jersey) Law, 1988. Legislation or regulations in your home country jurisdiction may prohibit you from entering into such a transaction with us. We reserve the right to make the final determination on whether you are eligible for any products or services.